

CAO RULES

Revised Augu

**Date Established
or Revised**

- | <u>No.</u> | <u>Subject</u> | <u>Date Established
or Revised</u> |
|-------------------|--|---|
| 1. | INTERACCOUNT TRANSFERS AND INTERIM APPROPRIATIONS OF FUNDS (REFERENCE: CHARTER SECTIONS 351, 354, 354.1 & 355) | August 7, 1989 |
| 2. | AUTHORIZATION OF SALARY DIFFERENTIALS OF CLERK TYPIST REGULARLY ASSIGNED DUTIES OF OPERATION & SET-UP OF AUTOMATIC TYPEWRITERS | February 13, 1981 |
| 3. | ANNUAL REPORTS | Revised June 17, 1994 |
| 4. | FORMS MANAGEMENT PROCEDURES | Revised Aug. 1, 1983 |
| 5. | ASSIGNMENT AND HOME-GARAGING OF CITY OWNED AUTOMOTIVE EQUIPMENT | Revised Mar. 28, 1994 |
| 6. | AUTHORIZATION FOR TRAVEL AND GOVERNMENTAL MEETING ATTENDANCE BY CITY EMPLOYEES | Revised Feb. 21, 1986 |
| 7. | ORGANIZATION CHARTS | Revised Aug. 1, 1983 |
| 8. | APPLICATION OF CENSUS TRACT NUMBER TO GEOGRAPHICALLY IDENTIFIABLE DATA | Revised Aug. 1, 1983 |
| 9. | EXEMPTION OF CITY VEHICLES FROM USE OF CITY SEAL | Revised Oct. 3, 1988 |
| 10. | ESTABLISHMENT OF UNIFORM TRANSFERABLE DEPARTMENTAL EMPLOYEE PERSONNEL FOLDERS (EXCLUDING SWORN FIRE AND POLICE) | Revised Aug. 4, 1997 |
| 11. | EQUIPMENT PURCHASES AND RETENTION OF EQUIPMENT FROM SALVAGE | Revised Jan. 23 1995 |
| 12. | PAY GRADES WITHIN POSITION CLASSIFICATIONS | Revised Aug. 1, 1983 |
| 13. | ACQUISITION OF COMPUTER EQUIPMENT AND SOFTWARE | Revised Sept. 7, 1994 |

<u>No.</u>	<u>Subject</u>	<u>Date Established or Revised</u>
14.	MAIL AND MESSENGER SERVICE	Revised June 1988
15.	REIMBURSEMENT FOR LOST OR STOLEN PERSONAL PROPERTY, PROSTHESES AND TOOLS	Revised Dec. 1, 1987
16.	ADVANCE STEP HIRING AUTHORIZATION	Revised Aug. 4, 1983
17.	AUTHORIZATION OF SALARY DIFFERENTIALS FOR BONA FIDE SUPERVISORS	Revised Aug. 1, 1983
18.	USE OF IN-LIEU POSITION AUTHORITIES BY COUNCIL-CONTROLLED DEPARTMENTS AND BUREAUS	Revised Aug. 1, 1983
19.	PROCEDURE TO DETERMINE DISPOSITION OF VACATED CITY OWNED QUARTERS	Revised Aug. 1, 1983
20.	REQUESTS FOR SALARY ADJUSTMENTS FOR EMPLOYEES NOT REPRESENTED BY RECOGNIZED EMPLOYEE ORGANIZATIONS	Revised Nov. 1, 1982
21.	PROCEDURES FOR ESTABLISHMENT, MODIFI- CATION AND REPORTING ON MOE'S AND DEPARTMENTAL PROGRAMS	Dec. 29, 1975
22.	CITY/DEPARTMENTAL PRODUCTIVITY IMPROVEMENT PROGRAM	Revised Nov. 10, 1981
23.	ANNUAL SUBMISSION OF PAPERWORK REDUCTION PLANS	June 30, 1988
24.	IS PRESENTLY CAO RULE NO. 8	Aug. 1, 1983
25.	IS PRESENTLY CAO RULE NO. 10	
26.	IS PRESENTLY CAO RULE NO. 15	Dec. 1, 1987
27.	IS PRESENTLY CAO RULE NO. 22	Nov. 10, 1981

SUBJECT: INTERACCOUNT TRANSFERS AND INTERIM APPROPRIATIONS OF FUNDS (REFERENCE: CHARTER SECTIONS 351, 354, 354.1 AND 355)

Requests for Expenditure Plan adjustments due to interim appropriations and interaccount transfers of funds for all departments under the control of the Mayor and Council shall be prepared on Form General 104 (Request for Adjustment of Appropriation of Funds). The signed form shall serve as the request for interaccount transfers of the monetary limit or less and shall be submitted directly to the City Administrative Officer. Requests for interaccount transfers in excess of the monetary limit or for interim appropriations shall be submitted directly to the Mayor, in narrative form, with a signed Form General 104 attached to the request.

Charter Section 355(3) provides that the monetary limitations shall commence at the beginning of the City's 1989-90 fiscal year and shall be subject to an annual adjustment at the beginning of each subsequent fiscal year based upon the Consumer Price Index (CPI). The monetary limit for the 1989-90 fiscal year is \$25,000. The CPI for July 1989 is the base for all percentage calculations to adjust the monetary limit in future years.

The City Administrative Officer will notify the Heads of all City Departments of the adjustment in the monetary limit by letter within 30 days after publication of the July CPI beginning in 1990 for the 1990-91 fiscal year.

All requests for transfer or interim appropriations of funds must include a full, written justification for the request including, but not limited to, the following:

- A. Effect upon the department work program.
- B. Reason why a shortage of funds has occurred or will occur.
- C. Effect upon department operations if a transfer or interim appropriation is not effected.

Good management and proper planning dictate that required adjustments in account funding be anticipated. It is therefore the responsibility of the head of each department to notify the

assigned liaison staff analyst in the Office of the City Administrative Officer as far in advance as possible of any pending transfers of funds or need for additional appropriations. This procedure will fulfill a twofold purpose: (1) to permit the City Administrative Officer to properly advise the Mayor and Council of impending financial transactions, and (2) to provide the assigned staff analyst with the opportunity to suggest alternative solutions to problems.

K. Conit
City Administrative Officer

APPROVED:

Tom Bradley
MAYOR

Revised as of August 7, 1989.

Revised as of August 1, 1983.

Previously issued as Rule No. 1
dated 9-8-54, revised August 2, 1965;
and Rule No. 2, dated 7-2-51.

Subject: AUTHORIZATION OF SALARY DIFFERENTIALS FOR CERTAIN CLASSES OF CLERICAL EMPLOYEES WHO ARE REGULARLY ASSIGNED TO THE OPERATION OR SUPERVISION OF REMOTE DATA ENTRY AND RECALL SYSTEMS EQUIPMENT AND WORD PROCESSING TEXT EDITING EQUIPMENT

Note P of Schedule A of Administrative Code Section 4.61 provides a salary differential of three premium levels for persons employed in the class of Clerk Typist, Code 1358, Clerk Stenographer, Code 1321, Senior Clerk Typist, Code 1368, Senior Clerk Stenographer, Code 1323, Library Assistant I, Code 1172-1, Principal Clerk (all departmental designations).

Note U of Schedule A of Administrative Code Section 4.61 provides a salary differential of five premium levels for persons employed in the class of Clerk Typist, Code 1358, Clerk Stenographer, Code 1321, Senior Clerk Typist, Code 1368, Senior Clerk Stenographer, Code 1323, Library Assistant I, Code 1172-1, Principal Clerk (all departmental designations).

To assist the appointing authorities in the identification of those clerical positions which warrant the Note P designation, the following criteria must be met:

Clerk Typists or Clerk Stenographers who are regularly assigned the duties of the operation of a remote data entry and recall system or are assigned the duties of the operation of such system more than 50% of their time in any one day.

Senior Clerk Typists or Library Assistants I who are regularly assigned to supervise remote data entry and recall operations more than 50% of their time.

Principal Clerks (any departmental designation) who are regularly assigned to supervise remote data entry and recall operations full time, including the training of subordinates and monitoring of the work flow.

Clerk Typists or Clerk Stenographers who are regularly assigned the duties of the operation of word processing text editing equipment during the first six (6) months of such assignment or are assigned the duties of the operation of word processing text editing equipment more than 50% of their time in any one day.

Senior Clerk Typists, Senior Clerk Stenographers and Library Assistants I who are regularly assigned the duties of the operation of word processing text editing equipment or are assigned the duties of the operation of word processing text editing equipment more than 50% of their time in any one day.

To assist the appointing authorities in the identification of those clerical positions which warrant the Note U designation the following criteria must be met:

Clerk Typists or Clerk Stenographers who are regularly assigned the duties of the operation of word processing text editing equipment following completion of a six-month training program in word processing equipment operation.

Senior Clerk Typists, Senior Clerk Stenographers or Library Assistants I who are regularly assigned to supervise word processing text editing operations full time.

Principal Clerks (any departmental designation) who are regularly assigned to supervise word processing text editing operations full time, including the training of subordinates and monitoring the work flow.

The duties involved in the operation of remote data entry and recall systems equipment may be defined as:

The input of language-based data elements from standardized source documents according to previously defined sequences, into an automatic typewriter or terminal connected to a computer, via a keyboard equipped with video display adjusted by the operator for sequence prompting and error correction, which is performed repetitively in a production environment.

The duties involved in the operation of word processing text editing equipment may be defined as:

1. The formatting and input of text material such as prose and tabular reports into a word processing system terminal or an automatic typewriter via a keyboard, and the editing and revision of such text material once it has been entered, or
2. The utilization of terminal connected to a word processing (text editing) system or an automatic typewriter to prepare text material such as prose and tabular reports for output via an automated printing facility, such as a terminal printer, composer, phototypesetter or automatic typewriter.

The City Administrative Officer shall have the responsibility of determining whether particular typing equipment qualifies. The below listed provides some examples of the equipment which qualifies:

Remote Data Entry and Recall Systems:

1. IBM
3278 (Video 370 Terminal)
3276
2. Telex
278

Word Processing Text Editing Equipment:

1. ATMS
2. Burroughs
Redactor II
3. DEC
Data System 310W
4. IBM
MTST
Mag Card II
Mag Card Executive
System 32
Memory Typewriter
175
Electronic 60
3720
3732
5. Lexitron
VT 1202
VT 1303
6. Olivetti
S-14
7. Savin
900 Word Master
8. Sperry Remington
Mag Tape
9. Wang
1222
WP 10, 20 and 30
10. Xerox
800 (card and tape)

NOTE: The above listing is not necessarily a complete listing of all equipment which may qualify.

Appointing authorities will normally request the authority for Note P and Note U through the budget formulation process; however, appointing authorities may also request interim authority for both notes P and U designations through a letter to the City Administrative Officer outlining the justification for their request.

K. Comrie

City Administrative Officer

APPROVED:

Tom Bradley
M A Y O R

Revised as of 2-13-81.

Previously issued as Rule No. 23,
dated 2-2-77.

CITY OF LOS ANGELES
INTER-DEPARTMENTAL CORRESPONDENCE

Date: June 17, 1994

To: THE HEADS OF ALL DEPARTMENTS OF CITY GOVERNMENT
(EXCEPT AIRPORTS, HARBOR AND WATER AND POWER)

From: Keith Comrie, City Administrative Officer 

Subject: REVISION OF CAO RULE NO. 3 PERTAINING TO ANNUAL REPORTS

We are transmitting for your attention one copy of the revised CAO Rule No. 3 pertaining to annual reports.

The revised CAO Rule No. 3 provides standards for department heads to follow when preparing annual reports but will discontinue participation by this Office in the approval process.

If you have any questions, please contact Ramon Soto of my staff at extension 7-1799.

C:RAS:dbu

Enclosure

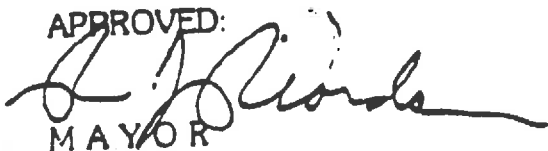
SUBJECT: ANNUAL REPORTS

Charter Section 64 states that "Every officer or board of the City government shall make and present to the Mayor and Council an annual report relating to their work..." The intent of the Charter requirement for annual reports is directed toward providing the Mayor and Council with information about the significant operating accomplishments, changes, and needs of the City's departments.

In keeping with a policy of achieving economy in the issuance of departmental annual reports, the following standards are hereby established and shall be followed by department heads when approving the publication of such reports:

- A. The subject matter included should be confined to the following topics, each to be expressed briefly and without unnecessary detail:
1. Major work accomplished or undertaken during the reporting period.
 2. Significant program changes and workload trends.
 3. Financial transactions and trends that may be of particular interest to the Mayor and Council.
- B. Charts, graphs, color and lengthy tabulations may be used only when essential to the understanding or clarification of the subject matter reported. Photographs are not essential in meeting the Charter requirement and their use should be minimized.
- C. Report reproduction shall be by the lowest cost, appropriate process as determined by the Printing Division of the General Services Department. Standard sizes and weights of nonglossy papers shall be used. The cover shall be economical in design and include department name, report title, applicable fiscal year and may include the City seal and a department logo.
- D. The minimum distribution of annual reports should be confined to two copies for the Mayor's Office, two copies for each Council member, two copies for the City Administrative Officer, one copy for each Commissioner, copies which are legally required, and copies to meet department needs and public requests. Additional distributions which are of demonstrable benefit to the City may be made but shall be kept to a minimum.
- E. Annual reports are to be ready for distribution within four months after the close of the fiscal year.

APPROVED:



MAYOR

City Administrative Officer



Subject: FORMS MANAGEMENT PROCEDURES

In accordance with the intent of the Charter, the City Administrative Officer maintains a Forms Management Program for the purpose of controlling the creation, design, production, and stocking of paper forms used by City departments. It is the objective of this section to effect monetary savings to the City through the combination of forms, the elimination of unnecessary or duplicate forms, and the simplification of procedures through proper forms design. As deemed necessary, this Office promulgates standards and suggestions relative to accomplishment of this objective.

Definition of a "Form"

For purposes of this Rule, a form is any document, reproduced by any method, with blank spaces for the insertion of information by which management seeks uniformity and simplicity in paperwork systems.

Department Management and Forms Management Officers

The major emphasis for any internal Forms Management Program must come from top department management. In order to assure an orderly and comprehensive program of internal forms control, the head of each department shall appoint a responsible employee who will act as Forms Management Officer for the department. This Forms Management Officer shall be responsible for implementing or strengthening a forms management program in the department by becoming familiar with the basic principles of systems and good forms design, and reviewing all departmental forms requests. In addition, this person will act in a liaison capacity with this Office and will be called upon periodically to supply information relative to the department's forms management program. The Forms Management Officer may also be summoned to serve on a City Forms Management Committee which will discuss programs and problems relative to departmental forms management procedures and the general City-wide consolidation of forms. In large departments, a Forms Management Officer may be appointed for each bureau or division in which an individual forms management program is desirable.

Each department head will submit to this Office the name of the person designated as Forms Management Officer. Should there be a personnel change in this assignment, the name of the new officer shall be forwarded to this Office without delay.

Responsibilities of the City Administrative Officer (C.A.O.)
Forms Manager

As part of the City-wide Forms Management Program, the Forms Management Section of the City Administrative Officer will be responsible for reviewing, approving or disapproving proposed forms by all Council controlled departments. This procedure will include all new or revised forms produced by City facilities and those to be obtained from private vendors. New forms or revisions to existing forms will be reviewed by the Forms Manager before they are requested from the production source. The Print Shop, Central Duplicating, and Purchasing Agent have been instructed to forward all unapproved forms to the C.A.O. prior to furnishing any services.

Form revisions include any changes to basic design; location of information; instructions; size, weight, or color of paper; print style; change to or from carbonless paper; number of copies; and/or any changes which would affect departmental procedures, programs, or personnel utilization.

A file of all departmental forms is maintained in this Office. In order to continually update this file, department Forms Management Officers are requested to:

1. Send a finished copy of all forms approved for printing to the C.A.O. Forms Manager.
2. Notify the C.A.O. Forms Manager of all cancelled and obsolete forms.

From time to time, the Forms Management Officer of the department will be called upon for information regarding these files and to assist in implementing new City forms in addition to advising on City-wide forms consolidation programs.

Procedures for Submitting New or Revised Forms for C.A.O. Approval

The Forms Management Officers will inspect forms prior to submitting them for departmental and C.A.O. approval. The forms should be examined for:

1. Adherence to departmental guidelines.
2. Forms design and proper layout in accordance with the City's Forms Management Manual.
3. Inclusion of a title, form number and edition date.
4. Listing of distribution (for multiple part forms).
5. Suitability of carbonless paper.

After the form has been inspected for conformance to the above requirements, the Forms Management Officer will submit two copies of the new or revised form(s) and one copy of the form(s) currently being used to the C.A.O. Forms Manager. The forms will be accompanied by Form General-19 (Request for New or Revised Form) which is required whenever seeking C.A.O. approval for printing.

The forms will be reviewed by the C.A.O. Forms Manager and suggestions made for possible revisions or the form will be approved for printing. One copy will be returned to the requesting department and the second copy will be maintained temporarily in the C.A.O. files until a finished copy is received from the departmental Forms Management Officer.

In order to supplement this Rule, specifications with regard to printing certain forms are detailed below:

Specification No. 1

In the interest of economy in printing and utilization of City forms, titles rather than names of individual officers or employees of the City will appear on forms used in the conduct of City business. This specification does not apply to elected officials.

Only elected officials will be authorized personalized memo pads. In those instances where the printed name of an individual is required by law or is otherwise considered necessary, a written request for approval and justification therefor will be submitted to the City Administrative Officer. The approval must be signed by the department head prior to submission for C.A.O. consideration.

Specification No. 2

The use of individual department "Office Memorandum" forms will not be permitted. Preprinted forms are to be used by all departments which will economically satisfy the intended objective. Form General-53 "Office Memorandum" and Forms General-160, 160A and 160H "Inter-Departmental Correspondence" forms are available through the City Stores for your convenience.

Specification No. 3

As part of the continuing program to ensure that official correspondence of the City of Los Angeles presents the City in best possible light, the following letterhead format is prescribed for use by all City departments. This format is designed to present a uniform and business-like letterhead consistent with the requirements of the various departments and is to be used in all official departmental communications in which the letter format is appropriate.

Airports, Harbor, Water and Power, Controller, City Attorney, City Council and the Office of the Mayor are exempt from the following letterhead constraints.

Format for Department Letterhead

At the top of the page "City of Los Angeles" under which "California" will follow. Under "California" the City Seal. Immediately below the City Seal the name of the Mayor and under the name, the word "Mayor". To the left of the City Seal, the name of all Commissioners should be shown below the full name of the Commission. To the right of the City Seal, the name of the department will appear. Necessary addresses or telephone numbers may appear at this location or at the bottom of the page. The name of the General Manager may also appear to the right of the City Seal. The letterhead may contain a request for the use of a reference number if it is needed.

For those departments which are not governed by a Board of Commissioners, the name of the general manager or officer may appear in place of the Commissioners. The names of appropriate staff assistants may be added to the letterhead, with the approval of the City Administrative Officer. In no instance will stationery be printed which does not include the names of all persons who collectively constitute the head of the department. The following statement will appear centered at the bottom of all City letterheads:

"AN EQUAL EMPLOYMENT OPPORTUNITY-AFFIRMATIVE ACTION EMPLOYER"

As requested by the Mayor and approved by Council (C.F. 81-3196, September 16, 1981), the slogan "L.A.'s THE PLACE" shall be included on and positioned in the center of all City department letterhead stationery. Any other slogans, mottoes and other such miscellaneous information will not be included on official letterhead stationery. All letterheads will be printed by the City Print Shop, utilizing black bond ink and either offset or letter press printing techniques. The use of the word "COPY" printed on some department onionskin paper is to be discontinued.

All requests for deviation from the prescribed letterhead format, along with appropriate justification, will be submitted to the City Administrative Officer for approval.

Specification No. 4

City business cards should contain only that information which is necessary to identify the person and the person's relationship to the City of Los Angeles. Specifically, business cards should contain the City Seal, the name of the individual, title (optional), City telephone number, City office number or location, and the name of the department. Business card requests must be approved by the Department Manager.

The only exception to the above business card format is for part-time City Commissioners. They may list their business or private phone numbers in addition to the above data.

City Administrative Officer

APPROVED:

M A Y O R

Revised as of August 1, 1983

SUBJECT: ASSIGNMENT AND HOME-GARAGING OF CITY-OWNED AUTOMOTIVE EQUIPMENT

City vehicles are purchased and made available to elected officials, departments and their personnel for the conduct and operation of City business. Citizens and taxpayers quickly notice and criticize the unauthorized and improper use of City-owned automobiles. The use of these vehicles must be confined strictly to the business of the City.

The Transportation Committee, which was established by Council action (C.F. 39,133) to aid in carrying out a joint declaration of policy by the Mayor and the Council, is intended to effect economy and efficiency in automobile purchase and use. The Committee has adopted procedures and standards to ensure proper usage of City vehicles. Applications for assignment, regular home-garaging and occasional overnight use of City-owned vehicles will be in accordance with the policies and procedures listed below. Unless noted, all forms required for implementation of this rule are available from City Stores.

A. ASSIGNMENT OF VEHICLES

The model, size and type of passenger vehicle assigned to elected officials, departments and their personnel, and the accessories provided, will be in accordance with the schedule of standards approved by the Council (C.F. 121,973 and 74-4530, S2). Trucks and other types of vehicles will be assigned in accordance with usage and need.

1. Permanent Assignment of Vehicles - Home-Garaging.

Permanent assignment of vehicles to elected officials, departments and their personnel is a budgetary matter. Requests for permanent assignment will be made in connection with the annual budget request.

2. Temporary Assignment of Vehicles.

Requests for temporary assignment of vehicles from the Fleet Services pool will be made to the General Manager Department of General Services. The written request, in duplicate will be signed by the department head or an authorized representative. Temporary assignment of a vehicle does not include home-garaging authority.

The General Manager Department of General Services may authorize temporary assignment of vehicles up to 30 days, with renewal authority for an additional 30 days, within any 12 consecutive months when such assignment, in the opinion of the General Manager Department of General Services, would serve the City's best interest and can be made without impairing the fleet pool operation.

Requests for temporary assignments in excess of 60 days in any twelve consecutive months will be forwarded to the City Administrative Officer (CAO) for approval prior to the expiration of the 60 day period.

B. GARAGING OF CITY VEHICLES AWAY FROM REGULAR HEADQUARTERS

City-owned automotive equipment will not be regularly or occasionally garaged (i.e., "home-garaged") at any location other than regular headquarters on nights, weekends or holidays, without first securing proper approval. This includes garaging on City-owned property, the home of the officer or employee, or any other privately or publicly owned property.

1. Regular Home-Garaging Authority.

a. Criteria.

Authority to regularly home-garage a City vehicle for a specific individual or for a position (where personnel are rotated frequently among staff positions) will be approved by the Transportation Committee only when there is regular and frequent need for this authority. Through authorization of regular home-garaging the City pays employees for their commuting expense. Requests cannot be approved unless the authorization is based upon economy and efficiency and is in the City's best interest.

Consideration of approval for regular home-garaging requests will be given by the Transportation Committee when such requests meet any of the criteria listed below:

- (1) Elected officials, their staff members when requested by elected officials, and department heads.
- (2) Employees whose duties involve emergency work and who are regularly subject to call, who have specific expertise and/or are required to work with special equipment, or who are assigned a specially equipped vehicle (other than radio).
- (3) Employees whose duties require regular and frequent off-duty supervision where there is no regular subordinate employee designated to act in their absence.
- (4) Employees whose duties require special equipment and regular and frequent direct reporting to the field or who have a continuing daily assignment that requires regular and frequent field work during off-duty hours.
- (5) Fire Department employees who are required at the scene of an emergency during such period as they are assigned on-call duty (those employees having similar assignments and who rotate on-call duty will rotate the assignment of the vehicle), or require regular and frequent use of unmarked vehicles for investigative work after normal working hours.

b. Insurance Requirements.

Under certain conditions, such as gross personal negligence and/or driving outside the scope of employment, drivers may be liable for damages arising from their acts in the

operation of City vehicles. Therefore, every driver who regularly garages a City vehicle away from headquarters shall be insured by a standard automobile liability insurance policy for the employee's personally owned motor vehicle, or shall be a named insured on a non-owned automobile insurance policy if the employee does not own a vehicle. Insurance coverage must satisfy either: (1) the Financial Responsibility Laws of the California Vehicle Code, or (2) Section 4.232 of the Los Angeles Administrative Code, whichever is higher.

Department heads, or their authorized representatives, must verify that insurance requirements have been met by all drivers. Evidence of insurance shall be submitted on a certificate of insurance or policy declaration page, bearing an original signature, which shows the limits and coverage. This must be re-submitted whenever there is a material change in either the carrier, coverage or limits of liability. Policies which automatically renew or remain in effect until canceled need not be re-submitted unless there is a material change in the coverage or limits.

A new permit must be obtained any time a change of driver is made. The CAO will send a list of the currently approved permits to each department once a year. Department heads must verify the accuracy of the list and certify receipt of current evidence of insurance by all drivers.

c. Procedure.

A new form for regular home-garaging (Form CAO 34) must be submitted when filing a new application and resubmitted any time a change of driver, Civil Service classification, or driver headquarters occurs. The application for regular home-garaging will be signed by the driver, or drivers of the vehicle in the case of rotating assignments, and approved in writing by the department head. In those departments headed by a commission, the approval of both the general manager and the commission is required.

Each year in September, the CAO will transmit a list of currently approved home-garaging permits. The general manager/department head will annotate the list and return it by October 1 along with any new or changed requests, for the next calendar year.

Approved permits for regular home-garaging will be valid for such periods as may be approved by the Transportation Committee and are revocable by the CAO upon the Transportation Committee's recommendation.

d. Department Responsibility.

The issuance of a permit does not relieve the department management of the responsibility placed upon it by Section 63.106 of the Municipal Code and by the terms of Council File No. 39,133 for the effective and efficient operation of motor vehicles. For new applications and renewals, the general manager/department head must verify the accuracy of the application/list and certify receipt of current insurance compliance by all drivers. Should a permit no longer be required, if its scope should

be limited or modified, or additional needs develop, the general manager/department head should promptly advise the CAO of the changed circumstances.

e. Form CAO 34

Form CAO 34 (Permit for Regularly Garaging City-owned Vehicles Away from Assigned Headquarters) may be obtained from the City Stores and is to be used for filing a new application.

2. Authority for Occasional Garaging of City Vehicles Away from Regular Headquarters.

a. Criteria.

Authority for occasional garaging of City vehicles at locations other than the regular garaging location is available to all City employees and may be granted by a department head, authorized deputy or an authorized management representative from the Commuter Services Office when such authority is considered essential, would provide for economy and efficiency, does not interrupt City business or would serve the City's best interests. This includes providing transportation for ridesharing City employees to cover emergency situations (e.g., sudden onset of illness, family crisis, unexpected mandatory overtime, being stranded at work when ridesharing vehicle becomes unavailable, e.t.c). Occasional garaging is only to be used when no alternative means of transportation can be obtained and is subject to fleet availability. Occasional garaging is provided to meet a particular need of a temporary nature only, and is limited to 60 calendar days in any consecutive 12 month period.

b. Procedure.

Applications for occasional garaging (Form CAO 36) must be signed by the driver of the vehicle and approved in writing by a department head, authorized deputy or an authorized management representative from the Commuter Services Office. Each department will maintain a list of positions authorized to approve occasional home garaging no less than the equivalent of Chief Management Analyst. All effort should be given to secure proper approval from the authorized department representative before seeking approval from a management representative from the Commuter Services Office. A separate form must be submitted for each round trip requested.

- (1) **Fleet Services Pool Vehicles.** The application for occasional garaging away from regular headquarters of Fleet Services pool vehicles will be filled out in duplicate, with the original filed with the department head and the duplicate submitted to the vehicle dispatcher. Departments will furnish the General Manager Department of General Services with the signature of the department head, authorized deputy or an authorized management representative from the Commuter Services Office to be kept on file by the General Manager Department of General Services. The General Manager Department of General Services or an authorized representative will verify that the

authorization has been approved in writing by the proper person prior to assigning a vehicle.

When the need for occasional garaging occurs outside of normal business hours the employee will present a valid driver's license and City Identification to the Security Office located on P-1 of City Hall East. This method is only available in the Civic Center area and should only be used after 5:00 p.m. when a department head, authorized deputy or an authorized management representative from the Commuter Services Office is unavailable to authorize the request. All effort should be given to secure proper approval first. Employees are required to submit a signed overnight garaging authority signed by a department head, authorized deputy or an authorized management representative from the Commuter Services Office on the day the vehicle is returned.

- (2) **Assigned and Other Vehicles.** Applications for occasional garaging of City vehicles assigned to a department by Fleet Services or owned by the department will be approved by the department head, authorized deputy or an authorized management representative from the Commuter Services Office in writing (Form CAO 36).

c. **Responsibility of Departments.**

The authorizing department will ascertain that the driver of the vehicle, upon completion of each round trip, completes the reverse side of the original form. The authorizing department will retain the completed forms for subsequent examination by the CAO.



City Administrative Officer

APPROVED:



MAYOR

Revised as of 03/28/94

Previously issued as Rule No. 5,
dated 10/31/74; Revised 8/1/83;
Revised 9/27/1989

22880d66

**SUBJECT: AUTHORIZATION FOR TRAVEL AND GOVERNMENTAL MEETING
ATTENDANCE BY CITY EMPLOYEES**

City Policy

Travel by City officers and employees is governed by City policy as adopted by the Council and the Mayor in 1957 (Council File No. 79,280), in 1978 by Ordinance No. 150,608 (Administrative Code Section 4.242), in 1982 (Council File 82-0944) in 1983 (Council File 80-5868) and in Executive Directives No. 40 and 49.

The 1957 policy, which pertains primarily to conventions requires the following:

Conventions (C.F. 79-280)

- (1) Memberships in organizations will be limited to the allowances for dues in the annual budget.
- (2) Attendance at annual conventions will be permitted if allowance therefor is included in the budget.
- (3) Attendance will be held to a maximum of not more than one representative from a department unless additional representation is provided for in the budget or subsequently approved by the Mayor and Council.
- (4) Additional requests are discouraged. Requests, if filed, should be addressed to the Mayor who will transmit all requests to the City Administrative Officer for analysis and recommendation to the Council, or return to the applicant.
- (5) Detailed reports on meetings attended may be requested by the City Administrative Officer and, when so requested, shall be filed within 10 days after return to duty from such meetings.
- (6) The City Administrative Officer is directed to furnish annually to the Controller and each department head affected, a list of authorized meetings and conventions for which funds are provided in the traveling expense accounts. Funds shall not be expended for attendance at any convention not included in the above list without specific authorization of the Council. Normal business trips may be authorized by department heads if sufficient unallocated funds are available.

The travel policies adopted by the Council in 1982 and 1983 require the following:

- (1) Per diem ceilings (C.F. 82-0944). Advancements and reimbursements for per diem (food and lodging) shall not exceed the per diem limits expressed in the City Budget Manual except that those limits shall not apply to conferences and legislative activities. These per diem limits are set forth in Sections 2.38 and 9.23 of the Department Budget Manual.

- (2) Non-City financed travel (C.F. 80-5868). The Political Reform Act of 1974 provides that a public officer or employee who receives "income" of \$250 or more from any source other than the City is disqualified for one year after receiving such "income" from acting on matters which foreseeably have a material financial effect on the provider of such "income". The City Attorney advises that any advance or reimbursement for travel expenses paid for by private industry or certain other sources is considered to be "income", and subject to the Political Reform Act provisions. (Travel reimbursements from government agencies or bona fide educational, academic or charitable organizations are not deemed "income" under the Political Reform Act.) The City Attorney also advises that we can conform to the Political Reform Act and avoid conflict of interest by officially accepting non-City financed travel as gifts to the City in accordance with the following rules which were adopted by Council in 1983:
 - a. When a City officer or employee travels on City business on a trip which is financed by any outside entity (other than government agencies or bona fide educational, academic or charitable organizations), any tickets or accommodations purchased in advance by the outside party, or any monetary advance or reimbursement for travel expenses, are considered a gift to the City, provided all trips are reviewed and approved by department heads, the choice of which employees partake of such travel rests with the City, not the outside entity and provided that such travel expense not substantially exceed City travel limits.

 - b. A written agreement in the form of a letter or memo will be the basis for the advance or reimbursement to the City. The agreement must be executed prior to the transaction and state the intent to make a donation or a contractually based payment to the City. Documents pertaining to such a transaction between City employees and an outside entity, must indicate the travel expenses provided by the entity and must be available for review by the public.

 - c. Where a competitive bid is involved and travel is offered by one bidder, departments shall notify the other bidders of the travel offer. Departments are

required to accept trips from all concerned firms which wish to offer such trips unless the number of firms offering travel would overly tax the available staff.

- d. All City department heads or designated representatives are authorized to receive, as gifts to the City (subject to annual Council approval), all travel tickets, accommodations, advances or reimbursements on behalf of the City.
- e. All Commissioners, Department Managers and Bureau Directors and other such officials must file by department, with the City Clerk, no later than July 20 of each year, reports listing all trips financed in part or in total by non-City agencies taken by themselves or their employees during the preceding fiscal year, said reports to explain the purpose of such trips, to declare the total value received, to state how the City's interest was served, and to declare that no conflict of interest exists. If no such trips were taken, a brief negative report is required. The City Clerk will submit the annual departmental reports to the Council for its approval in accordance with Charter Section 2(11)(g), such approval to constitute official acceptance of the travel and accommodations as a gift to the City.
- f. Travel given by outside entities to City employees, outside of the course of City business, must be reported as income in accordance with the Political Reform Act.

Further elaboration of City policy is provided in Administrative Code Section 4.242 which contains definitions of terms, a description of reimbursable and nonreimbursable travel and governmental meetings expenses, requirements for advances and reimbursements of funds and related documentation.

Executive Directives

In accordance with the Mayor's Executive Directive No. 40, travel by Department Heads should be planned so that the Department Head and Assistant will not be absent from the City simultaneously. All City business travel should be arranged through the City's Travel Agent as discussed in Executive Directive No. 49.

The following provisions of this Rule are for the guidance of departments in carrying out these policies.

Definitions

The following definitions will be used in considering requests for travel or governmental meetings:

"Convention" is defined (Administrative Code Section 4.242.2(e)) as a regularly recurring or special conference or meeting of the membership of a professional, technical, fraternal or any other type of organization the subject matter of which conference or meeting only broadly relates to City operations.

"Business Meeting" is defined as a training, advisory, committee session or other gathering requiring expenses for transportation outside Los Angeles County, the subject matter of which is of specific concern in City operations, other than a business trip as defined below. Examples of business meetings are training conferences, panels or workshops on specific City problems or areas of operation, meetings of official bodies and required appearances before judicial, quasi-judicial, or legislative bodies.

"Business Trip" is defined as travel outside Los Angeles County for other than a Convention or a Business meeting, the purpose of which trip is of immediate concern in City operations. Examples of business trips are travel for police investigations, real estate negotiations, recruiting, or the observance of operations or activities of other jurisdictions. It is intended that a business trip be considered as travel essential for the normal operations of the department or bureau concerned.

"Governmental Meeting" is defined as a session within Los Angeles County requiring the representation of the City by the attendance of a City employee (as for a Business meeting) for which lodging or commercial transportation will not be required. In keeping with the definitions of "Travel Costs" and "Non-travel Costs" shown in the Administrative Code (see below), sessions outside of Los Angeles County but close enough not to require lodging and/or commercial transportation will be listed as "Travel", with per diem and transportation financing adjusted downward accordingly.

"Travel Costs" (Administrative Code Section 4.242.2 (f)) include all transportation costs, registration or attendance fees, subsistence costs and other costs reasonably and necessarily incurred which are paid for by the City or which are paid for by the employee or official subject to reimbursement by the City when an employee or official is required to travel outside Los Angeles County on City business.

"Non-travel Costs" (Administrative Code Section 4.242.2 (g)) include all transportation costs, registration or attendance fees, subsistence costs and other costs reasonably and necessarily incurred which are paid for by the City or which are paid for by the employee or official subject to reimbursement by the City when an employee or official is conducting City business within Los Angeles County.

Advances of Funds

Travel and governmental meetings expenses shall be subject to budget limitations. Administrative Code Section 4.242.8 provides that the Controller shall advance funds for those purposes with proper notification from department heads and subsequent documentation of actual expenses.

Allowable Expenses

Employees must always be aware that City business travel is at the expense of the taxpayers and is for the taxpayers' benefit. Travel expense allowances should be used prudently; and the level of expenditures should be reasonable, especially in the choice of places for lodging and meals, where moderately priced establishments of acceptable quality should be sought, giving due consideration to suitability, convenience and the nature of the business involved. As discussed above, Council policy prohibits meals and lodging expenditures in excess of the per diem allowance shown in Sections 2.38 and 9.23 of the Departmental Budget Manual. Airfares are listed in Section 9.23 of the Manual for budget preparation purposes.

The following costs will be paid by the City as described in Administrative Code Section 4.242:

- a. Transportation Expenses.
- b. Meals and Lodging (Not to exceed Budget Manual per diem allowance).
- c. Ground Transportation.
- d. Automobile Rental.
- e. Laundry Service.
- f. City Business Telephone Calls.
- g. Personal Telephone Calls.
- h. Gratuities.
- i. Registration, Seminar or Meeting Fees Where Required.
- j. Other Expenses.

Administrative Code Section 4.242.4 prohibits reimbursement for

expenditures which are of a purely personal nature including such items as auto repairs, replacement or towage of personal vehicles when such use has been authorized; flight insurance; personal telephone calls other than those specified in the Code; expenses for persons other than the employee or official except for hosting expenses permitted by the Code.

Travel Coupons or Promotional Mileage Credits

Airline bonus coupons or promotional mileage credits earned while traveling on City business and funded by public funds, are the property of the City. Such credits, transferable or non-transferable, may only be applied to future travel on City business and cannot be used for personal travel.

Budgetary Authorization for Travel by City Employees

Requests for authorization for all types of travel by City employees will ordinarily be considered only in connection with each department's budget request. The City Administrative Officer will prepare a schedule listing all travel for which funds are provided in the budget. This Travel Authority List will be furnished annually to the Controller and to each department affected in accordance with Council policy as expressed in the Budget Resolution.

Use of and Adjustments to Travel Authority List

All convention travel which has not been approved in the budget process must receive Council approval prior to the convention. In the event that a department head considers that circumstances warrant attendance at a convention which is not included in the Travel Authority List, a "Request for Interim Travel Authority" (Form General 110) and, if necessary, a "Request for Transfer of Funds" (Form General 105) approved by the head of the department, will be submitted to the Mayor. Such requests will normally be referred to the City Administrative Officer for report and recommendation and then submitted to the Council.

All travel included on the Travel Authority List, including trips listed as "undesignated", should be approved by the head of the department prior to the expenditure of funds. With the exception of conventions, trips not included on the Travel Authority List (and for which sufficient funds are not available in an "undesignated" category) may also be approved by department heads using unexpended balances from previous trips or from the cancellation of a trip. If the Traveling Expense Account does not have sufficient funds for the additional trip, the department may request an adjustment to the travel authority list together with a request for a transfer or appropriation of funds.

Requests for adjustments to travel authority involving the need for additional funds (other than for conventions) shall be submitted to the City Administrative Officer in a letter for appropriate notification by him to the Controller. Form General 105 (Request for Transfer of Funds) should accompany the request. Approval of the transfer of Funds (Form 105) by the City Administrative Officer will constitute approval of the request for interim travel authority. Authorization and funding for travel previously requested in connection with preparation of the budget, but not approved and not included in the Travel Authority List, will normally be reconsidered only when information not available at the time of budgetary consideration clearly indicates the need for the trip and a substantial City interest to be served. In like manner, the need for trips not requested in the budget process or for changes to the amount approved for trips should be clearly indicated.

If no funds are available for transfer from other departmental accounts, retroactive reimbursement may not be made even though funds are subsequently appropriated to the proper account in the fiscal year involved. In the opinion of the City Attorney, such reimbursement would be contrary to Charter Section 369. Therefore, requests for appropriations associated with interim travel authority requests must be submitted with sufficient lead time for approval by the Council and the Mayor. All requests for retroactive reimbursement of travel costs will be reviewed strictly in accordance with the above.

Submission of Reports on Travel

In accordance with paragraph (5) of the original Council policy quoted above, upon request of the City Administrative Officer, reports on meetings attended shall be prepared and filed with him within ten working days after the employee or officer returns from the approved trip.

H. Canine
City Administrative Officer

APPROVED:

Tom Bradley
M A Y O R

Revised as of February 21, 1986

Previously issued as Rule No. 15,
dated December 19, 1960.

Issued as Rule No. 6, dated
August 2 1965; revised
December 5, 1975,
July 31, 1980; and
August 1, 1983.

SUBJECT: ORGANIZATION CHARTS

Each year, in connection with budget estimates, a proposed organization chart for every department, office, or bureau is submitted. These charts are valuable in that they depict the functions and lines of authority of the organization as proposed in the budget request. Some of the proposed changes in organization become effective; however, many of them do not. It is seldom that these proposed organization charts reflect actual conditions.

In order to maintain accurate organizational information, it is necessary to amend the organization charts proposed by departments, offices, or bureaus to reflect the budget as adopted by Mayor and Council. These charts will be amended as instructed in Budget Manual Sections 8.20 and 8.30 and submitted to the City Administrative Officer in July of each year concurrently with the departmental work program (CAO-25). Only the original need be submitted, as this Office will reproduce and distribute the necessary copies.

Departmental organization charts will be reviewed by this Office to ensure that they conform with the adopted department budget. Any change in the assignment of positions between functions or organizational units shall be reported to this Office, after approval by the department head. This does not include emergency or other temporary shifts of positions, or shifts of personnel within the existing position structure.

Changes to be proposed in connection with future departmental budget estimates shall be presented in accordance with Budget Manual Section 8.40.

H. Conril
City Administrative Officer

APPROVED:

Tom Bradley
MAYOR

Revised as of August 1, 1983

Previously issued as Rule No. 7, dated August 2, 1965; revised June 17, 1977; and Rule No. 18, dated August 9, 1962.

Subject: APPLICATION OF CENSUS TRACT NUMBER TO GEOGRAPHICALLY IDENTIFIABLE DATA

Sections 12.42 - 12.44 of the Administrative Code entitled, "Collection of Statistical Data by Census Tract", provides that census tract identification numbers will be attached to any record, paper, document, form, archive, map, book or drawing containing a geographic designator.

An analysis of City operations indicates that users of this type of information are frequently required to secure much of their data from other City agencies and have it processed into useful form by the Data Service Bureau. Therefore, resources must be provided, responsibilities defined and coordination established among the several departments involved in each approved application. As applications expand, duplicated data must be consolidated and manual and electronic applications optimized to control costs and provide timely availability of information.

Finally, the limited resources available for this work requires that the diverse needs of all City departments be specified according to a priority scheme that ranks their needs in terms of the benefits they will return to the City.

The Ordinance requires that the City Administrative Officer:

1. Consult with the Data Service Bureau to develop procedures for encoding information and converting geographic designators on documents to their census tract equivalents;
2. Consult with various City departments in developing correspondence tables to be used in inscribing census tract information on departmental records; and
3. Determine guidelines for the identification and processing of documents under the ordinance and for publishing guidelines and procedures for processing and storing resultant data.

In order to control the development of this program, to provide for its uniform and orderly implementation for all City departments, and to insure that interdepartmental coordination and funding have been provided, the following guidelines are established:

1. All manual or electronic applications will be funded through the work program of each of the appropriate departments involved.
2. All continuing applications will be included in the appropriate departments' work programs for each year.
3. All applications will serve a specific, clearly defined need. Applications based on speculation of future value will be deferred until their value and need can be identified.
4. The manual encoding and storage of documents will be the responsibility of the user agency except when economic or other factors make it practical to assign this responsibility to the provider agency.
5. The development and maintenance of manual and electronic correspondence tables will be the responsibility of the agency originating the source document or the computer data file.
6. The timely correction and resubmission of erroneous transactions detected by the automated correspondence table conversion program will be the responsibility of the department originating the data.
7. Modification of existing data processing applications to add census tract information to existing data files will be implemented only if resources are available in the Data Service Bureau's work program and the work has the approval of the Bureau's General Manager.

In order to implement the program effectively, the following procedures are established:

1. The user (requesting) department or bureau will forward a request for the addition of census tract information to the City Administrative Officer for approval. This request will specify:
 - a. The justification for the collection of this information.
 - b. The name and source of the original data file or document providing the required data.
 - c. Frequency of update required.
 - d. Life of retained data.

- e. Consequences of inaccurate or incomplete information and the levels of accuracy and completeness, required of source information.
 - f. Record storage and retention requirements.
 - g. Recommended method of correspondence table matching (manual or electronic).
 - h. Expected staffing requirements in affected departments other than Data Service Bureau.
 - i. Security or privacy restrictions on the use of the data.
2. The Information Systems Management Group of the Office of the City Administrative Officer will evaluate each request on the basis of:
- a. The legal requirement to supply census tract information to internal and external users.
 - b. Budget requirements for the development or modification of existing records for the Data Service Bureau, user and provider departments.
 - c. The appropriateness of the source of required information.
 - d. Retention location and duration of raw and finished data.
 - e. A determination of the effect of the request upon the provider departments' work programs.
 - f. The effect of the request upon the City's Integrated Systems Plan.
3. The City Administrative Officer will request an estimate of data processing costs from the Data Service Bureau, under CAO Rule 13 procedures, for the:
- a. Development of software to add census tract to new or existing data files and to provide requested reports.
 - b. Storage of finished data under Data Service Bureau control.
 - c. Security and privacy requirements of the Data Service Bureau.

4. The City Administrative Officer will establish, for automated systems:
 - a. The priority of the request in the Data Service Bureau's work program (LAAC Sec. 22.54).
 - b. Data security and privacy requirements.
5. The City Administrative Officer will prepare a report to the requesting department setting forth the findings of the study and recommending a course of action. Copies of the report will be distributed to the Data Service Bureau (if required) and to the other departments and bureaus involved in the recommended action.
6. Where interim funding is required, the user department will initiate a request for funds to the Mayor that specifies the funding required for each of the departments involved in the request.

Consideration of the request as part of the subsequent fiscal year's budget will be processed through the Office of the City Administrative Officer. This request will specify the resources required by other departments or bureaus involved in the request and will identify these as "Services Requested From Other Departments."

K. Comrie
City Administrative Officer

APPROVED:

Don Bradley
M A Y O R

Revised as of August 1, 1983

Previously issued as Rule No. 24,
dated 10/5/77; and Rule No. 10,
dated 3-4-52.

SUBJECT: EXEMPTION OF CITY VEHICLES FROM USE OF CITY SEAL

Section 63.99 of the Los Angeles Municipal Code provides that:

The City Administrative Officer may, upon written request, grant exemptions from the provisions of Sec. 63.98 (which requires all passenger motor vehicles owned by the City except those assigned to the Mayor, Council or Police Department to display the City Seal) for a period terminating at the end of the calendar year in which such exemption is granted and shall maintain a record thereof.

Accordingly, requests to exempt City-owned vehicles from the requirement that the City Seal be displayed will be submitted by departments to which such vehicles are assigned. A new application must be submitted any time a change of vehicle or vehicle assignment and/or use is made. The application for City Seal exemption will contain the vehicle description and justification for the request.

Each year in October, the City Administrative Officer (CAO) will transmit a list of currently approved City Seal exemptions. In the case of renewals where there is no change other than the calendar year, the General Manager/Department Head will annotate the list and return it by November 1 along with any new or changed requests.

If an approved vehicle is replaced during the calendar year, the change in vehicle description should be furnished to this Office so that the authorized exemption may continue.

CAO Form No. 32 has been developed to facilitate exemption requests. Copies of this form are available from the CAO and are to be used for filing a new application or changed requests.

Heads of departments and bureaus who are authorized home garaging of their assigned City vehicles will be authorized exemptions from the requirement to display a City Seal upon written request. Other requests will be approved only when there is a demonstrated need to use a City-owned vehicle without a seal.

Exemptions will be authorized in those cases in which the primary and major usage of the vehicle is for the following:

1. Confidential and semi-confidential investigations and inspections;

2. Undercover investigations: and/or
3. Work directly related to the above.

The occasional need to use a City-owned vehicle which does not display the City Seal for undercover or investigative work or for confidential business can be satisfied by utilizing cars in the Fleet Services pool or other departmental pools for which a City Seal exemption for such occasional use has been approved. Use of privately-owned vehicles authorized for mileage reimbursement is encouraged for occasions when the use of a vehicle not identified with the City is required.

K. Cunn

City Administrative Officer

APPROVED:

Tom Bradley
MAYOR

Revised as of October 3, 1988

Previously issued as Rule No. 9,
dated 12-1-65; Revised 9-16-68, 8-1-83.

**SUBJECT: ESTABLISHMENT OF UNIFORM TRANSFERABLE DEPARTMENTAL
EMPLOYEE PERSONNEL FOLDERS (EXCLUDING SWORN FIRE
AND POLICE)**

Each year a significant number of employees transfer, promote or revert to positions in different departments of City government. This Rule establishes a standard procedure for forwarding departmental files to another department when employees move from one department to another. This Rule is necessary to standardize personnel documents and files, complete employee work histories, provide for uniform filing and records retention procedures, and to ensure that consistent data is available for entry into automated personnel and payroll systems.

A. INTERDEPARTMENTAL TRANSFER OF PERSONNEL FOLDERS

1. When any employee transfers, promotes or reverts to a position in a different Council-controlled or proprietary department of City government (except Water and Power), the concerned employee's departmental personnel folder shall be forwarded to the new appointing authority within 30 days of the effective date of the transfer.
2. When any employee transfers, promotes or reverts to a position in the Department of Water and Power from any other department of City government, the departmental personnel folder for the concerned employee will be forwarded to the Personnel Department within 30 days of the effective date of the transfer for retention with the Centralized Personnel Records for the individual.
3. When any employee transfers, promotes or reverts from a position within the Department of Water and Power to a position in any other department of City government, the receiving department shall create a new departmental personnel folder for the employee. If the transferring employee has worked in a department other than Water and Power subsequent to April 17, 1979, the Personnel Department will have a departmental personnel folder which shall again be utilized in lieu of creating a new folder.
4. When any employee terminates employment with any department of City government (except Water and Power), the employee's departmental personnel folder shall be forwarded to the Personnel Department for retention with Centralized Personnel Records for the individual.
5. Prior to transmittal of folders to the new department or the Personnel Department, the personnel section staff shall review the folder contents to assure that all appropriate and up-to-date records are included.

e. Miscellaneous Correspondence

(1) In those instances where an employee has been given an oral reprimand, and the circumstances leading to the reprimand may lead to the preparation of a Notice to Correct Deficiencies (FG78), a memorandum setting forth the specific justification for the oral reprimand may be included in the concerned employee's folder.

(2) Other correspondence relevant to the positive or negative aspects of an employee's job performance originating within the department of employment shall utilize Form General 78 and Form General 79, respectively.

(3) Any correspondence concerning the positive or negative aspects of an employee's job performance originating outside the department of employment may be included.

f. No items shall be placed in departmental personnel folders unless the concerned employee has been made aware that the item will be placed in the folder and the employee has been given or offered a copy of said item.

3. Documents disclosing an illness, injury or condition that can be perceived as medical in nature should not be placed in either an employee's personnel folder or any other file accessible to persons at the time they are making personnel employment decisions. As personnel files are reviewed for any reason, such medical documents should be removed to insure existing employee personnel files will be purged of all medical related information. In the event there is a separate medical file (or other type of file besides the primary departmental personnel file), departments should place a note in the employee's personnel file which simply states "Please see separate file(s)." This will alert appropriate personnel of the existence of other information without specifying whether it is medical or non-medical information.

4. Workers' compensation claims history or documents pertaining to an employee's work restrictions must be maintained separately from an employee's personnel file.

CITY OF LOS ANGELES
INTER-DEPARTMENTAL CORRESPONDENCE

Date: May 12, 1995

To: HEADS OF ALL COUNCIL-CONTROLLED DEPARTMENTS

From: Keith Comrie, City Administrative Officer 

Subject: REVISION TO CAO RULE 11

Federal tax law requires detailed documentation of MICLA expenditures (Municipal Improvement Corporation of Los Angeles). Therefore, any equipment to be purchased using MICLA monies that is not listed on a department's Council-approved Equipment List should be treated as a significant deviation. Also, if the purchase price of MICLA-funded equipment that is included in the Equipment List exceeds the Budget figure by more than 20 percent, it should be considered a significant deviation. A Rule 11 should be submitted to the CAO in either instance.

Attached is a revised Rule 11. If you have any questions or need further information, please contact your CAO budget analyst.

KC:EFS:nr

Attachment

SUBJECT: EQUIPMENT PURCHASES AND RETENTION OF EQUIPMENT FROM SALVAGE

Department heads are hereby given provisional authority to make routine modifications to their Mayor/Council approved Equipment Lists. Only significant changes will require CAO review (and in some cases Fleet Services approval), as described in Attachment A. The CAO will only report to the Mayor and/or Council when the Request involves a significant policy issue or a significant deviation from the Budget.

PROCESSING OF RULE 11 DEVIATIONS:

General Managers or heads of departments shall make a Request for Equipment Deviation for any significant deviations prior to initiating a Purchase Requisition. The CAO's department liaison analyst should be consulted when the department is uncertain whether the purchase of a particular item will require a deviation request.

1. The department will route the Request for Equipment List Deviation Form (Form General 112) in triplicate to the CAO. No letter of transmittal is required. The CAO will return both approved and disapproved Requests back to the department. The department will be responsible to transmit approved Requests to the Purchasing Agent when the Purchase Requisition is made.
2. For Fleet Equipment - If the reason for a Request for Deviation is for a new item of fleet equipment which cannot be purchased under a current General Services (GSD) contract or for a vehicle to be retained from salvage, departments should first send the Request to the appropriate Fleet Services Division (GSD, Police or Fire) for approval. Fleet Services approval is necessary to ensure that the City has the correct parts, tools and personnel to maintain and repair the requested item. Fleet Services will transmit approved Requests to the CAO for further processing as described in #1. Disapproved Requests will be returned to the requesting department.


City Administrative Officer

APPROVED:


MAYOR

MAY 09 1995

Revised as of

Previously issued as Rule No. 11.

last revised Jan. 23, 1995

ATTACHMENT A

WHEN "REQUESTS FOR DEVIATION FROM THE EQUIPMENT LIST" ARE NEEDED:

CAO review is only required when the substitution or revision of equipment items will change the character of the operations previously approved in the Budget by the Mayor and Council, regardless of cost or in certain situations when an equipment item is to be purchased using MICLA funding. General Services, Police or Fire Fleet Services approval (as appropriate for your department) is also required in certain situations noted below. The following examples are illustrative and not comprehensive.

For example:

1. Replacing the purchase of fire trucks with the purchase of firearms. (In fact, any firearm purchase.)
2. Eliminating approved equipment so that budgeted funds can be used for travel.
3. Not purchasing equipment so that funds can be used to hire employees to start a new service level which the City would be obligated to continue or find difficult to stop.
4. Not purchase equipment considered essential to providing services to the public or compromising the safety of employees with the intent of diverting funds to other areas of desired effort but lower priority.
5. Substitution of an approved item with another equipment item that will require additional ongoing costs for staffing that are not in the approved Budget.
6. When the purchase of substitute equipment will incur additional ongoing maintenance costs of more than \$5,000 over original annual estimates.
7. When an item requested to be retained from salvage has a salvage value in excess of \$5,000.
8. For any requests for salvaged fleet equipment regardless of value. (**Fleet Services approval is also required.**)
9. For any requests to purchase or lease/purchase new or used fleet equipment that cannot be purchased under an existing contract. (**Fleet Services approval is also required.**)
10. When an item is to be obtained through rental, lease or lease/purchase where costs exceed \$5,000 per year.
11. Any time an item is not on the Council-approved Equipment List and is to be purchased using MICLA funds (Municipal Improvement Corporation of Los Angeles).
12. Any time an item that is on the Equipment List, and is to be purchased using MICLA funds, exceeds the budgeted amount by 20 percent or more.

The rental, lease or lease/purchase of equipment is limited to requesting departments that have demonstrated that the rental or lease of such equipment is:

- a) for a short term purpose (no more than 30 days for office or field equipment; six months for vehicles or communications equipment); or,
- b) to address emergency needs (e.g., extended repair time required for budgeted equipment; seasonal requirements; highly specialized equipment available only through rental or lease).

All rental, lease or lease/purchase equipment will conform to established City standards (as provided by the Department of General Services for fleet, communications and office equipment) unless the equipment required is of a unique or proprietary nature.

Other Information:

- Any necessary interaccount transfers, allotment changes or requests for additional funds must still be sent to the CAO.
- Requests to purchase non-standard computer equipment are described in CAO Rule 13.
- Existing equipment may be traded in (at the vendor's discretion) and the value of the trade-in applied to the purchase price of the new, upgraded equipment to be purchased.
- An equipment item retained from salvage may not be replaced.
- The period for which a salvage vehicle is required may not extend beyond the end of the fiscal year. Any extension will require re-approval by the appropriate Fleet Services Division. Extension requests must be submitted by June 1 each year. Salvage vehicles not approved for retention beyond the end of the fiscal year will be removed by the Department of General Services from service and salvaged in accordance with normal salvage procedures.

SUBJECT: PAY GRADES WITHIN POSITION CLASSIFICATIONS

It is the policy of the City Administrative Officer to recommend to the Mayor and Council the establishment of pay grades for existing position classifications when pay grades are required to provide appropriate compensation for classifications containing positions with varying levels of difficulty.

It is the policy of the Civil Service Commission to establish broad classes by consolidating existing classes when such consolidation provides a more efficient method of personnel selection. The Personnel Department periodically reviews the City's classification structure and recommends to the Civil Service Commission horizontal or vertical class consolidation when warranted. When such class consolidations are adopted by the Civil Service Commission, the City Administrative Officer will review such actions and recommend to the Mayor and Council appropriate pay grades. In addition, the City Administrative Officer will periodically review the need for additional pay grades and recommend thereon when warranted.

The City Council and Mayor have adopted the following provisions with regard to the utilization of established pay grades:

"The City Administrative Officer is hereby directed to maintain an official record of the distinguishing duties and responsibilities of positions in cases where the Council has established two or more pay grades within a single class, and to periodically review the duties and responsibilities of such positions and report thereon to the City Council with recommendations, if any, for any changes in authority or compensation in order to assure that the existing ranges of compensation within such classes are commensurate with such duties and responsibilities. It is the responsibility of the appointing authority together with the Personnel Department and with the approval of the City Administrative Officer to establish administrative procedures consistent with merit principles for the assignment of persons to such salary grades." (Administrative Code Section 4.67(c))

The assignment of employees to separate pay grades in all classes where more than one pay grade is established shall be in accordance with the following principles:

- A. The assignment of employees to positions in all classes which have more than one pay grade shall be made in conformance with merit system principles. It shall be the responsibility of the appointing authority, together with

the Personnel Department and with approval of the City Administrative Officer, to establish administrative procedures for the assignment of employees to the separate pay grades consistent with such merit system principles. All such appointments will be made either from civil service eligible lists or in accordance with the procedures stated below.

B. The selection procedure for making assignments to positions in classes having more than one pay grade shall meet the following standards:

1. Provide for selection on the basis of evaluation of performance, ability and potential, after a specified period of service.
2. Provide that any procedures which may be established for evaluating performance, selecting or qualifying employees, or hearing employee requests or complaints, are designed to assist the department manager, who is to retain the final authority over selection.
3. Provide for consistent methods, standards, and procedures in the assignment of employees to the separate pay grades.
4. Provide that reassignment to a position at a lower pay grade may not be made except for the following reasons: termination of a temporary or tentative assignment to the position; a voluntary change of work assignment for the employee's convenience; inability of the employee to perform the duties of the position in a satisfactory manner; or any situation in which the best interests of the City indicate the need for reassignment (the latter is generally intended to apply to a situation such as a layoff, a rotation policy, or a change in duties, responsibilities, or requirements of the position).

In those instances in which positions in two or more pay grades in one classification are authorized for one department or bureau, the appointing authority proposing to fill positions with a pay grade designation higher than the first level will complete Form CAO 614, Pay Grade Advancement, and submit three copies to this Office. Information submitted on this form will provide a basis for evaluation of the level of duties of the positions proposed to be filled. These duties should be clearly distinguished from those of other pay grade levels within the class. The signature of the appointing authority on this form certifies that the proposed pay grade advancement is being made in accordance with procedures approved for the department.

It will be necessary that a department have an approved procedure established for pay grade advancement prior to making any such pay grade advancement and that procedure be on file with the City Administrative Officer. Pay grade advancements will generally be possible without selection of personnel from a civil service eligible list.

In those instances in which a department or bureau is authorized positions in a single pay grade level, whether the first level or a higher level, the appointing authority need not submit a Pay Grade Advancement form since filling the vacancy will follow civil service procedures for transfers or appointments from an eligible list.

K. Conrie
City Administrative Officer

APPROVED:


Tom Bradley
M A Y O R

Revised as of August 1, 1983
Previously issued as Rule No. 12,
dated 8-7-68, revised 12-13-71,
10-23-78

CITY OF LOS ANGELES
INTER-DEPARTMENTAL CORRESPONDENCE

Date: September 29, 1994

To: THE HEADS OF ALL DEPARTMENTS OF CITY GOVERNMENT
(Except Airports, Harbor, and Water and Power)

From: Keith Comrie, City Administrative Officer 

Subject: REVISED CITY ADMINISTRATIVE OFFICER RULE NO. 13

This Office has recently been working with the Mayor's Office, the Department of Information Services (ISD), and the many City agencies represented on the Departmental Computing Standards Committee to simplify and streamline procedures for acquiring computer equipment and software. For many years CAO approval has not been necessary to procure "standard" software packages, but such approval has been needed to procure non-standard software. Now, considering the great number, quality, and reasonable cost of packaged software products available today, approval of this Office is no longer warranted to procure "non-standard" software packages. Therefore, effective immediately, the attached CAO Rule No. 13 replaces the one issued July 1988 and CAO approval is no longer required to procure any packaged software products.

Our recent review also found that the City should continue utilizing standard computer equipment and software to facilitate sharing of information among City agencies. However, it is not necessary to have nearly as many software standards in the future to meet this objective. Thus, ISD will reclassify current software standards into "Preferred" and "Standard" categories. Preferred products will be those which ISD has tested to operate on standard equipment and for which ISD will provide support services. Standard products will be those that, in addition to being ISD tested and supported, facilitate sharing of information among City agencies. Due to the importance of using standard software packages, ISD approval will be necessary to procure software packages that are functionally similar to those classified as "standard".

Although ISD shall continue to designate the standard and preferred items of computer equipment and software, the Departmental Computing Standards Committee, since its inception in 1988, has provided valuable and welcome input to ISD on these matters. While many City agencies currently participate on this committee, I encourage any agency not now doing so to begin participating. For information as to the time and place of the next committee meeting, contact Robert Lewis of this Office on ext. 5-7005. Any questions about the Rule should also be addressed to him.

KC:RJM:bka

Attachment

SUBJECT: ACQUISITION OF COMPUTER EQUIPMENT AND SOFTWARE

I. GENERAL

Section 51.3 of the City Charter assigns to the City Administrative Officer (CAO) the responsibility to plan and direct procedures and systems to provide for the efficient and economic operation of City Business. Included in this assignment is the responsibility to establish proper procedures for the control and approval of all new or significantly revised electronic information processing systems, equipment and software. This Rule prescribes the procedures which all City agencies (except proprietary departments) shall follow to procure computer equipment, packaged software, and custom developed software. Requests for computer equipment and software will be considered as part of the annual budget process or on an interim basis. Such requests will be evaluated using the same criteria applied to other budgetary requests. This Rule specifies the information needed for evaluation - regardless of the source(s) of funding.

II. REQUESTS FOR COMPUTER EQUIPMENT

The Department of Information Services (ISD) has established a list of "functionally standard" computer equipment items (i.e. personal computers, terminals, printers, etc.). Through CITIMAIL (document "CITISTND") and consultation services, ISD publicizes the current list of items which comprise the functional standards and the level of support which ISD will provide. For budgetary purposes, such items of computer equipment will be requested and processed in the same manner as any "equipment" item. Thus, annual budget requests for functionally standard computer equipment shall be made as prescribed in the Departmental Budget Manual. CAO Rule No. 11 prescribes the interim budget request procedure for equipment.

Requests for non-standard computer equipment shall be made via an inter-departmental correspondence from the requesting department head or bureau director to the City Administrative Officer, Attention: Director of Systems. Each request shall contain the following information:

1. The non-standard equipment items desired and the estimated purchase costs.
2. An explanation of the anticipated benefits.
3. The reason(s) why functionally standard equipment items are not satisfactory.
4. The name and telephone number of a contact person to answer questions about the request.

5. For interim requests only, the source(s) of funding available (fund, department, and account numbers). If no surplus funds are available, the request should contain sufficient justification for an interim appropriation.

III. REQUESTS FOR PACKAGED SOFTWARE

ISD defines and publishes the City Core Software Functions necessary to assure communications and data sharing between all City departments. ISD divides the Core Software Functions into City Standard software and City Preferred software. City Standard software provides the basic communications and interoperability framework for the City. City Preferred software provides certain desktop functions such as wordprocessing, spreadsheet and presentation.

ISD's direction is to follow industry standards to provide an open environment that permits a wide range of computing solutions, and to provide an information systems environment that ensures widespread data interchange for common functions. That widespread interchange is enabled in a large organization by the establishment of a standard communications network, data sharing standards, and a core of common software functions.

While ISD has responsibility for establishment of contracts and procedures for acquisition of packaged software Citywide, ISD approval is required only for procurement of software that conflicts with City Standard Software functions. ISD approval is not required for purchases that conflict with City Preferred software. Departments may elect to use City Preferred software or their own alternatives; however, departments selecting alternatives will be responsible for their own compatibility testing and support — only the City Preferred products will have ISD testing and support.

ISD will assume responsibility for thorough interchange testing, establish favorable procurement contracts, and assure that an adequate support structure is in place for all City Standard and City Preferred software.

Departments will experience favorable life-cycle costs, higher software functional reliability and interoperability, and will maximize their own staff resources by utilizing standard and preferred software.

ISD approval is not required for any purchases outside of City Core Software categories, Standard or Preferred, although Departments will use the Citywide packaged software contracts for these acquisitions. By definition, specialized software (i.e. engineering, sanitation, laboratory analysis software, etc.) and the many specialized functions available from inexpensive software are not considered core and are not subject to review.

CAO approval is not required for acquisition of packaged software.

IV. REQUESTS FOR CUSTOM SOFTWARE DEVELOPMENT

If the development or modification of custom software meets the following criteria, no CAO review is required:

1. The custom software is to be developed by existing personnel of the benefiting agency or ISD;
2. The software can be operated on City standard computer equipment and does not duplicate functionality available from standard software products;
3. The purpose and objectives of the system does NOT conflict with the Integrated Systems Plan adopted by the Mayor and Council.

If additional resources are required to develop a new system or significantly modify an existing system, a written request shall be sent by the department head or bureau director to the CAO, Attention: Director of Systems. The request must contain a report including the name and telephone number of a contact person to answer any questions about the request. The intent of the report is to justify additional expenditures in order to develop the proposed/enhanced system. The report should be written in language familiar to the requesting agency and all agencies which will be affected by, or benefit from, the requested automation.

The content and organization of the report should be as follows:

Section A - Executive Overview

The Executive Overview should:

1. Describe the expected benefits and state the goals and/or problems that the proposed automation is intended to address.
2. Discuss in narrative form the new automation in a conceptual manner, so as to provide an understanding of how the proposed automation will accomplish the goals and/or resolve problems.
3. Optionally, include an overview diagram to supplement the narrative and illustrate the flow of significant groups of data through the user department(s) and/or work location(s).
4. Summarize additional costs for new equipment and/or personnel required for system operation. A cost estimate for the custom software development is not required.

Section B - Description of Proposed Information System (optional)

This section should provide sufficient detail about the proposed system to allow the developer to assess the timeframe and resources needed to develop and implement the system. This section is optional because it is recognized that a requirements analysis, which is part of the development process, is necessary to obtain this information. To the extent that the information is known, this section should include:

1. Business Functions - Processes

Describe the business functions/processes that will be affected by the automation request.

- a) sequence of business processing functions to indicate work flow and processing constraints,
- b) each significant business task to be automated,
- c) user interaction with the system to perform data entry and/or retrieval functions,
- d) workload volumes, data retention and performance criteria, and
- e) critical or design limitations imposed by the business function including:
 - 1) data currency requirements (i.e. how up-to-date must data be maintained).
 - 2) system security.
 - 3) system availability requirements (i.e. the time periods each week that the automation must be available for use.)
 - 4) any aspect of the business environment which may necessitate future system growth or expansion, and an estimate of that growth.

2. Data Items, Inputs and Outputs

Provide examples of existing and/or proposed forms/reports which identify data items to be processed by the system.

- a) Provide examples of all existing forms which identify data items - even if the forms are to be redesigned as part of the automation process. Note any data items on those forms which would not be used by the proposed system and could be ignored by the system developer. Also note any forms which would be eliminated by the automation.
- b) Describe or provide examples of data items to be entered into the system for which (1) no existing form is used to record the data and (2) no existing (or planned) systems are available from which to retrieve the items.
- c) Describe or provide examples of output requirements (e.g. reports, canned queries, data to be transmitted to other existing or planned systems, etc.) of the proposed system which the system developer is expected to implement.

3. System Interfaces

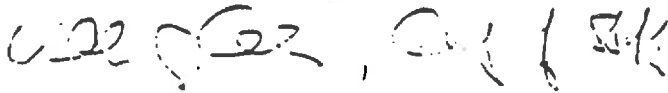
Describe how the data within the proposed system interfaces with other manual or automated systems and how the system would affect other agencies.

- a. Describe or provide examples of data items which the proposed system will be expected to retrieve from, or provide to, existing and planned systems.
- b. Describe the existing City organization(s) involved with the processes to be automated and provide a general discussion of how these organization(s) need to change in order to effectively support and/or use the proposed automation.

Note: For the purposes of this Rule, the word "data" is intended to be a generic reference to all forms of information (e.g. alphabetic and numeric data, graphic and document images, pictures, audio, video, etc.).


City Administrative Officer

APPROVED:



MAYOR

Revised as of September 7, 1994

Revised as of July 1, 1988

Revised as of May 29, 1985

Revised as of February 16, 1979

Revised as of July 18, 1973

Revised as of September 15, 1972

Revised as of January 20, 1970

Subject: MAIL AND MESSENGER SERVICES

Each year funds are appropriated to the Budget of the Department of General Services to provide for U. S. mail and messenger service for all City departments and offices except for the Departments of Water and Power, Harbor and Airports. To ensure that these funds are properly expended, all City departments and offices, except for those listed above, will adhere to the following policies and procedures:

1. Each department and Office shall establish controls to ensure that all material forwarded by U. S. mail is directly related to City business and that this material cannot be handled through the City's messenger mail service.
2. The City's messenger mail service is to be used whenever possible; and only for City business.

Each department and office shall insure that the messenger mail is not used to transmit the correspondence of unions, employee associations or other private, special interest groups.

All interdepartmental messenger mail will be clearly marked with the appropriate mail stop number.

3. Addressing formats for U. S. mail shall conform to the requirements of the United States Postal Service for sorting by the Optical Character Reader.

The Department of General Services shall establish addressing formats acceptable to the Postal Service, and shall inform each City department and office of those requirements.

4. Each department and office shall justify all requests for special mail handling such as certified or registered mail.
5. Each department and office shall notify the Department of General Services by October 1 of each year of their requirements for large special mailings that will occur in the following fiscal year.
6. The Department of General Services must be contacted prior to the design, layout and preparation of large quantities of printed matter for mailing to ensure that the lowest mail rate and most economical handling procedure may be followed.

7. The imprinting or use of any City mail permit number shall be approved by the Department of General Services.
8. The use of postage stamps shall be held to a minimum. Stamps will be provided only in certain circumstances, i.e., to meet legal requirements, where meter mail and messenger service cannot be provided, for use on post cards, and in extraordinary circumstances as determined by the department head.
9. All mail will have a return address (i.e., room number, Post Office box number, code number, etc.) of the City department originating this mail.

The Department of General Services will issue quarterly reports to each department and office indicating the amount of funds expended for mailing service for that department or office. A report shall be forwarded to the City Administrative Officer listing these expenditures for mail service. The Department of General Services will continue to provide the departments with information concerning the effective utilization of the messenger and mail service.

K. Connel
City Administrative Officer

APPROVED:

Tom Bradley
M A Y O R

Revised June 1988
Revised August 1, 1983
Previously issued as Rule No. 14.
dated 9/1/74

**SUBJECT: REIMBURSEMENT FOR LOST, STOLEN OR DAMAGED PERSONAL
PROPERTY, PROSTHESES AND TOOLS**

Section 4.106.1 et seq of the Los Angeles Administrative Code (LAAC) establishes a policy to reimburse City employees for lost, stolen, damaged or destroyed personal property, prostheses and tools. LAAC Section 4.106.13 authorizes this Office to establish rules and regulations for implementation of the reimbursement policy.

Under the provisions of LAAC Section 4.106, department heads are the approving authority for requests for reimbursement filed by City employees. The City Administrative Officer is responsible for reviewing claims for reimbursement submitted by department heads or City officers.

The following procedures shall be followed by department heads for reviewing reimbursement claims by employees for personal property or tools damaged, destroyed, lost or stolen in the performance of an employee's duties.

A. APPROVAL FOR REIMBURSEMENT BY DEPARTMENT HEADS

1. All claims for reimbursement shall be submitted on Form General 130, Claim for Reimbursement.
2. Reimbursement payments will be coordinated with the employee's other City benefits, where applicable, so that the City reimbursement is only for amounts not covered under other City insurance programs. Only the amount not reimbursed by other sources shall be claimed on Form General 130. If the processing department is unsure of an employee's benefits and City insurance coverage, the Employee Services Division of the Personnel Department should be contacted. Where applicable, a Statement of Settlement from the City insurer is to be attached to the claim form when reimbursement requests are sent to the Purchasing Agent.
3. Department heads shall only approve reimbursement for personal property or prostheses damaged, destroyed, lost or stolen in the performance of the employee's duties. Personal property or prostheses include eyeglasses, hearing aids, dentures, watches and articles of clothing. Articles of clothing include uniforms, emblems and other items of clothing required by the job. To receive reimbursement, an employee must have taken reasonable care to protect against the loss or theft. For example, an item lost or stolen from an unattended desk would be reimbursable only if it were removed from a locked compartment.

Potential Areas For Paperwork Reduction

In examining paperwork processes, departments should focus on aspects that hold the greatest potential for reduction. All plans should include clearly defined strategies for reducing paperwork, and departments are encouraged to include suggestions for reductions on a City-wide basis. Innovative strategies are solicited, but the following potential considerations should not be overlooked. These considerations are cited for purpose of illustration and should not be viewed as all-inclusive.

- a. Education/Promotion - Promote among employees at all levels the need for paperwork reduction and the various methods to achieve it.
- b. Forms Management - Review and improve departmental forms management efforts by eliminating, consolidating, redesigning forms and by critically examining the need for copies.
- c. Centralized Files - Consider the centralization of the custody of active files and the reduction of satellite files.
- d. Correspondence and Reports Distribution Control - Critically examine and adjust the number of copies generated and distributed.
- e. Documentation Requirements - Examine documentation requirements to eliminate unnecessary or excessive documentation. Consider the use of minimum threshold levels to avoid spending more for the documentation than the cost of the event.
- f. Technology - Consider the application of technology (e.g. microfilm) to reduce the cost and use of storage space for paper.
- g. Computer Printouts - Critically examine the value and the frequency of computer printouts. Eliminate or modify reports that have fallen into disuse.
- h. Word Processing Operations - Encourage staff to examine the potential for storing working documents electronically as an alternative to creating paper files that become candidates for long-term storage.
- i. Administrative Controls - Examine the potential for using decentralized economic controls in lieu of paper intensive administrative controls, e.g., allocation of specific sums of money to specific organizational units for expendable supplies with local authority to spend to a limit.

(Sample Format Example)

PAPERWORK REDUCTION PROGRAM

PLAN OVERVIEW

To: Mayor Tom Bradley

Date / /
(month/day/year)

From: _____
(Agency)

Contact: _____ Phone _____

Subject: PAPERWORK REDUCTION PLAN FOR 19__

1. Plan Description

2. Plan Objectives

3. Estimated impact

PAPERWORK REDUCTION PLAN 19__

ELEMENT DESCRIPTION

Project Title _____

Contact _____ Phone _____

1. Opportunity

2. Strategy

3. Estimated cost (if any)

4. Estimated impact

5. Time-line

Start date _____
(month/day/year)

Completion date _____
(month/day/year)

Milestones

Dates

A.

_____/_____/_____

B.

_____/_____/_____

C.

_____/_____/_____

Sample Format For Paperwork Reduction Plans

The purpose of this attachment is to provide departments with a standard for documenting paperwork reduction plans. Plans will contain three sections: a letter of transmittal signed by the department head; a narrative paperwork reduction plan overview; and separate descriptions of specific elements that comprise the overall plan. Questions regarding the preparation of the descriptions should be directed to the Chief Analyst of the CAO Productivity Group.

A. Paperwork Reduction Plan Overview

The plan overview (see example on page 3) will be addressed to the Mayor and will identify the subject as "Paperwork Reduction Plan for 19___," the originating department, and a named contact with telephone number. The body of the overview will be comprised of a narrative description of the overall plan, its objectives, and the estimated impact on the reduction of paperwork. Details about specific projects should be described separately in the plan element descriptions.

B. Paperwork Reduction Element Descriptions

Attached to the plan overview will be separate descriptions of the elements comprising the overall plan (see example on page 4). Each project will be identified by a title and will provide the name of a contact and telephone number. A narrative description of the element will follow including the identification of the reduction opportunity, a strategy of how to achieve it, the estimated cost, if any, and an estimation of the impact of the change resulting from the project. Finally, a time-line will be included identifying the start and completion dates and milestones for completing the project.

SUBJECT: Annual Submission of Paperwork Reduction Plans

Executive Directive No. 51 instructs the City Administrative Officer to prepare administrative guidelines to implement an annual planning process for paperwork reduction. The goal of this effort is to reduce the amount of paperwork generated by City government.

As provided in the Directive, department and bureau heads will critically examine the paperwork processes under their control and prepare a specific comprehensive paperwork reduction plan for calendar year 1989 and annual updates in 1990 and 1991. Initial plans will be submitted to the Mayor by November 15, 1988, and will include a description of an overall plan and specific elements using the sample format in Attachment A. Annual updates will address additions and deletions of specific elements.

In addition to the review of their own internal paperwork processes, certain department heads will examine the paperwork requirements imposed on departments and bureaus by City-wide paperwork processes under their control: the CAO, the City Clerk, the City Controller, and the general managers of the General Services and Personnel departments. Following the same timeline and procedures as departments conducting an internal examination, these departments will prepare and submit plans which address City-wide paperwork processes, annually, for a consecutive three-year period beginning in 1988. Therefore, these departments are responsible for developing two separate plans, one addressing paperwork reduction within their own departments and another addressing City-wide paperwork processes.

To assist departments as they begin the process of examining their operations, Attachment B offers some suggested areas with potential for paperwork reduction. Departments are encouraged to be innovative in dealing with the problem within their unique environment. In addition, training will be coordinated by the City Clerk's Records Management Unit. However, departments are solely responsible for developing their plans and for achieving positive results. Departments will be notified of training dates.

This Rule will cease to be operative on December 31, 1991 unless specifically extended.

K. Comrie
City Administrative Officer

Approved:

Tom Bradley
MAYOR

Attachments

June 30, 1988

**PRODUCTIVITY IMPROVEMENT PROJECT
COST COMPARISON WORKSHEET**

PROJECT TITLE

For Submittal With: Initial Project Request Final Report

**ANNUAL COST OF CURRENT OPERATION--
PERSONNEL (Use 3rd Step)**

<u>No.</u>	<u>Class</u>	<u>Salary</u>	<u>Total Direct Cost</u>	<u>Total Project</u>
_____	_____	\$ _____	\$ _____	
_____	_____	\$ _____	\$ _____	
_____	_____	\$ _____	\$ _____	
	Total Salary Cost	\$ _____	\$ _____	
	Total Equipment Cost	\$ _____	\$ _____	
	Total Expense & Special Cost	\$ _____	\$ _____	
	Total Direct Cost	\$ _____	\$ _____	\$ _____
		Employee Benefits . . . \$		\$ _____
		Costs From Other Departments*		\$ _____
	Total Annual Cost of Current Operation			\$ _____

**ANNUAL COST OF IMPROVED OPERATION
PERSONNEL (Use 3rd Step)**

<u>Class</u>	<u>Salary</u>	<u>Total Direct Cost</u>	<u>Total Project</u>
_____	\$ _____	\$ _____	
_____	\$ _____	\$ _____	
_____	\$ _____	\$ _____	
	Total Salary Cost	\$ _____	
	Total Equipment Cost	\$ _____	
	Total Expense & Special Cost	\$ _____	
	Total Direct Cost	\$ _____	\$ _____
		Employee Benefits . . . \$	\$ _____
		Costs from Other Departments*	\$ _____
	Total Annual Cost of Improved Operation		\$ _____

**PROJECT IMPLEMENTATION COST
PERSONNEL REQUIRED**

**Personnel Availability
(E) - Existing (A) - Additio**

<u>Avail.</u>	<u>No.</u>	<u>Class</u>	<u>Project Hours</u>	<u>Salary</u>	<u>Total Direct Cost</u>	<u>Total Project</u>
_____	_____	_____	_____	\$ _____	\$ _____	
_____	_____	_____	_____	\$ _____	\$ _____	
_____	_____	_____	_____	\$ _____	\$ _____	
			Total Salary Cost	\$ _____	\$ _____	
			Total Equipment Cost	\$ _____	\$ _____	
			Total Expense & Special Cost	\$ _____	\$ _____	
			Total Direct Cost	\$ _____	\$ _____	
				Employee Benefits . . . \$		\$ _____
				Costs from Other Departments*		\$ _____
			Total Project Implementation Cost			\$ _____

Attach a separate sheeting showing a breakdown of all direct costs in departmental budgets.

PRODUCTIVITY IMPROVEMENT PROJECT PROGRESS REPORT

DEPT./BUREAU	FOR FISCAL YE
--------------	---------------

PROJECT TITLE

Start Date	Est. Completion Date	Est. Project Hours	Project Hours to Date	Per C Utili:

PERIOD OF THIS REPORT From _____ To _____	REPORT CATEGORY *Interim <input type="checkbox"/> *Final <input type="checkbox"/>
--	--

ACCOMPLISHMENT TO DATE *(Quantify Results When Possible)

()

EXPLANATION OF DEVIATION FROM PLAN

REMEDIAL AND CONTINUING ACTION

PRODUCTIVITY COORDINATOR _____ Date: _____	GENERAL MANAGER/DIRECTOR _____ Date: _____	CAO _____ Date: _____
--	--	-----------------------------

PRODUCTIVITY IMPROVEMENT PROJECT REQUEST

Page _____

DEPT/BUREAU

**Project
Priority**

Planned Starting Date

FISCAL YEAR

Estimated Compl. Date

PROJECT TITLE

STATEMENT OF PROBLEM

PRESENT PROCEDURES

PROJECT PROPOSAL

SUMMARY OF ANTICIPATED BENEFITS

Projected Cost Benefit Ratio _____ Projected Payoff Period _____

PRODUCTIVITY COORDINATOR

GENERAL MANAGER/DIRECTOR

CAO

Date: _____

Date: _____

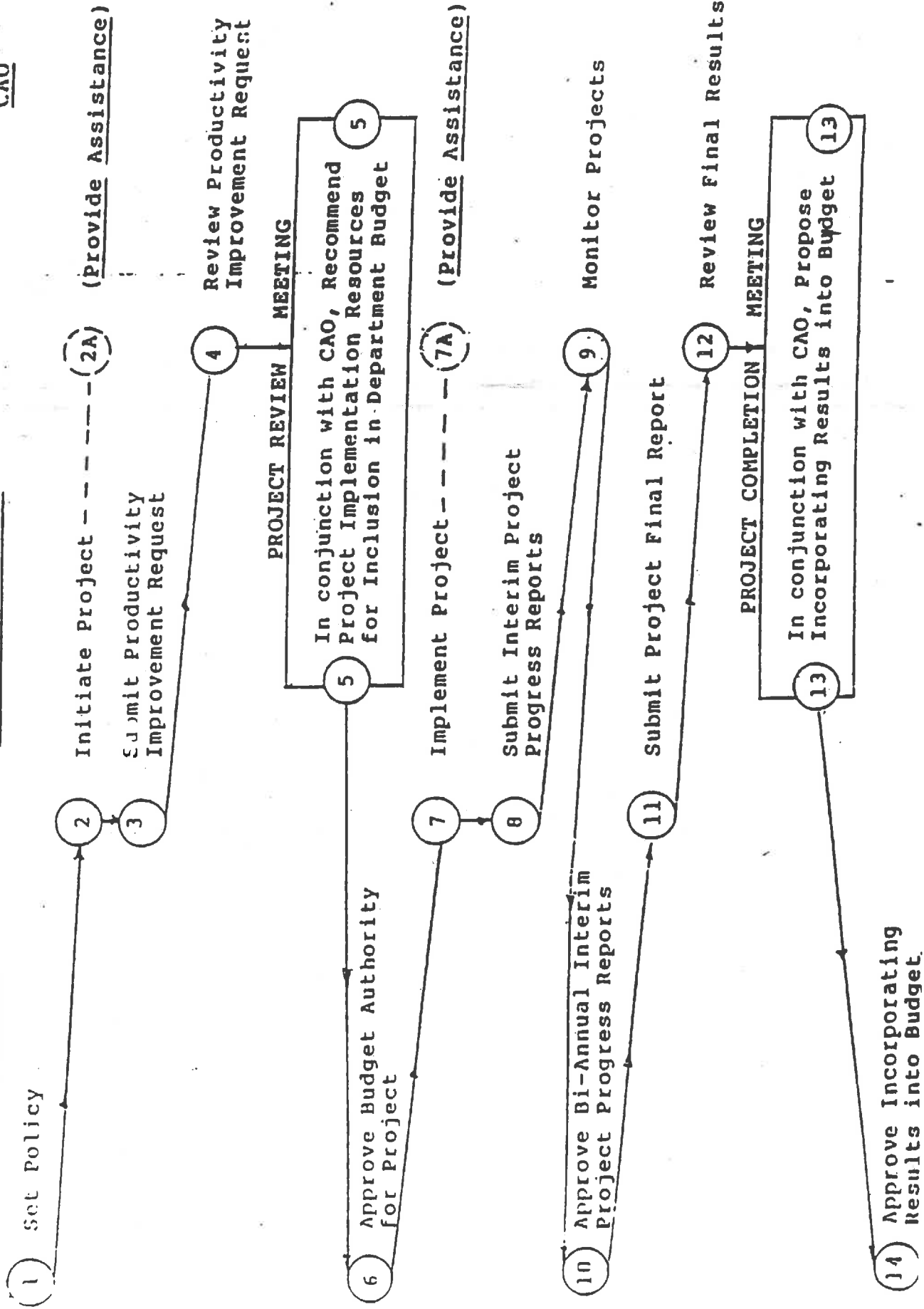
Date: _____

CITY/DEPARTMENTAL PRODUCTIVITY IMPROVEMENT PROGRAM

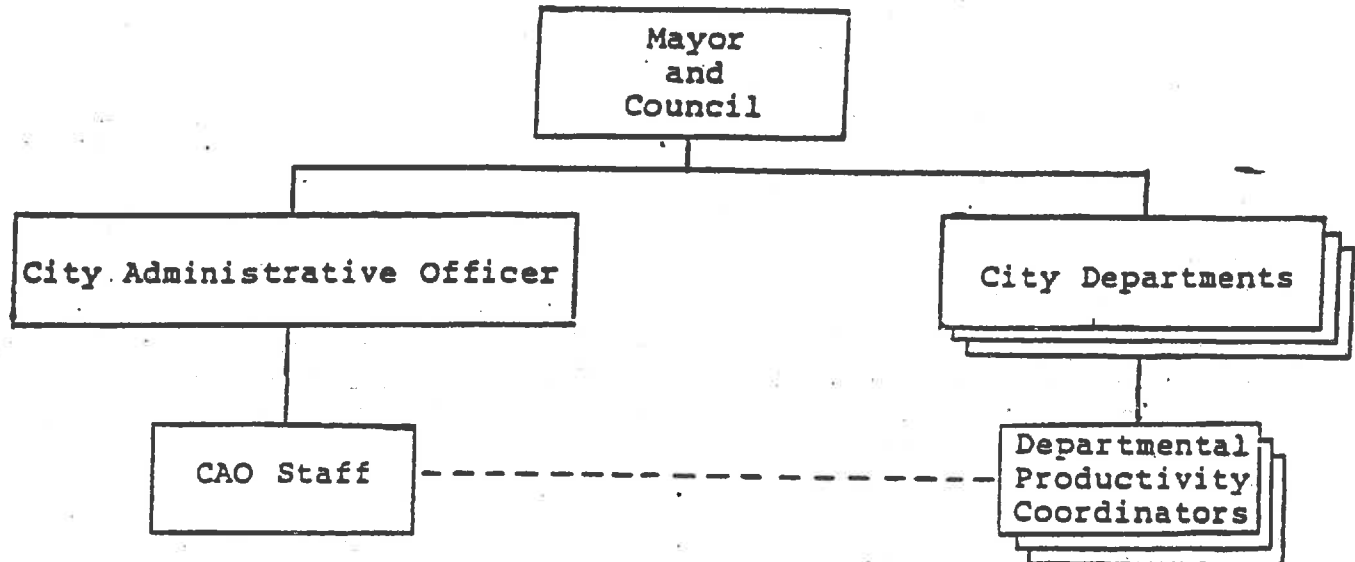
MAYOR/COUNCIL

DEPARTMENT MANAGER

CAO



ORGANIZATION AND RESPONSIBILITIES FOR THE
CITY/DEPARTMENTAL PRODUCTIVITY IMPROVEMENT PROGRAM



MAYOR AND CITY COUNCIL

- . Overall Policy Setting Authority
- . Approve Projects in Budget
- . Review Bi-Annual Project Progress Reports
- . Approve Incorporation of Results in Budget

DEPARTMENT HEADS/PRODUCTIVITY COORDINATORS

- . Prepare Annual Departmental Productivity Improvement Programs
- . Implement Productivity Projects
- . Report Status of Departmental Projects to the CAO
- . Propose Incorporation of Project Results into Budget

CAO STAFF

- . Provide Assistance in Selecting Departmental Projects upon request
- . Review Project Requests and Assist in Recommending Projects for Inclusion in Budget
- . Provide Consulting Assistance to Departments during Project Implementation upon request
- . Monitor and Report Project Status of Departmental Projects to the Council bi-annually
- . Review Final Results of Departmental Productivity Projects and Assist in Incorporating Project Results into Budget

Further explanation and detailed procedures appear in the City/Departmental Productivity Improvement Program Manual, prepared and maintained by the City Administrative Officer.

K. Conner

City Administrative Officer

APPROVED:

Jim Bradley
MAYOR

Revised as of 11-10-81

ATTACHMENTS:

- A - Organization and Responsibilities chart for the City/Departmental Productivity Improvement Program.
- B - City/Departmental Productivity Improvement Program Flow Chart.
- C - Applicable CAO Forms #121, 122, and 123.

forwarded to the CAO. These interim progress reports should be made on June 30th and December 31 each year and at any other time intervals previously agreed to between the CAO and department representatives.

When the implementation period of a project extends beyond one year, a year-end project progress status report reflecting the current status of the project will be submitted to the CAO for review in connection with the department's current budget request. During the budget process, a determination will be made jointly by department and CAO representatives identifying which of the productivity gains realized to date are to be incorporated into the next year's budget; and whether adjustments are to be made to the budget implementation resources which were allocated to the project during the past year.

PROJECT COMPLETION

A final report shall be prepared by the Productivity Coordinator when project implementation has been completed. The same report form and submittal procedure shall be followed for the final report as were used for the interim progress reports. The final report will include summary statements indicating the type and total cost of all resources which were used to implement the project, and the specific benefits relating to labor, equipment and materials which have been achieved and the annual dollar savings associated with the benefits.

Following a review of the final report by the CAO staff, a project completion meeting will be held between representatives of the CAO and the department. The purpose of the meeting will be to reach mutual agreement as to the specific Productivity Improvement Program benefits which shall be incorporated into a post-audit report recommended to the Mayor and Council for incorporation into the department's budget.

Attachments A and B are included to portray graphically the organization and responsibilities, and the procedural steps involved in the City/Departmental Productivity Improvement Program.

program the project or projects which have the highest cost/benefit ratios, the highest net savings to the City, or which provide the most substantial improvements to existing services. The Productivity Improvement Request forms for those project(s) which require approval by the Mayor and Council should then be submitted to the CAO for consideration as part of the department's annual budget. Additional Productivity Improvement Requests for projects identified during the course of the fiscal year which have potential for substantial immediate cost reduction or cost avoidance, and which require implementation resources not available in the department, may be submitted for budget consideration on an interim basis. Improvement projects for which implementation resources are currently available within the department may also be initiated at any time. Project request forms and progress report forms are to be submitted to the CAO for these projects so that they may be officially recorded and monitored as a part of the City/Departmental Productivity Improvement Program.

PROJECT APPROVAL

After review by the CAO staff a project review meeting will be arranged between representatives of the CAO's Office and the operating department to discuss the feasibility of the proposal as presented, and to reach agreement on specific project objectives. The anticipated expenditures for personnel, equipment and materials which will be required to implement the project, and the anticipated benefits to be realized upon full implementation will be discussed. A determination will be made as to the scope of the project and the resources required for implementation which are currently available within City departments. Agreement will then be reached as to the types and quantities of additional implementation resources which should be included in the department's budget and the expected impact of the benefits which will be achieved in future budgets. The periodic time intervals for submission of interim project progress reports shall also be mutually agreed to at this meeting. The final step in the approval process is the adoption of the City Budget by the Mayor and Council.

PROJECT IMPLEMENTATION

Implementation of each project should begin as soon as possible after approval by the Mayor and Council. In order to follow the progress and determine whether project adjustments are necessary from time to time, the project should be monitored both by department personnel and the CAO.

Each Productivity Coordinator shall prepare and submit to the department head for approval a Productivity Improvement Project Progress Report form for each project, said report to be

This rule No. 27 has been prepared in furtherance of the Mayor's directive to provide guidance for City departments in complying with the directive, to establish a formalized procedure for administering the City/Departmental Productivity Improvement Program, and for reporting project progress and results to the Council.

PRODUCTIVITY COORDINATOR

Each department head has been requested to designate a current employee to serve as a Productivity Coordinator, reporting directly to the department head for all matters connected with productivity improvement.

The Productivity Coordinator should be a senior member of the department who is thoroughly familiar with its activities and the probable organizational units and functions which may be prime candidates for productivity improvement. If appropriate, additional personnel currently employed by the department may be designated to assist the Productivity Coordinator in fulfilling the requirements of the Program. The responsibilities and duties of the Productivity Coordinator should include:

1. Aiding department personnel in the selection and identification of individual projects with potential for productivity improvement. A list of all appropriate projects should be prepared and submitted to the department head in priority order with a copy forwarded to the assigned CAO Budget Analyst.
2. Preparation of a Productivity Improvement Project Request form for each project selected by the department head for inclusion in the annual improvement program. Each request shall include detailed information regarding the resources required, the total estimated cost of implementing the project, the anticipated benefits which will be achieved, and the annual dollar savings to be realized after completion of the project.
3. Monitoring approved projects and preparing interim progress reports at specified periodic intervals. Council File 78-2044 of 8/25/81 mandates that project progress reports be submitted bi-annually, and, upon completion of implementation, a final project report be prepared for approval by the department head and submission to the City Administrative Officer, and in turn to the Mayor and Council.

PROJECT SELECTION

From the prioritized list of potential productivity improvement projects submitted by the Productivity Coordinator, the department head shall select for inclusion in the improvement

SUBJECT: CITY/DEPARTMENTAL PRODUCTIVITY IMPROVEMENT PROGRAM

SUMMARY - PROGRAM CONCEPT

There are significant opportunities for improvements in the utilization of labor, equipment and materials in City operations that have not been addressed by formal programs. There is now a need for the City to expand formal efforts to increase productivity on a large scale City-wide basis as recognized by the Council's Task Force on Workforce Economy and Productivity, the City Administrative Officer's management audit of the Methods and Standards Function, the Mayor's Executive Directive No. 41, and City Council File 78-2044.

Productivity improvements in the City may be attained by improving the use of City resources so that one of three results occur without lessening the effectiveness of service rendered:

- a. More service is produced with the same resources;
- b. Same service is produced with fewer resources;
- c. More service is produced with fewer resources.

For a program to be most effective, department managers must assume direct responsibility for the initiation, development and implementation of productivity improvements within the context of the budgetary process. The City Administrative Officer will assist in this effort and establish an annual justification/results reporting system tied to the budget process.

The Mayor's Executive Directive No. 41, dated September 16, 1980, reiterates the need for productivity improvement in the City at this time. The Directive further requires that, in connection with the annual budget submission beginning in 1981-82, each department head shall submit to the City Administrative Officer at least one specific project for productivity improvement, complete with comprehensive justification.

The Council action of 8/25/81, File No. 78-2044, instructs the CAO to report bi-annually on the progress of productivity improvement projects approved in the budget, and to provide a post-audit evaluation of completed projects.

Administrative Officer will review and approve appropriate proposed MOE modifications thereto. You will be notified in writing of this action.

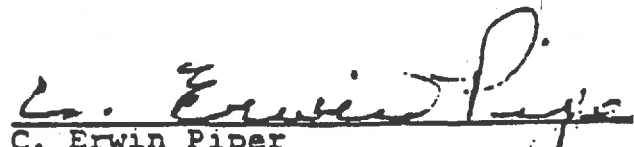
Quarterly Program Effectiveness Report

The Measures of Effectiveness which have been identified for a program must be implemented through collection and reporting of data in support of the measures. Each department is responsible for establishment of internal data collection procedures in order to provide the basis for reporting of actual MOE data. Such procedures shall be subject to review by the City Administrative Officer. Data in support of MOEs which should be reviewed weekly, monthly, or quarterly, shall be reported to the City Administrative Officer on a quarterly basis. The periods to be included in each report are as follows:

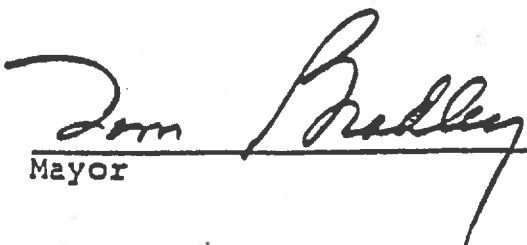
First Quarter: Reporting Periods One through Three
Second Quarter: Reporting Periods Four through Six
Third Quarter: Reporting Periods Seven through Nine
Fourth Quarter: Reporting Periods Ten through Thirteen

Data in support of measures which have been identified as annual or semi-annual measures shall be listed in each Quarterly Report, and reported on in the appropriate Quarterly Reports. Departments shall also be prepared to provide MOE data to the City Administrative Officer upon request.

Departmental submittals for the Quarterly Program Effectiveness Report shall be signed by the department general manager. Submittals shall include a listing of each Measure of Effectiveness by program or program element with the desired level, actual level last fiscal year, actual level current year to date, and actual level current quarter. Departments may also comment on significant factors affecting performance. The City Administrative Officer will review departmental submittals and report thereon to the Mayor.


C. Erwin Piper
City Administrative Officer

Approved:



Mayor

Established as of December 29, 1975

CITY ADMINISTRATIVE OFFICER RULE NUMBER 21

Subject: PROCEDURES FOR ESTABLISHMENT, MODIFICATION, AND REPORTING ON MEASURES OF EFFECTIVENESS AND DEPARTMENTAL PROGRAMS

Charter Section 51 provides that the City Administrative Officer, subject to the approval of the Mayor, shall prescribe rules and standards governing the matters under his jurisdiction and all officers and departments of the City shall comply therewith. Under said authority the following procedures regarding Programs and Measures of Effectiveness hereby established:

Revision of Program and Program Element Descriptions and Objectives

Adoption by the City in 1972-73 of a modified program budget system required the identification and description of departmental programs (and, when desired, program elements) and the objectives of each. When changing priorities or budgetary decisions cause a change in program structure, content, or objectives, it is necessary that such change be documented and submitted to the City Administrative Officer for approval.

Departments are hereby instructed to obtain such approval prior to utilizing the revised structure in a budget document. CAO Form No. "Request for Change In or Addition or Deletion of Program, Element or Sub-Activity", shall be completed and submitted in triplicate to the CAO for each such modification to approved programs, elements or sub-activities.

Measures of Effectiveness

Measures of Effectiveness (MOE) provide a means to assess the extent to which a program is achieving its objectives. Continual work development and refinement of the measures is expected of all departments. It is anticipated that proposed and approved MOEs may be modified, added to, and replaced as more experience in data collection and reporting is gained.

Each department is required to prepare and maintain current Data Sheets for each program or program element. Program changes as described above must be reflected in the data sheets for the respective programs.

Departments shall identify measures for each program or program element and submit to the City Administrative Officer the following data:

Measure of Effectiveness Title
Narrative Description of the Measure
Objective
Measurement, expressed as a formula or otherwise
Source of Data
Frequency of Review

This information must be submitted in duplicate to the CAO for each proposed measure and for modifications to existing measures. If a measure is to be deleted, the CAO must be so advised in writing. The CAO

The City Administrative Officer will review any such protests as promptly as possible and will make every effort to report back to Council within 45 days from the close of the 30-day protest period. This review period may be delayed if the Council has not acted on the initial recommendations. When such review indicates the need for amendment of the salary recommendations, the City Administrative Officer will transmit supplemental recommendations to the City Council.

H. Comrie
City Administrative Officer

APPROVED:

Don Bradley
MAYOR

Revised as of November 1, 1982
Previously issued as Rule No. 20,
June 2, 1975

January 1
March 1

Non-represented employees submit special salary adjustment requests.

March 1 to
June 1

CAO staff reviews requests including discussions with requesting parties, formulates recommendations, and sends a draft of proposed recommendation to individuals who have requested an advance copy.

June to
September

After a clear underlying annual pay movement is established in the bargaining process, the CAO submits non-represented recommendations for the year including special adjustments. All departments (and individuals who request such) will receive a copy simultaneously with the Mayor and Council. Protests to these recommendations may be submitted to CAO over next 30 days.

August to
October

Process followed by CAO for initial requests is repeated for protests. CAO will then make every effort to report back to Council on these items within 45 days from close of 30-day protest period.

Attachment

Chronology of CAO Review of
Non-represented Salary Adjustments

Step 1

January 1 to
March 1

Special salary adjustment requests submitted for non-represented employees.

Step 2

March 1 to
June 1

CAO staff reviews requests including discussions with requesting parties, formulates recommendations, notifies requesting parties, and sends a draft of proposed recommendation to individuals who request an advance copy. Meetings to discuss the recommendations will be set up upon request.

Step 3

June to
September
(approximately)

After the annual pay movement is established in the bargaining process for represented employees the CAO submits recommendations for non-represented employees, including special adjustments. All departments (and individuals who request such) will receive a copy when the report is filed with the Mayor and Council. Protests to these recommendations may be submitted to CAO over next 30 days.

Step 4

August to
November
(approximately)

Review process followed by CAO for initial requests is repeated for protests. CAO will make every effort to report back to Council on these items within 45 days from close of 30-day protest period.

Note: The time frame for Steps 3 and 4 may vary depending on the progress of negotiations for represented employees and Council action on the initial adjustment recommendations for non-represented employees. Committee/Council action may extend well into the fiscal year and overlap the beginning of the succeeding year's adjustment request period.

SUBJECT: REQUESTS FOR SALARY ADJUSTMENTS FOR EMPLOYEES NOT REPRESENTED BY RECOGNIZED EMPLOYEE ORGANIZATIONS

Administrative Code Section 4.63, as amended effective July 1, 1980, provides that requests for salary adjustments for employees not represented by recognized employee organizations shall be made in accordance with rules established by the City Administrative Officer. The amended Code Section also requires the City Administrative Officer to make recommendations on adjustments to salaries and benefits for employees in classifications not represented by recognized employee organizations, with any adjustments to become effective July 1.

Employees who are not represented by recognized employee organizations or the head of a department in which such employees are employed may request the City Administrative Officer to consider special adjustments for the appropriate classifications between January 1 and March 1 of each year. Special salary adjustment requests are to be submitted to the City Administrative Officer in writing. CAO staff will review these requests and formulate recommendations between March 1 and June 1 of each year. All employees/departments who submit requests for adjustment shall be (1) contacted and advised of the recommendation; (2) provided with an advance copy of the draft report, upon request; and (3) offered the opportunity to meet personally with the CAO or his designated representative to discuss the recommendation and supply additional written material if appropriate, within 15 days of such meeting. Requestors will be notified of any changes in the recommendations resulting from the above process.

It is the intention of the City Administrative Officer to recommend salaries for non-represented employees that provide for an appropriate relationship with those agreed to and recommended for represented employees. Therefore, the City Administrative Officer will normally release recommendations to Council concerning salary and benefit adjustments for employees in non-represented classifications after agreements are reached for most employees in represented classifications. All departments, and individuals who have submitted a request for special adjustment, will receive a copy of the report when it is filed with the City Council.

Any affected employee in a non-represented classification or the head of a department in which such employees are employed may protest the City Administrative Officer's recommendations. Protests are to be submitted in writing within 30 working days after the salary recommendations are filed.

**SUBJECT: PROCEDURE TO DETERMINE DISPOSITION OF VACATED
CITY-OWNED QUARTERS**

Three months before vacating space in any City-owned facility, the occupying department will notify the Municipal Facilities Committee and the Department of General Services of its intention to move. Further, the occupying department will notify the City Administrative Officer and the Department of General Services of the exact moving date as soon as that date is known. The Department of General Services will make appropriate arrangements for securing the space after it is vacated. The City Administrative Officer, as Chairman of the Municipal Facilities Committee, will investigate to determine the most appropriate disposition of the vacated space, and will so recommend to the Municipal Facilities Committee.

After space in any building is vacated, no use will be made of that space until a formal assignment has been made. Further, no vacated building will be used until the building has been brought up to appropriate standards for that use.

K. Conrie
City Administrative Officer

APPROVED:

Tom Bradley
MAYOR

Revised as of August 1, 1983
Previously issued as Rule No. 19,
dated 4-14-75

2. In-lieu authority approved in order to utilize bridge or trainee classes usually will be renewed routinely. Such authorities still must be requested for renewal each fiscal year, to correspond to adoption of the Department Personnel Ordinance.
- D. In-lieu authority shall not be used to circumvent civil service provisions of the Charter. Departments may be requested to furnish a Position Description (PDES-3) if there is question whether approval of an in-lieu authority will result in an out-of-class assignment.
- E. A periodic report as to the status of all in-lieu authorities by department shall be prepared by the City Administrative Officer and submitted to the City Council for review and discussion. The assistance of affected departments may be requested to fulfill this requirement.

K. Comrie
City Administrative Officer

APPROVED:

Tom Bradley
MAYOR

Revised as of August 1, 1983

SUBJECT: USE OF IN-LIEU POSITION AUTHORITIES BY
COUNCIL-CONTROLLED DEPARTMENTS AND BUREAUS

Section 3 of the Department Personnel Ordinance provides that the City Administrative Officer may authorize a department to employ a greater number of persons than specified in the ordinance for any class of positions, provided that vacancies exist in any class having a salary range equal to or higher than the class to be filled.

A. Authority to employ one position in lieu of another may be provided for the purpose of resolving temporary problems in which management is confronted by one of the following conditions:

1. Operational requirements are being hindered due to a backlog of work caused by difficulty in recruiting qualified employees.
2. New positions have been created in the budget and temporary authority is needed pending inclusion of the position in the Department Personnel Ordinance or in Schedule "A" of the Los Angeles Administrative Code.
3. The duties of a vacated position are uncertain pending completion of organizational or classification studies.
4. An eligible list for the class of position is not available.
5. To avoid layoff.

B. In-lieu authority is also an appropriate method of utilizing bridge and trainee classes. Such classes often are not included in the Department Personnel Ordinance and in lieu authority may be provided for the duration of the training period or until the incumbent qualifies for the position in which he or she is being trained.

C. Departmental requests for in lieu authority will not be approved for longer than the duration of a fiscal year. They may be approved for a shorter period.

1. Once an in-lieu authority has been authorized and approved for the purpose of solving a temporary problem, the requesting department must attempt to resolve the cause of the condition which prompted the need for the authority. Such authorities expire when vacancies occur and will not be renewed unless the requesting department has made a reasonable effort to work out a solution.

5. Salary adjustment for an entire class.

Situations involving problems of inadequate supervisory differentials but which do not meet the criteria of Administrative Code Section 4.62.2 should be submitted to the City Administrative Officer in connection with the departmental special salary adjustment requests in January.

K. Conrie
City Administrative Officer

APPROVED:

Don Bradley
M A Y O R

Revised as of August 1, 1983
Previously issued as Rule No. 17,
dated 10/6/78

SUBJECT: AUTHORIZATION OF SALARY DIFFERENTIALS FOR "BONA FIDE" SUPERVISORS

Administrative Code Section 4.62.2 authorizes the City Administrative Officer to grant a salary differential for "bona fide" supervisors to provide a minimum salary differential over the highest paid subordinate. This salary differential is approximately 5.5%.

Appointing authorities may request such differentials by letter to the City Administrative Officer detailing all of the specifics of the situation. In preparing the request, particular attention should be given to the restrictive criteria in the Code provision, as follows:

1. The supervisory relationship must be full-time and regularly assigned.
2. The supervisor must have full administrative and technical authority to assign, review and approve the work of subordinates.
3. The supervisor and subordinate must be in the authorized and allocated classes.
4. The salaries for both the supervisor and subordinate must be fixed by salary range number.
5. The rates to be compared must be the maximum rates of the salary ranges prescribed for the classes of the supervisor and subordinate, excluding any premiums, bonuses or working condition differentials.

The Code Section does not supersede authorized procedures for the establishment of new classes or pay grades. Salary differentials to compensate individuals supervising others in the same class will therefore not be approved.

In analysing requests, other solutions may be investigated and recommended. These include:

1. Reclassification.
2. Reorganization.
3. Realignment of work reporting.
4. Establishment of pay grades within classes.

5. The applicant's present salary and the advance step hiring rate requested. The rate requested for the applicant should be commensurate with the level of performance that would be expected of an employee at that step in the salary range, based on his education, training and prior experience.
6. For a difficult-to-fill position the department should list steps taken to fill the position, the reason the department believes the position is difficult to fill, and other positions in the class the department is considering as difficult-to-fill positions.
7. Any other relevant information.

Upon receipt of a request for advance step hiring, the City Administrative Officer will review the request and determine the initial compensation to be authorized in accordance with the provisions of Sections 4.90(b) or 4.901(b).

The City Administrative Officer will notify the appointing authority and the Controller of the results of the determination. This notification provides the authority to establish the salary at the designated step.

Although it may be desirable to ascertain the minimum salary rate acceptable to the candidate, the appointing authority should not make a firm salary offer to the applicant for any rate above the minimum for the class without first receiving approval of the request for advance step hiring from the City Administrative Officer.

K. Conrie
City Administrative Officer

APPROVED:

Tom Bradley
MAYOR

Revised as of August 1, 1983
Previously issued as Rule No. 16,
dated 4/21/71

SUBJECT: ADVANCE STEP HIRING AUTHORIZATION

Sections 4.90(b) and 4.901(b) of the Los Angeles Administrative Code provide that initial appointments to any positions in City service may be made at a rate higher than the minimum upon approval by the City Administrative Officer.

The purpose of these sections is to help the City to be more competitive in hiring well qualified individuals by being able to offer appointment at a rate above the minimum for the class. This provision will only apply to initial appointments to City service.

Generally, advance step hiring should be considered when the department is unable to fill the position with a suitable candidate through the application of the normal hiring provisions of Sections 4.90(a) or 4.901(a). Consideration of candidates for advance step hiring will be limited to those candidates (1) with unusual skills, abilities or training needed by the City; (2) who have outstanding relevant experience in relation to other available candidates; or (3) who will be assigned to difficult-to-fill positions. This may be a matter of degree depending upon the state of the labor market and the availability of candidates.

A separate request should be submitted for each instance where approval for advance step hiring authorization is requested. The request will include the following information to aid the City Administrative Officer in considering the request for advance step hiring authorization:

1. The type of position to be filled and a brief description of the proposed work assignment.
2. Reasons the department needs can only be met with a person possessing skills, abilities, or experience above the minimum requirements for the class.
3. Summary of applicant's qualifications (attach copy of Civil Service job application or resume).
4. Departmental evaluation of applicant's qualifications, skills and experience. If possible, relate the content and level of the experience to a position in the City's classification structure with requirements applicable to the position to be filled. Note specialized skills and experience acquired.

3. The department head will keep a disclaimer form on file releasing the department from liability if the employee wishes to keep tools, equipment, or other personal items of substantial cost unnecessary to the performance of an employee's duties.

C. WAIVING THE FIVE (5) DAY FILING REQUIREMENT

With few exceptions, LAAC Section 4.106.7 requires that all claims be filed within five (5) working days after (an employee) becomes aware or should have become aware of the damage, destruction or loss of the property. Department heads will carefully review the reasons for delay before waiving the requirement, and a written justification for the waiver will accompany any claim.


D. PAYMENT OR REIMBURSEMENT

The department head or other appropriate City Officer shall authorize payment from Petty Cash in accordance with Administrative Code Section 5.152(1), if the amount for reimbursement ("net reimbursement") determined by the Purchasing Agent is \$100.00 or less after subtracting any other amount the employee may be entitled to receive as reimbursement from another source.

Payments should be made from the departmental Operating Supplies and Expense Account if net reimbursement is greater than \$100.00.

E. DEPRECIATION SCHEDULES

The Purchasing Agent will develop and maintain depreciation schedules for those tools or items of personal property frequently claimed for reimbursement. Such schedules will be updated annually.


City Administrative Officer

APPROVED:


M A Y O R

Revised as of December 1, 1987
Revised as of August 1, 1983
Previously issued as Rule No. 26,
dated June, 1979

CAO Rule No. 15
Page 3

4. Department heads shall approve reimbursement only for tools required by the job. If a similar tool is provided by or is available from the City, it is not a "required" tool. Department heads may wish to prepare standard tool or equipment lists to identify such required tools.
5. Department heads will consider the possibility of repair of damaged items as well as full replacement and shall reimburse the lesser amount.
6. Department heads will not approve reimbursement for expensive cosmetic changes to eyeglasses or other prostheses, such as the addition of tinted or oversized lenses.
7. Tools and equipment which have greater capability and/or cost than is typical for the job shall be reimbursed only to the cost of the tool or equipment appropriate to the job. For instance, loss of an expensive calculator will not be reimbursed if a less costly model is sufficient and customarily used.
8. The City will not reimburse employees for expensive watches. In no event shall reimbursement for any watch exceed \$50, except with the approval of this Office.
9. Department heads shall not approve reimbursement for losses that are due to the fault or carelessness of the employee. A written explanation detailing why the loss is not due to employee carelessness or misuse shall accompany any claim for reimbursement.

B. PRE-DETERMINATION OF REQUIRED TOOLS BY DEPARTMENT HEADS

1. Where the number of personal tools or equipment items required to be provided by the employee is few or relatively expensive, the Department Head will have on file a written consent for the employee to keep a personal tool. Such a consent will include: 1) a description of the tool, 2) its estimated fair market value, 3) the date of purchase, and 4) the reason the tool is necessary on the job.
2. City departments employing a substantial number of employees using many personal tools and equipment (as in fleet vehicle maintenance) will develop and provide to the Purchasing Agent a list of required tools. Any claim for reimbursement for a tool not on the list will require submission of a written justification to the Purchasing Agent.