

PERSONNEL

PERSONNEL MANAGEMENT: A MANUAL FOR SMALL MUNICIPALITIES

BY
HAROLD R. YUNGMEYER



Compiled by
MUNICIPAL TECHNICAL ADVISORY SERVICE
of The University of Tennessee
in cooperation with The Tennessee Municipal League

Authorization Number E14-1050-00-013-85

ARCHIVES
Do Not Remove

Municipal Technical Advisory Service
A Statewide Agency of
The University of Tennessee's
Institute for Public Service
operated in cooperation with the
Tennessee Municipal League

MTAS Headquarters
The University of Tennessee
Knoxville, Tennessee 37996-4400
Telephone: 615/974-5301

PERSONNEL MANAGEMENT:
A MANUAL FOR SMALL MUNICIPALITIES

BY HAROLD R. YUNGMEYER
Municipal Management Consultant

MUNICIPAL TECHNICAL ADVISORY SERVICE
of the
UNIVERSITY OF TENNESSEE

In cooperation with the
TENNESSEE MUNICIPAL LEAGUE

July 1984

E14-1050-00-013-85

Price: \$20.00

Municipal Technical Advisory Service

The University of Tennessee • 891 Twentieth Street • Knoxville, Tennessee 37996-4400 • Telephone 615/974-5301

Dear Municipal Official:

The management of human resources is becoming the most significant task of elected and appointed municipal officials. As we are all aware, the greatest proportion of most of our budgets is composed of the salaries and benefits necessary to retain competent and productive employees.

This manual provides information relating to the understanding and development of a basic municipal personnel management system. The manual is not intended to answer every question that might occur as a result of personnel management problems, but it can point a municipal official in the correct direction as that official attempts to develop a legal and workable personnel system.

Special acknowledgement is extended to the author of this manual, MTAS Management Consultant Harold Yungmeyer; Assistant Director Dee Roberts, UT Center for Government Training; and personnel directors from several Tennessee cities who provided input and advice.

If questions result from the review of this manual, please contact an MTAS consultant for additional information.

Sincerely,



C. L. Overman
Executive Director

CLO:aa1

TABLE OF CONTENTS

<u>Subject</u>	<u>Page Number</u>
Preface	1
Organizing for Personnel Management	2
Legal Framework for Personnel Management	4
Federal Laws and Regulations	4
State Laws	5
Charters	6
Local Rules	8
The Supervisor's Role	10
Performance Appraisals	10
Motivation	12
Grievances	13
Safety and Accident Prevention	14
The Hiring Process	16
Recruitment	16
Selection	17
Appointment	19
Personnel Records	21
Position Classification	22
Pay Plans	24
Training	26
Discipline	29
Separations	33

<u>Subject</u>	<u>Page Number</u>
Affirmative Action	34
Unions and Collective Bargaining	35
Summary	37
Personnel Management Checklist	38
Bibliography	
Appendices	
A. Model Personnel Rules	A-1
B. Performance Appraisal Form	B-1
C. Application for Employment Forms	C-1
D. Interview Questions	D-1
E. Typical Class Specification	E-1
F. Typical Pay Plan	F-1

PREFACE

Municipal government is a service industry and, like most service businesses, personnel costs consume a high percentage of the total operating budget. Moreover, public services basically are rendered by people, not by machines; the degree of citizen satisfaction with the services provided by government depends as heavily on how they are performed as on what is performed. It is clear that effective utilization and management of personnel is mandatory if a municipality is to provide satisfactory services at reasonable costs.

It is the purpose of this manual to provide assistance to municipal officials in managing their work force in an effective, efficient, and legal manner. While the basic concepts presented will be of greater assistance to the small municipal organization which has no personnel department or personnel director, it is hoped that the information presented will be of some use to every person who has any role in the personnel management function.

ORGANIZING FOR PERSONNEL MANAGEMENT

Personnel administration has been defined by O. Glenn Stahl as "the totality of concern with the human resources of organization." Based upon this definition, everyone in municipal management - the mayor, the city manager, the department head, and the foreman is concerned with the human resources of the municipality and is therefore engaged in personnel management. The existence of a personnel department or a personnel director does not lessen management responsibility for personnel administration; such a department or person is simply an additional resource to aid in carrying out the responsibility of all management persons.

Personnel responsibilities are shared throughout a municipal organization. The governing body establishes policies which conform to the statutes, the charter, and ordinances. The chief executive administers these policies and may have authority to formulate rules of his or her own. Department heads and subordinate supervisors interpret policies and make personnel decisions. Even rank-and-file employees affect personnel decision making through their participation in suggestion systems and the municipalities' formal and informal channels of communication.

While each echelon of the organization may have various personnel management responsibilities, personnel administration should be assigned to a specific unit or person in order to establish administrative responsibility and accountability. The organizational structure for personnel administration will vary widely, depending upon the size of

the municipality, the number of employees, and the provisions of the local charter and ordinances.

Basically, three alternative plans for personnel administration will be found. The first plan is the personnel department whose head reports directly to the chief executive. The department serves as a staff agency to the chief executive and to all management personnel. It is charged with the responsibility of seeing that good personnel practices are followed by all departments and that personnel implications are not overlooked in policy decisions.

A second plan involves an independent civil service commission, which has certain prescribed powers in the hiring, promotion, and disciplining of municipal employees. The Commission's authority may be limited to employees of particular departments; i.e., police and/or fire.

The third plan is found in smaller jurisdictions which cannot justify a full-time personnel officer. The responsibility for personnel activities may be assumed by the chief administrator, such as the city manager or city recorder, or they may be assigned to an assistant. Frequently, they will be assigned to a qualified person who has other staff function responsibilities such as budgeting or purchasing.

There is, of course, the possibility that a fourth plan or situation exists where there has been no assignment or assumption of the responsibilities of personnel administration. Personnel responsibilities are carried out, since they cannot be avoided, by various persons within the municipal organization; there is no overall direction or assistance to aid management in carrying out their

responsibilities in an effective, efficient, and legal manner. Such a situation, regardless of size or number of employees, can lead to serious problems. The lack of personnel administration should be recognized as being unsatisfactory and corrective action should be taken.

LEGAL FRAMEWORK FOR PERSONNEL MANAGEMENT

As was pointed out previously, the legal framework for a municipality's personnel management program may be found in several places. Federal laws and regulations, the Tennessee Code Annotated, private act charters, ordinances, resolutions, and rules may all contain provisions affecting personnel management. Obviously, some of this legal framework may be changed by local legislative action, but other portions must be accommodated pending action by the General Assembly or by Congress.

FEDERAL LAWS AND REGULATIONS

Since 1972, when Congress extended coverage of the Equal Employment Opportunity Act to include state and local governments, the Federal government has played an ever increasing role in municipal personnel matters. The Age Discrimination in Employment Act of 1967 and the Pregnancy Discrimination Act of 1978 are additional federal laws which are applicable to local governments. For a few years municipalities were subject to the Fair Labor Standards Act until this was declared unconstitutional by the U. S. Supreme Court in 1976.

Various Federal agencies such as the Equal Employment Opportunity Commission, the U. S. Civil Service Commission, the Department of Justice, and the Department of Housing and Urban Development, have issued regulations affecting employee selection procedures. The U. S. Supreme Court and other federal courts have been active in the interpretation of Constitutional issues and the numerous statutes and regulations as they apply to personnel. Unfortunately, many of the court decisions are inconsistent with one another, making it difficult to determine what is legally permissible or enforceable.

It is virtually impossible for the small municipality to be aware of the thousands of pages of regulations, decisions, and laws which come out of the three branches of the federal government. Yet, a municipality cannot afford to ignore these documents. The consequences of being unaware of or ignoring them can be costly.

While no attempt will be made to list all the laws, regulations, and decisions which are applicable to municipalities, reference will be made to some of them in connection with certain subject matter. All the practices which are suggested in this manual and the model personnel rules contained in the Appendix are, insofar as can be determined, in conformance with federal laws, regulations, and decisions. By following the suggestions contained herein, a municipality may avoid major difficulties in coping with the federal area of the legal framework.

STATE LAWS

The Tennessee Code Annotated contains no comprehensive personnel regulations which are applicable to municipalities. T.C.A. does,

however, contain provisions which are applicable to certain aspects of personnel management. T.C.A. 8-33-101 et seq. guarantees re-employment rights to municipal employees who leave for military service and T.C.A. 8-33-109 provides that employees who are members of military reserve units or the National Guard are entitled to fifteen (15) days of paid leave per year while performing military duties. Discrimination in the employment of handicapped persons is prohibited by T.C.A. 8-50-103. T.C.A. 8-50-107 provides that no employee who was an employee in 1977 shall be dismissed or penalized because of nonresidence in the employing municipality. The "Public Employee Political Freedom Act of 1980" (T.C.A. 8-50-601) provides that it shall be unlawful for any public employer to discriminate against an employee because the employee communicated with an elected public official. These specific mandates of State law must be complied with, and the ultimate responsibility for compliance rests with the chief executive officer.

CHARTERS

The primary source for the legal basis of personnel management in Tennessee municipalities is the charter. Individual private act charters vary widely regarding provisions pertaining to the personnel function. Some of the older charters will contain little, if any, mention of personnel while others will contain voluminous detail on every aspect of personnel administration. The Charter of the City of Jackson contains some eleven pages of provisions pertaining to personnel administration and includes such items as the classified positions in each department and the minimum pay for police officers and fire fighters. It is generally considered to be undesirable to have

procedural personnel matters contained in a Charter because Charters are too difficult to modify to meet the ever changing conditions and techniques of personnel management.

In reality, only three elements need to be included in a charter as the basic legal framework for personnel management. The first and most essential element is the principle of merit. Discrimination, whether it be based upon politics, race, religion, sex, or any other factor, has no role in any employment situation. In addition, the Equal Employment Opportunity Act of 1972 makes such discrimination illegal.

The second element is a provision for rule making authority which should be delegated to the chief administrator, possibly with the concurrence of the governing body. This permits all procedural aspects of personnel management to be included in the rules which can easily be modified as circumstances dictate.

Finally, the basic legal document should include a provision for an appeal procedure. Employees are entitled to objectivity in the administration of a personnel program and such a provision assures it.

In short, the legal framework should provide for stability of policy and flexibility of procedure. A brief, yet adequate, example of good charter provisions is found in Sections 3.08 and 3.09 of the Charter of the Town of Bruceton, which was enacted by the General Assembly in 1980. The provisions read as follows:

"Section 3.09. Employees--appointment and promotion; removal or suspension; appeal and hearing. The appointment and promotion of employees of the town shall be on a basis of merit, considering technical knowledge required to perform satisfactorily the work,

experience in the particular or similar line of work, and administrative or supervisory qualifications. Unless otherwise provided by this Charter, the Mayor shall have authority to make appointments, promotions and transfers, and to make demotions, suspensions, and removals of employees for reasonable cause, and may delegate such authority to department heads, as may be provided for by ordinance. Before removal or suspension, an employee shall be given a written notice of intention to suspend or remove him, containing a clear statement of the grounds for such proposed action and notification that he may appeal to the town council by filing, within 10 days, with the town recorder written notice of his intention to do so. After receipt of such notice the Board shall set a time and place for a public hearing on the matter, to be held within 20 days thereafter. The votes of three Aldermen shall be required to override the suspension or removal, and the action of the Board may be with partial or entire loss of salary, but if the suspension is overruled by the Board, any loss of salary shall be paid to the employee.

Section 3.09. Personnel rules. The Board shall by ordinance adopt supplementary rules and regulations governing employment by the town, not inconsistent with the provisions of this Charter."

LOCAL RULES

While it is quite possible that a municipality could have effective personnel management without any charter provisions pertaining to personnel, it is inconceivable that an acceptable situation could exist without having written personnel rules. It is impossible to play a

successful personnel "game" without having a set of rules that are known, or at least available, to every player. The rules may be adopted in the form of a personnel ordinance, or they may be ratified by a simple motion of the governing body. Some municipalities have seen fit to have both a personnel ordinance and personnel rules. The need for both documents is questionable and probably serves no purpose in the smaller communities.

The rules, regardless of their form of adoption, need not be unduly long or complicated. They do need to be reasonably comprehensive, in compliance with Federal and State laws and charter provisions, and written in plain language. Appendix A is a set of personnel rules which meet the standards set forth and which are considered to be suitable for adoption by any small municipality that lacks this basic document. Any municipality contemplating adoption of the rules would be well advised to review them in light of local conditions and for compliance with any pertinent charter provisions.

The suggested rules are not presented in the form of an ordinance, but the format is such that they may be converted to ordinance form with little difficulty. The decision of whether to adopt the rules in the form of an ordinance or by motion is one to be made locally and in reality makes little difference. The primary concern is to get something in writing which has been officially endorsed by the governing body.

THE SUPERVISOR'S ROLE

As was pointed out previously, all levels of supervision within a municipal organization have personnel responsibilities. In small organizations, certain personnel actions fall more heavily on the first line supervisor - regardless of his title - than do others. Performance appraisals, motivation, grievance handling, and accident prevention are personnel concerns over which the first line supervisor has responsibility and wide discretion.

PERFORMANCE APPRAISALS

The formal performance appraisal is one of the least understood and most misused personnel techniques. First line supervisors resist their use because they feel that they are forced to make distinctions between good, bad, and indifferent employees. Employees resist their use because they feel that they are used improperly by their supervisor to show favoritism. Administrators resist their use because they feel that the benefits of their use are outweighed by adverse reactions.

This is somewhat surprising because everyone rates their employees, whether they be colleagues, superiors, or subordinates. It is a perfectly natural and rational process. Supervisors informally appraise their subordinates every time they make recommendations on pay increases or on promotions. Inasmuch as a supervisor is going to evaluate personnel anyway, the evaluation should be done systematically and employees should be informed of the results. This is the role of a performance appraisal system.

A great deal of time and effort has been expended in designing a "good" rating system or in finding a "good" rating form which has universal use. The rating system utilized should be compatible with the primary objectives to be achieved. Some systems are designed primarily as an aid to the supervisor in a counselor role. Some are intended to aid in administrative decisions such as promotions, layoffs, and salary increases. All are intended to make sure that the rater does not overlook, and thus fail to act on, pertinent aspects of the employee's performance.

A number of different formats, from the relatively simple to the very complex, are used for performance evaluations. Perhaps the most common form is the rating scale in which a number of traits are listed, with the rater required to check the degree of satisfaction on each trait for each employee. Quality and quantity of work, reliability, initiative, and other comparable personnel traits are usually listed. Frequently, there is also a means of determining a score by arbitrarily assigning a number of points for each degree of each trait. A typical performance appraisal form is found in Appendix B.

While all rating systems have admitted weaknesses, they all have the advantage of placing some common framework in the hands of all raters; they remind them of things important to the municipality. They also provide employees a feeling of where they stand with the boss. Employees want to know, and are entitled to know, whether their performance is or is not acceptable. Without a formal performance appraisal system, it is doubtful that many supervisors will take the time to tell their subordinates about their job performance.

MOTIVATION

Motivation is the term applied to the thoughts or feelings that cause a person to act. The objective of the municipal administrator is to motivate each employee in a manner compatible with the aims of the organization. This is not an easily attained objective, and there is no magic formula available to help. The problem varies according to the type of employee, and what works in one department or with one employee will not necessarily work with another.

People have various psychological needs. Pay, the possibility of promotion, and security are necessary to satisfy the off-the-job needs of employees--to furnish them with adequate food, clothing, and shelter. But there are other needs that can be met on the job. These include the need for a feeling of accomplishment, the need to have pride in one's skill and knowledge, the desire to help others and to be helped when needed, and the feeling of being accepted by one's associates as well as one's superiors.

Different categories of employees have differing "mixes" of these psychological needs. The unskilled laborer is more likely to find satisfactions off-the-job and therefore be more concerned with pay and security, than is the typical office employee. The office worker is more likely to place great emphasis on closeness to executives, on the personal relationships that occur on the job, and on pride in a job well done.

It is the role of the supervisor to help each subordinate meet psychological needs in both the off-the-job and the on-the-job categories. If employees' psychological needs are met, then they are

likely to be satisfied in their work and be motivated to act in a manner that is supportive of the goals of the municipality. Suggestion systems, quality circles, and participatory management are some of the techniques which have been utilized to attempt to satisfy on-the-job needs of employees. Unfortunately, there are no simple answers to employee motivation. Since all employees do not expect the same satisfactions from their work, supervision must be adjusted accordingly in an attempt to successfully motivate each one.

GRIEVANCES

A grievance is a situation wherein an employee believes the immediate supervisor has misinterpreted or misapplied a rule, regulation, ordinance, or charter provision. A grievance procedure is merely a step-by-step procedure through the various levels of supervision.

The grievance procedure permits employees to get something which is bothering them off their chest. The theory is a sore point should be cleared up and removed. If an employee feels something is wrong, the grievance procedure brings it to the attention of management where it can either be corrected or explained.

The first line supervisor often resents the grievance process since it is usually the supervisor's decision that is being questioned. The decision may be overruled or modified. The supervisor needs to understand that no one is expected to be infallible and honest differences of opinion may occur over the interpretation of a specific rule or regulation. Assurance should be given to the supervisor that the opportunity exists to explain decisions. These decisions will not be arbitrarily overruled.

A grievance procedure can be of immeasurable assistance to relieve the pressures which arise within a municipal organization. Obviously, first line supervisors must have a thorough knowledge of the personnel rules and an understanding of the purpose of the procedure if it is to work effectively.

A simple grievance procedure will be found on page 13 of the Model Personnel Rules in the Appendix.

SAFETY AND ACCIDENT PREVENTION

The direct and indirect costs of accidents justify the expenditure of considerable time and effort in safety activities. Direct costs include Worker's Compensation and liability insurance premiums, medical payments, and salaries paid to injured employees. Indirect costs, which can be three or four times the direct costs, include equipment down time, time lost by fellow workers, loss of proficiency because of crew breakups, and disruption to production caused by damaged or inoperable machinery, tools and equipment. A well organized safety program can assist in reducing accidents and their related costs.

A safety program should provide for pre-employment physicals, as well as periodic physical examinations for various classes of employees. Employees involved in hazardous work should be provided adequate health care, including necessary vaccinations and emergency services. Arrangements should be made for first aid facilities and medical treatment. First aid training for personnel should be provided. Safety training and instructions in safe operating procedures should be carried on continuously. Assistance in establishing and reviewing safety programs can frequently be obtained from the company which provides Worker's Compensation insurance.

Regardless of the comprehensiveness of a safety program, no program can be really effective unless first line supervisors are committed to it. Nothing can replace the supervisor's responsibility to see that jobs are performed safely. Only the supervisor can enforce, on a daily basis, working rules and practices designed to promote safety. In training employees, the supervisor can best stress safe work habits and, with disciplinary authority, assure adherence to safe work practices.

THE HIRING PROCESS

The act of putting a person on the municipal payroll generally comes after a three part sequence of recruitment, selection, and appointment that can take a few days or can stretch over a period of months.

RECRUITMENT

Recruitment involves seeking out potential employees for a specific job or for a class of jobs. The first element in recruitment involves a policy decision whether to limit the search to the immediate area or to broaden the search. A search for professional or technical personnel may require a regional or even national search. A deliberate attempt to limit recruitment to the municipality itself cannot be justified on any rational basis.

Recruitment can be improved if the application procedure itself is a simple one. Too much red tape discourages good applicants. Information on job openings should be given out by phone or by mail. Application forms should be readily available.

A simple but comprehensive application form is an essential part of a recruitment program. The form should supply basic information about the applicant, such as personal data, educational background, and work history with dates, positions, and brief descriptions of duties and responsibilities. The information requested on the form should be strictly job-related. Information such as years at given addresses, marital status, date of marriage, number of children, spouse's employment, race, religious preference, and arrests are irrelevant and should not be requested. Standardized forms are available from a number

of sources, but they should be carefully checked to make certain they call for all necessary information, but do not request irrelevant facts. Examples of standardized application forms may be found in Appendix C.

SELECTION

Any standard used in deciding who will be hired and who will be rejected can be considered a test. Personnel selection devices, which are all tests, include reviews of application forms, personal interviews, oral and written examinations, performance tests, reference checks, and physical and psychiatric examinations.

The identification and preparation of the appropriate tests for a particular position require considerable skill and are not without legal implications. Knowing the scope and level of the duties of a job is vital to selecting the proper tests. For tests to be effective, they must be valid measures of an individual's ability to perform the job.

Federal Equal Employment Opportunity guidelines require that employers using any kind of employee selection tests be able to prove that there is a rational connection between the qualities being tested and the requirements of the job to be performed. This process is known as test validation, and it can be complex, expensive, and time consuming.

The test validation requirement has challenged the use of any standardized written tests as a universal selection device. The use of the general intelligence, or "I.Q.", test for all applicants for employment simply cannot be validated. This is not to say that a test of physical strength or agility for applicants for the fire department cannot be validated, but it is no longer possible to have a single test

or a battery of tests which can be used for selecting persons to fill all positions within a municipality. Different tests may be required for each position.

Due to the problems of test validation, some municipalities have virtually abandoned the use of written examinations in employee selection. This is probably an over-reaction to the situation. There are persons and firms experienced in the preparation and validation of tests from whom assistance can be obtained. Commercial firms design a wide variety of validated personnel tests, and the International Personnel Management Association provides a test exchange service which is available to members.

The use of the personal interview device is almost universal in the personnel selection process. In small municipalities it may be the only device used other than a review of the application form and a check of references. Good interviewing is more than just sitting down for a little talk with a candidate.

Certain qualities can reasonably be measured in an interview and others cannot. An interview will not, for example, reveal a candidate's honesty, integrity, initiative, or willingness to cooperate. Qualities which can be measured are appearance, neatness, ability to organize one's thoughts and express them understandably, and, in general, one's manner of getting along with people. A good interviewer will emphasize those qualities which he can reasonably measure.

The secret to conducting a productive interview is advance preparation. Interviewers must know the detailed duties and responsibilities of the position to be filled; they must know as

much as is available about the applicant; and they should determine what types of questions are to be asked in order to gain information that is needed to make an employment decision. Last, but not least, interviewers should know the kinds of questions that can and cannot be asked under the Equal Opportunity Employment regulations.

Like the application form, the only information that can be solicited in the interview is that which can be related directly to the job. Any irrelevant questions which deal with the biased subjects of age, race, color, religion, sex, or national origin discrimination are prohibited. Examples of the types of questions which can and cannot be asked are found in Appendix D.

APPOINTMENT

All original appointments should be made subject to a probationary period. This is partly a recognition of the limitations of employee selection testing, but it also recognizes the fact that the skill to work is not always accompanied by the will to work.

Inadequate testing, inability of the new employee to adjust to his environment, slow learning ability, and intangible personality factors are some of the reasons that the correctness of an appointment cannot be determined without a trial period. The probationary period provides this trial period and ordinarily permits the separation of a new employee who performs unsatisfactorily without the right of appeal.

A common probationary period is six months, although differing periods of time for various jobs within the same municipality are not unusual. A common practice is to have a longer probationary period for police and fire recruits than for other employees. Generally, a

probationary period of less than two months is not thought to be a sufficient period of time to adequately observe any new employee and a probationary period in excess of one year is difficult to justify.

Proper procedures are necessary to insure that the probationary period is effectively used. Most important is the need for good employee orientation. The supervisor must spend a disproportionate amount of time with new employees assisting them in learning specific requirements, standards of performance, work flow, and all other elements of their new environment.

A conference between the supervisor and the employee at the midpoint of the probationary period is an important procedure. The supervisor can inform the employee how well he or she is actually performing. This permits the employee to correct any deficiencies in performance prior to the final judgment.

The final procedure involves making the determination as to the retention of the employee on a permanent basis. If an appointment turns out to be unsatisfactory, the probationary period is the time to take corrective action. If a performance is marginally satisfactory, some municipalities permit the extension of the probationary period for a specified period of time, but this should not be used to avoid making a decision.

PERSONNEL RECORDS

An individual personnel file should be established and maintained for each employee. A file should be started as soon as an employee is hired, and it should be maintained so long as the person continues in the employment of the municipality. Generally, a file should contain everything pertinent to an employee's pre-employment record and work history. The specific contents will vary depending upon the forms and procedures which are utilized by a municipality. Some typical examples of personnel file contents are as follows:

1. Application form and resume
2. Reference checks of other pre-employment investigations
3. Results of pre-employment tests
4. Personal job history
5. Performance evaluations
6. Wage and/or salary history
7. Medical information
8. Worker's compensation claims
9. Training records
10. Awards, commendations and laudatory memos or letters
11. Disciplinary records

It is permissible to obtain and include certain facts in a personnel file which are not relevant information in a pre-employment application or interview situation. Such information as age, race, marital status, number of dependents, and photographs may be included in personnel files if there is a legitimate need for them.

POSITION CLASSIFICATION

Position Classification, which is a system of grouping similar positions under common job titles on the basis of the kind of work, the level of difficulty and responsibility, and the qualifications required, is the basic tool of personnel management. A position comprises a group of duties and responsibilities assigned to one employee. A class is a group of positions that (1) are similar in duties and responsibilities; (2) require the same qualifications in education and experience; (3) can be filled through similar testing procedures; and (4) can be assigned the same job title and salary. The description of duties, responsibilities, and qualifications of positions in the class is called a "Class Specification." The position classification plan as a whole includes all the classes and class titles that have been established, the specifications for each class, and the procedure for maintaining the plan. Classification work was initially undertaken to assure equal pay for equal work, and this is still an important use, but position classification results are used for a variety of management purposes.

Properly prepared class specifications are essential to the setting of pay scales, recruitment, selection, promotion procedures, training, and performance evaluation. Class titles and specification provide a uniform terminology for discussing positions, keeping records, and preparing budget requests for personnel services. The class specifications identify positions in their proper relationship for promotion and transfer and provide information needed to compare rates of pay within the municipality relative to other jurisdictions. A typical Class Specification is shown in Appendix E.

A position classification plan is not a static document. Class specifications need to be reviewed, evaluated, and revised periodically. Such a review assures that requirements are job related, do not discriminate, and serve as a means of keeping abreast of changes in work, changes resulting from shifts of employees to other duties and technological changes that affect the skills needed by employees. Changes in organizational structure and in the scope of services provided by a municipality also may affect the classification plan. Supervisors should be encouraged to initiate reclassification actions when jobs change, and employees should be permitted to request review of their specific classification.

The development of a position classification plan involves specialized techniques, and it should not be undertaken by untrained and inexperienced persons. An outside professional consultant can provide the necessary technical know-how and objectivity to develop and implement a plan in an effective manner. A list of consultants who do this type of work may be obtained from your Municipal Technical Advisory Service Consultant.

PAY PLANS

A pay plan is a listing of all the position classes in a municipality together with the pay rates or ranges assigned to each class. A typical plan will include a series of different pay ranges with each range having a minimum rate, a maximum rate, and several intermediate steps that provide increments for merit raises. A typical pay plan may be found in Appendix F. While it is possible to develop a pay plan without position classification, it is only through the use of the orderly groupings of positions resulting from position classification that a systematic and equitable salary structure can be constructed.

A pay plan has a number of objectives, including:

1. To pay salaries that are equitable in relation to the complexity and responsibility of the work performed and to maintain internal equity in the relation of pay between employees.
2. To maintain a competitive position in the labor market in order to attract and retain competent employees.
3. To provide data needed in budgeting and payroll administration.
4. To stimulate and reward high-level performances by employees.
5. To provide an orderly program of salary policy and control.

Since a municipality's payroll is such a large proportion of its expenditure, it is customary for the legislative body to exercise close control over salary and wage rates. The role of the chief executive and other supervisory personnel in the preparation and adoption of a pay plan may properly be limited to conducting studies and making recommendations.

The supervisor's role in pay administration ordinarily starts after the pay plan is adopted. Most pay plans provide within grade increments for meritorious service at specified intervals. Supervisors have the responsibility of defining and recognizing meritorious services and recommending raises for employees who meet the standards. Some plans also provide recognition for the outstanding employee in the form of earlier-than-standard interval increments or double increments. Again, supervisors are charged with the responsibility of making the necessary recommendations to implement such changes.

When a new class specification is created, the supervisor should make a recommendation concerning its inclusion in the pay plan at the appropriate level. If unusual employee retention difficulties are encountered, they should be reported to management. Retention problems may be caused by inadequate pay.

TRAINING

Training has been defined as "the process of aiding employees to gain effectiveness in their present or future work through the development of appropriate habits of thought and action, skill, knowledge, and attitudes." The expenditure of time, effort, and funds on training can only be justified if the result is more effective employee performance. Training, regardless of the amount provided, should be a planned program consisting of defining the needs; of providing training to fit the needs; and of evaluating the results.

Training needs will vary widely from one municipality to another, but there are some basic training objectives which are so commonplace that their need is almost universal. These basic objectives include the following:

1. To provide employees with specific skills either needed or to be improved.
2. To provide an employee with information needed to perform the job.
3. To aid an employee in developing attitudes consistent with operating policies.
4. To provide employees with an understanding of the objectives and program of the entire municipal organization.
5. To retrain employees when job content or method changes.
6. To train employees for promotion.

Training, which too frequently has a connotation of a classroom situation, can take many forms in many situations. The training methods

selected will depend upon the subject matter, the availability of a trainer, the number of persons to be trained, and the cost.

The importance of on-the-job training cannot be overestimated for any position. Learning by doing is retained longer than any other kind of learning. It can be provided by the first level supervisor who can undertake such training deliberately through patterns of work assignment, methods of explaining procedures and processes, and inspection and evaluation activities.

Off-the-job training, which can take the form of lectures, conferences, case studies, and demonstrations, is provided away from an employee's immediate work area, but at a municipal facility. Small communities have difficulty in providing this type of training due to a lack of qualified instructors and the limited number of employees who have identical training needs.

Off-the-premises training can take all the forms of on-the-job training and may be offered at a location within the community, within the state, or within the nation. This type of training probably provides the best opportunity for small and medium size municipalities. It usually can be provided at a reasonable cost, and it can offer a wide variety of high quality programs. Resources which should be considered to provide off-the-premises training are colleges and universities, technical institutes, high schools which offer night school courses, and regional, state, and national organization of public officials.

The Center for Government Training of the University of Tennessee provides a wide variety of one-day courses which are designed for municipalities. No charge is made for attending the courses, and they

are held at convenient locations throughout the state. In addition to individual courses covering specific subjects, the Center offers "Certificate Training Programs," which consist of a series of courses relating to the responsibilities of particular positions. Advance notices of course descriptions, dates, and locations are mailed to municipal officials.

No one has yet produced a measuring stick suitable for evaluating employee training programs. Training often deals with intangibles which defy objective evaluation. Despite the fact that measurement devices are lacking, the basic principles of employee training and development have grown over such a long period of time, and over such a wide range of positions, that no one seriously questions their need or worth.

DISCIPLINE

The maintenance of discipline is one of the most important tasks of anyone involved in personnel management. Standards of conduct and work output must be established, communicated, and enforced.

In establishing rules of personal conduct for employees, the goal should be to establish only those rules which the majority of employees would agree are reasonable. Rules which are not reasonable will not be obeyed by employees or enforced by supervisors. Some facets of personal conduct are so obvious that they need not be included in the rules. Everyone knows that being drunk on the job is wrong, for example, and will expect punishment if caught. Generally, it is sufficient merely to indicate that employees are expected to conduct themselves in such a manner as not to bring discredit upon the municipality.

Not many municipal operations lend themselves to specific standards of performance. Because of this, it may be difficult to discipline employees for poor performance, but it is not impossible. Some kinds of work do permit measurement. A meter reader, for example, can be given an exact quota of meters to read because the work is repetitive. Other employees can be compared with the average for their units.

Qualitative standards are even more difficult since many municipalities do not have any operations which lend themselves to objective, qualitative measurement. However, quality can be judged by supervision, and disciplinary action can be taken and upheld on the basis of recorded examples of poor performance.

The key concepts in any disciplinary action of consequence, such as demotion or dismissal, are "good records" and "due process." The need for complete and accurate records is important in justifying the action taken. Demotions or dismissals do not usually arise out of a first offense. They are the culmination of a series of personal delinquencies. The record should reflect any and all offenses, the action taken on each occasion, and the fact that the employee was warned of his delinquencies. When a precipitating incident occurs, and it is determined that previous actions have been ineffective and that demotion or dismissal is required, a record is available which supports the action taken. Such a record is vital if the disciplinary action is appealed to a hearing board.

"Due process," which arises from constitutional law, is based upon the premise that any employee, regardless of his transgression, is entitled to certain procedural rights. In order to assure these rights, every municipality should have, and consistently follow, an established procedure for taking disciplinary action. The procedure established should include the following requirements:

1. A thorough investigation so that the exact nature of the violation is known.
2. Formal notification to the employee of the nature of the violation.
3. An administrative hearing so that the employee's side of the case can be presented.
4. Prompt action in assessing the disciplinary action, if any.
5. A provision for an appeal of the disciplinary action to a hearing board.

Disciplinary action can take a number of forms. It should be tailored to fit the violation if it is to be accepted as fair, not only by the employee involved, but by associates.

Corrective discipline is any action short of dismissal which is designed to deter improper behavior. The levels of corrective discipline, beginning with oral reprimand and going through suspension, recognize different levels of severity of penalty. It also permits greater penalties for repeated offenses by the same employee.

The oral reprimand is considered the least severe of all disciplinary actions. It can be extremely effective if the supervisor uses the face-to-face contact provided for constructive educational purposes. It is advisable to make a note of each oral reprimand and place it in the employee's file.

The written reprimand is intended to impress upon an employee that the pattern of conduct could lead to further action if not corrected. It also makes the action a matter of official record.

In the case of more serious offenses or after reprimands have failed, it may be necessary to suspend an employee from duty without pay. Generally, long periods of suspension cannot be justified, and personnel rules frequently limit their lengths. Long periods of suspensions are likely to have undesirable effects on the employee's family and may adversely affect work production.

Demotion to a lower grade job, with lower pay, is a disciplinary action of considerable severity. It is seldom used in most municipalities due to its lack of acceptance by employees, and since it is permanent in nature, it really is not effective as a corrective measure. It is probably most appropriately used when an employee proves to be incompetent in performing the job obtained as a result of promotion.

The ultimate disciplinary action is dismissal. Corrective discipline should normally precede dismissal except in the most serious offenses such as theft, threat of bodily harm, or commission of a felony. Dismissal, more than lesser disciplinary actions, has been subjected to legal and judicial scrutiny. Due process has become the watch word of dismissal actions. Procedural and legal requirements should be closely followed. Municipal employees can be fired--it happens every day--but a municipality should be aware of the inherent problems involved in such an action and take steps to avoid or counter them.

SEPARATIONS

Separations can take the form of dismissal, resignation, retirement, or lay-off with resignations constituting the majority of separations in most municipalities. Some municipalities feel that all resignations are inevitable and that nothing can be done about them. This is not necessarily the case if the real reasons for resignations can be determined.

The usual method for attempting to ascertain the reason for a resignation is the exit interview. This is a step in the separation process where the departing employee talks with a supervisor. Usually, the employee can be more frank in this situation, and the discussion may reveal weak spots in supervision, pay, or working conditions. Any clue to an unsatisfactory condition which can be corrected may prevent additional and unnecessary resignations.

AFFIRMATIVE ACTION

Affirmative action programs are based upon the premise that passive prohibition of discriminatory practices is insufficient. To achieve the goal of equal opportunity for minorities, women, and the disadvantaged, positive action is required.

The affirmative action programs which have been developed and adopted by Tennessee municipalities, usually due to requirements of Federal grant programs, vary from voluminous documents which spell out the details of every aspect of the program to relatively simple statements of goals.

All have the stated policy of taking positive steps to insure that recruiting, hiring and promoting for all jobs, and the administering of personnel actions such as compensation, benefits, transfers, layoffs, training, tuition assistance, and social and recreational programs are done without regard to race, religion, creed, color, sex, national origin or age.

The administration of an affirmative action program is not without problems. Budget limitations, inadequate numbers of minority applicants, public resistance, the inability of applicants to pass valid tests, and resistance from employees and supervisors are barriers which must be overcome. A practical plan, a firm commitment from the governing body, and vigorous administration at all levels of supervision are required for a successful program.

UNIONS AND COLLECTIVE BARGAINING

Independent employee associations or affiliated labor organizations actively represent the interests of municipal employees in some 40 states. Thirty-seven states and the District of Columbia have some kind of legislation regarding public employee relations that cover several classes or types of employees. Thirty-two states have laws requiring parties to meet and confer, to negotiate, or to engage in collective bargaining and 23 states have comprehensive laws allowing collective bargaining.

Tennessee has no laws pertaining to unions and collective bargaining in the public sector, other than public education. This does not mean that unions and collective bargaining do not occur in Tennessee municipalities. It does mean that there is no uniformity and that a wide variety of practices can be found. Local practices vary from formal recognition of unions as the sole bargaining agents for particular groups of employees, along with collective bargaining and contracts, to flat prohibitions of any employees being members of any union "which authorizes the use of strikes by government employees."

The lack of public sector labor legislation has undoubtedly slowed the impact of unions in the State. It cannot be anticipated that this lack will continue indefinitely. Every session of the General Assembly in recent years has seen the introduction of labor legislation which would affect municipalities, and this trend is likely to continue until some type of legislation is adopted. The history in other states would indicate that it is not a question if legislation will be adopted, but only when and what type.

Even if labor legislation does not occur for some years, it is not unreasonable to assume that the push for recognition and collective bargaining by the unions representing public employees will continue. Certainly the nationwide trend since about 1962 has been in this direction.

Municipalities can best prepare for the possibility of unionization by putting their personnel houses in order. This includes the development and adoption of position classification and pay plans that provide for competitive salaries; the adoption of competitive fringe benefit packages; the adoption of clearly defined written personnel rules that are applied uniformly and consistently; and the adoption of a grievance procedure that provides for an orderly process of resolving disputes. An effective employee relations program may delay the unionization of employees, but even if it does not do this, it can be the basis for a better relationship with employee organizations.

SUMMARY

An attempt has been made in this manual to present the basic elements of a personnel management program. Not each of the elements is absolutely essential to the success of a personnel program, but each has a purpose and a role. The absence of certain of the basics, such as written personnel rules, would certainly make personnel management difficult and could lead to major legal problems.

The problem of coping with the multitude of laws, regulations, and court decisions which effect personnel management is a difficult one which has no easy solution. Perhaps a general awareness of the problems which can arise from alleged violations of civil rights; a knowledgeable city attorney; and a comprehensive Public Officials Liability Policy are the only practical approaches to the problem.

Following is a checklist which can be used to locate the deficiencies in your personnel management program. While there is no guarantee that all "Yes" answers will prevent problems in personnel management, a majority of "No" answers will practically guarantee problems at some time in the future.

PERSONNEL MANAGEMENT CHECKLIST

	<u>YES</u>	<u>NO</u>
1. Are you familiar with your Charter provisions concerning personnel?	—	—
2. Are you familiar with your ordinance provisions concerning personnel?	—	—
3. Do you have written personnel rules?	—	—
4. If you have written personnel rules, do they include:		
a. A definition of terms?	—	—
b. A general statement of policy concerning employment, promotions, and pay increase?	—	—
c. A probationary period?	—	—
d. A policy on overtime payment?	—	—
e. A grievance procedure?	—	—
f. A hearing process for dismissed employees?	—	—
g. A listing of benefits such as holidays, vacations, and sick leave?	—	—
h. A listing of actions which can be grounds for dismissal?	—	—
5. Do you have a position classification plan?	—	—
a. Does it require periodic review and up-dating?	—	—
6. Do you have a formally adopted pay plan?	—	—
7. Do you use written performance evaluations on at least an annual basis?	—	—

	<u>YES</u>	<u>NO</u>
8. Are your supervisors told to give specific instructions to employees about job performance and to inform them of short-comings?	_____	_____
9. Do you use an employment application form?	_____	_____
10. Does your employment application ask questions about age, sex, race, national origin, marital status, or dependents?	_____	_____
11. If you require physical tests or standards, are they related to job performance?	_____	_____
12. If you require written tests for job applicants, have the tests been validated?	_____	_____
13. Has the administration of personnel management been assigned to a specific person?	_____	_____

**MODEL PERSONNEL RULES
FOR SMALL MUNICIPALITIES**

TABLE OF CONTENTS

<u>Subject</u>	<u>Page Number</u>
Definitions	A-4
Coverage	A-7
Recruitment	A-7
Employment Examinations	A-8
Appointments	A-9
Promotions	A-9
Emergency Appointments	A-9
Transfers	A-10
Demotions	A-10
Probationary Period	A-10
Hours of Work	A-10
Attendance	A-11
Overtime	A-11
Outside Employment	A-11
Pecuniary Interests	A-11
Political Activity	A-11
Holiday Leave	A-12
Annual Leave	A-12
Sick Leave	A-13
Occupational Disability or Injury Leave	A-14
Leave With Pay	A-14

<u>Subject</u>	<u>Page Number</u>
Leave Without Pay	A-14
Prohibitions	A-15
Separations	A-15
Resignations	A-16
Lay-Off	A-16
Disability	A-16
Disciplinary Action	A-16
Dismissal and Demotion	A-17
Grievance Procedure	A-18
Amendment of Rules	A-18

Definitions. As used in these rules the following words and terms shall have the meanings listed:

- (1) Absence without leave. An absence from duty which was not authorized or approved.
- (2) Appeals. Procedures as prescribed by these regulations for appealing disciplinary actions and other individual grievances.
- (3) Applicant. An individual who has applied in writing on an application form for employment.
- (4) Appointment. The offer to and acceptance by a person of a position either on a regular or temporary basis.
- (5) Compensatory leave. Time off from work in lieu of monetary payment for overtime worked.
- (6) Demotion. Assignment of an employee from one position to another which has a lower maximum rate of pay and rank.
- (7) Department. The primary organizational unit which is under the immediate charge of a department head who reports directly to the chief administrative officer.
- (8) Disciplinary action. Action which may be taken when an employee fails to follow departmental rules or any provisions of these rules.
- (9) Dismissal. A type of disciplinary action which separates an employee from the payroll.
- (10) Employee. An individual who is legally employed and is compensated through the payroll.

- (11) Full-time employees. Individuals who work the equivalent of forty (40) hours or more per week.
- (12) Grievance. A dispute arising between an employee and supervisor relative to some aspect of employment, interpretation of regulations and policies, or some management decision affecting the employee.
- (13) Immediate family. Spouse, children, brother, sister, parents, step-parent, mother and father-in-law, grandparents.
- (14) Lay-off. The involuntary nondisciplinary separation of an employee from a position because of shortage of work, materials, or funds.
- (15) Leave. An approved type of absence from work as provided for by these rules.
- (16) Maternity leave. An absence due to pregnancy, childbirth, or related medical conditions which shall be treated the same as sick leave.
- (17) Occupational disability or injury leave. An excused absence from duty because of an injury or illness sustained in the course of employment and determined to be compensable under the provisions of the Worker's Compensation Law.
- (18) Overtime. Authorized time worked by an employee in excess of normal working hours or work period.
- (19) Overtime pay. Compensation paid to an employee for overtime work performed in accordance with these rules.

- (20) Probationary period. The designated period of time after an applicant is appointed or an employee is promoted in which the employee is required to demonstrate fitness for the position by actual performance.
- (21) Promotion. Assignment of an employee from one position to another which has a higher maximum rate of pay and rank.
- (22) Reprimand. A type of disciplinary action, oral or written, denoting a violation of personnel regulations which becomes part of the employee's personnel record.
- (23) Seniority. Length of service as a regular employee in the classified service.
- (24) Sick leave. An absence approved by the department head or supervisor due to non-occupational illness or injury.
- (25) Supervisor. Any individual having authority on behalf of the municipality to assign, direct, or discipline other employees, if the exercise of such authority is not a mere routine or clerical nature, but requires the use of independent judgment.
- (26) Suspension. An enforced leave of absence for disciplinary purposes or pending investigation of charges made against an employee.
- (27) Temporary employee. An employee holding a position other than permanent, which is of a temporary, seasonal, casual, or emergency nature.
- (28) Transfer. Assignment of an employee from one position to another position.

- (29) Work day or work period. Scheduled number of hours an employee is required to work per day or per scheduled number of days.

Coverage. These rules shall apply only to the classified service unless otherwise specifically provided or necessarily implied. The classified service shall include all full-time positions which are not specifically placed in the exempt service. The exempt service shall include the following:

- (1) All elected officials and persons appointed to fill vacancies in elective offices.
- (2) All members of appointive boards, commissions, or committees.
- (3) City attorney.
- (4) Consultants, advisors, and counsel rendering temporary professional service.
- (5) Independent Contractors.
- (6) Temporary employees who are hired to meet the immediate requirements of an emergency condition.
- (7) Seasonal employees who are employed for not more than three (3) months during the fiscal year.
- (8) Persons rendering part-time service.
- (9) Volunteer personnel, such as volunteer firefighters; and all other personnel appointed to serve without compensation.

Recruitment. Individuals shall be recruited from a wide geographic area to assure obtaining well-qualified applicants for the various types of positions. In cases where residents and non-residents are equally

qualified for a position, the resident shall receive first consideration.

The chief administrative officer may, after consultation with the department head concerned, prescribe minimum qualifications as required by the nature of the work to be performed. Such requirements shall be announced to all applicants.

The chief administrative officer may reject any applicant after determining: that the application was not timely filed or was not filed on the prescribed form; that the applicant does not possess the minimum qualifications; that the applicant has established an unsatisfactory employment or personnel record (as evidence by reference check) of such a nature as to demonstrate unsuitability for employment; that the applicant has made false statement of any material fact; that the applicant is afflicted with any mental or physical disease or defect that would prevent satisfactory performance of duties; that the applicant is addicted to the habitual use of drugs or intoxicants; that the applicant does not reply to a mail or telephone inquiry; that the applicant fails to accept appointment within the time prescribed in the offer; that the applicant was previously employed and was removed for cause or resigned not in good standing.

Employment Examinations. All appointments may be subject to competitive examination. All examinations shall fairly and impartially test those matters relative to the capacity and fitness of the applicant to discharge efficiently the duties of the positions to be filled.

Examinations may consist of one or more of the following types: a written test of required knowledge; an oral interview; a performance test of manual skills; a physical test of strength, agility, and fitness; a written test of mental ability; an evaluation of training and experience.

Applicants for positions may be required to undergo a medical examination to determine physical and mental fitness to perform work in the position to which appointment is to be made. All employees may be required to undergo periodic medical examinations to determine their continued physical and mental fitness to perform the work of the position in which they are employed. Determination of physical or mental fitness will be by a physician or physicians designated by the governing body. Medical examinations shall be at no expense to the employee.

Appointments. Appointments shall be made by the chief administrative officer from those applicants who, by virtue of examination, have been determined to have the required qualifications.

Promotions. Vacancies in positions above the entrance level shall be filled by promotion whenever in the judgment of the chief administrative officer it is in the best interest of the municipality to do so. Promotions shall be on a competitive basis and shall give appropriate consideration to the applicants' performance, qualifications, and seniority.

Emergency appointments. In an emergency, the chief administrative officer may authorize the appointment of any person to a position to prevent stoppage of public business or loss or serious inconvenience to the public. Emergency appointments shall be limited to a period not to exceed 30 days in any 12-month period.

Transfers. Any employee who has successfully completed the probationary period may be transferred to the same or similar position in a different department without being subject to a probationary period.

Demotions. An employee may be demoted to a position of lower grade, if qualified, for any of the following reasons: because the position is being abolished and the employee would otherwise be laid off; there is a lack of funds; because another employee, returning from authorized leave, will occupy the position to which the employee is currently assigned; the employee does not possess the necessary qualifications to render satisfactory service in the position, or is removed during probation; the employee voluntarily requests demotion.

Probationary period. The probationary period for all regular appointments, including promotional appointments, shall be for a period of six months. The employee's supervisor will tell the employee, during the probationary period, when performance is not satisfactory and is not meeting probationary test requirements.

At least 10 days prior to the expiration of an employee's probationary period, the department head shall notify the chief administrative officer whether the service of the employee has been satisfactory, and whether the department head recommends that the employee continue in the position. An additional probationary period of up to three months may be requested by the department head. No employee shall serve more than nine months on a probationary basis.

Hours of work. The governing body shall establish hours of work per week for each position, based on the needs of service, and taking into

account the reasonable needs of the public that may be required to do business with various departments.

Attendance. An employee shall be in attendance at regular work in accordance with these rules and with general department regulations. All departments shall keep daily attendance records of their employees.

Overtime. Overtime may be authorized by prior approval of the department head or the chief administrative officer. Supervisory employees required to work overtime shall be compensated with compensatory leave on a straight time basis. All other employees required to work overtime shall be paid on the basis of one and one-half (1 1/2) times the hours worked. All employees called in for overtime shall be guaranteed pay or compensatory time for a minimum of two hours.

Outside employment. No employee may engage in additional employment outside the official hours of duty unless approved by the chief administrative officer.

Pecuniary interests. No officer or employee shall personally profit directly or indirectly from any contract, purchase, sale, or service between the municipality and any person or company; or personally or as an agent provide any surety, bail, or bond required by law or subject to approval by the governing body. No officer or employee shall accept any free or preferred services, benefits, or concessions from any person or company.

Political activity. Employees may individually exercise their right to vote and privately express their political views as citizens. However, no employee shall hold appointive office or actively participate in a municipal political campaign.

Holiday leave. The following legal holidays shall be observed: New Year's Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day, Christmas Day. When a holiday falls on a Saturday or Sunday, the preceding Friday, or following Monday shall be observed as a holiday.

Where possible, every employee shall be given approved holidays. Employees who must work on one of these holidays shall receive equivalent time off or, if necessary, double pay for time worked.

Annual leave. All permanent employees who have been continuously employed for a period of one year or longer shall be credited with earned vacation leave in accordance with the following schedule:

<u>Completed Service</u>	<u>Vacation Credit - Per Year</u>
After 1 year	5 days
After 3 years	10 days
After 5 years	15 days

The above schedule and credits are for uninterrupted service computed from the most recent date of continuous employment. Employees shall accrue vacation leave from their employment date, but shall not be entitled to take vacation until they have completed one year of service. Vacation leave may be taken as earned subject to the approval of the department head who shall schedule vacations so as to meet the operational requirements of the department. Employees may accrue vacation leave to a maximum of twenty days. Employees resigning voluntarily and who give reasonable notice of intention to resign will receive payment for accrued vacation as of the date of resignation.

Vacation leave shall be charged in not less than the one-half (1/2) day increments.

Sick leave. Sick leave with pay shall be granted all full-time employees at the rate of one working day for each completed month of service and may be accrued to a maximum of ninety 90 days. Employees shall accrue sick leave from their employment date, but shall not be entitled to take sick leave until they have completed their probationary period. No payment will be made for accrued sick leave upon separation. Sick leave with pay shall be granted for the following reasons: personal illness or physical incapacity resulting from causes beyond the employee's control; illness of a member of the employee's immediate family that requires the employee's personal care and attention; enforced quarantine of the employee in accordance with community health regulations; to keep a doctor's appointments; or for a death in the immediate family.

In order to be granted sick leave with pay, an employee must meet the following conditions: notify the immediate supervisor prior to the beginning of the scheduled work day of the reason for absence; submit, if required by the department head, a medical certificate signed by a licensed physician certifying that the employee has been incapacitated for work for the period of absence, the nature of the employee's sickness or injury, and that the employee is again physically able to perform duties. A medical statement may be required only if the period of absence is two consecutive days or longer.

Sick leave may be taken as necessary, but may not be extended beyond the accrual at the time of absence. Provided, however, that at the request of the employee any accrued vacation balance may be applied and extended as though it were sick leave.

Occupational disability or injury leave. Occupational disability or injury leave shall be granted employees who sustain an injury or an illness during the course of their employment which is determined to be compensable under the provisions of the Worker's Compensation Law.

Employees on occupational disability leave shall receive such benefits in lieu of pay as are provided by the Worker's Compensation Law.

Employees on occupational disability leave who have accrued sick leave may choose to receive full pay and charge such disability leave against their accrued sick leave. Any monies received by the employee as a benefit under Workmen's Compensation shall be deposited in original check or draft form with the City Recorder.

Leave with pay. Leave with pay may be authorized in order that employees may serve required court and jury duty, provided that such leave is reported in advance to the supervisor. In order to receive full pay for such leave, the employee must deposit the money which he receives for jury duty with the City Recorder.

A regular employee who is a member of any military reserve component will be allowed leave of absence with pay for a period not in excess of 15 working days during one year.

Leave without pay. A regular employee may be granted a leave of absence without pay for a period not to exceed one year for temporary sickness, disability, or for other good and sufficient reasons. Such leaves shall require the prior approval of the chief administrative officer.

Prohibitions. No person shall be appointed to, or promoted to, or demoted, or dismissed from any position in the classified service, or in any way be favored or discriminated against with respect to employment in the classified service because of race, religion, national origin, political affiliation, handicap, sex, or age.

No person shall seek or attempt to use any political endorsement in connection with any appointment to a position, or demotion, or dismissal from a position in the classified service.

No person shall use or promise to use, directly, or indirectly, any official authority or influence, whether possessed or anticipated, to secure or to attempt to secure for any person an appointment to a position in the classified service, or any increase in wages or other advantage in employment in such position, for the purpose of influencing the vote or political action of any person, or for any other consideration.

No person shall, directly or indirectly, give, render, pay, offer, solicit, or accept any money, service, or other valuable consideration for or on account of any appointment or promotion, or any advantage in a position in the classified service.

Separations. All separations of employees from positions in the classified service shall be designated as one of the following types and shall be accomplished in the manner indicated: resignation, lay-off, disability, and dismissal. At the time of separation and prior to final payment, all records, equipment, and other items of municipal property in the employee's custody shall be transferred to the department head. Any amount due to a shortage in the above shall be withheld from the employee's final compensation.

Resignation. An employee may resign by submitting in writing the reasons and the effective date, to his/her department head as far in advance as possible, but a minimum of two weeks notice is requested. Unauthorized absence from work for a period of three consecutive days may be considered by the department head as a resignation. Department heads shall forward all notices of resignation to the chief administrative officer immediately upon receipt.

Lay-off. The governing body may lay-off any employee when they deem it necessary by reason of shortage of funds or work, the abolition of a position, or other material changes in the duties or organization, or for related reasons which are outside the employee's control and which do not reflect discredit upon service of the employee. Temporary employees shall be laid off prior to probationary or regular employees. The order of lay-off shall be in reverse order to total continuous time served upon the date established for the lay-off to become effective.

Disability. An employee may be separated for disability when unable to perform required duties because of a physical or mental impairment. Action may be initiated by the employee or the municipality, but in all cases it must be supported by medical evidence acceptable to the chief administrative officer. The municipality may require an examination at its expense and performed by a licensed physician of its choice.

Disciplinary Action. Whenever employee performance, attitude, work habits, or personal conduct fall below a desirable level, supervisors shall inform employees promptly and specifically of such lapses and shall give them counsel and assistance. If appropriate and justified, a reasonable period of time for improvement may be allowed before initiating disciplinary action.

In situations where an oral warning has not resulted in the expected improvement, or when more severe initial action is warranted, a written reprimand may be sent to the employee, and a copy shall be placed in the employee's personnel folder.

An employee may be suspended without pay by his/her department head, with the approval of the chief administrative officer, not to exceed a total of 30 days in any 12-month period. A written statement of the reason for suspension shall be submitted to the employee affected at least 24 hours prior to the time the suspension becomes effective. Regular employees may be suspended without pay for a longer period pending an investigation or hearing of any charges against them. An employee determined to be innocent of the charges shall be returned to duty with full pay for the period of suspension.

Dismissal & Demotion. The chief administrative officer may dismiss or demote an employee. Reasons for dismissal or demotion may include, but shall not be limited to: misconduct, negligence, incompetency, insubordination, unauthorized absence, falsification of records, violation of any of the provision of the Charter, ordinances, or these rules, or any other justified reason.

The employee shall be furnished an advance written notice containing the nature of the proposed action, the reasons therefore, and the right to appeal the charges in writing to the governing body. This notice shall be furnished at least one calendar week prior to the proposed effective date of the action. During this period, the employee may be retained on duty status, placed on leave, or suspended with or without

pay at the discretion of the chief administrative officer. If the employee fails to respond to the advance notice, the proposed action shall be effective on the date specified with no need for further action.

If the employee requests a hearing on the proposed action, the governing body shall promptly set a date and time for the hearing and shall carefully consider all evidence presented before making a decision. The decision of the governing body shall be final.

Grievance procedure. When any grievance comes to or is directed to the attention of any department head, he/she shall discuss within two working days all relevant circumstances with the employee and remove the causes of the grievances to the extent the department head deems advisable and possesses authority. Failing resolution at this level, the grievance shall be referred to the chief administrative officer for final determination.

Amendment of personnel rules. Amendments or revisions to these rules may be recommended for adoption by the chief administrative officer or by any member of the governing body. Such amendments or revisions of these rules shall become effective upon adoption by a majority vote of the governing body.

State of Illinois
DEPARTMENT OF PERSONNEL
Springfield, Illinois

INDIVIDUAL DEVELOPMENT AND PERFORMANCE SYSTEM

1. EMPLOYEE'S NAME - LAST, FIRST, MIDDLE	2. DEPARTMENT, BOARD OR COMMISSION	3. DIVISION OR INSTITUTION
4. EMPLOYEE'S SOCIAL SECURITY NUMBER	5. EMPLOYEE'S PAYROLL TITLE	6. TIME IN CURRENT TITLE ____ YEARS ____ MONTHS
7. PERIOD OF REPORT FROM _____ TO _____	8. TYPE OF REPORT ☐ FIRST PROBATIONARY ☐ FINAL PROBATIONARY ☐ ANNUAL ☐ SALARY INCREASE ☐ LAYOFF ☐ DISCHARGE ☐ OTHER (SPECIFY) _____	

GENERAL INFORMATION

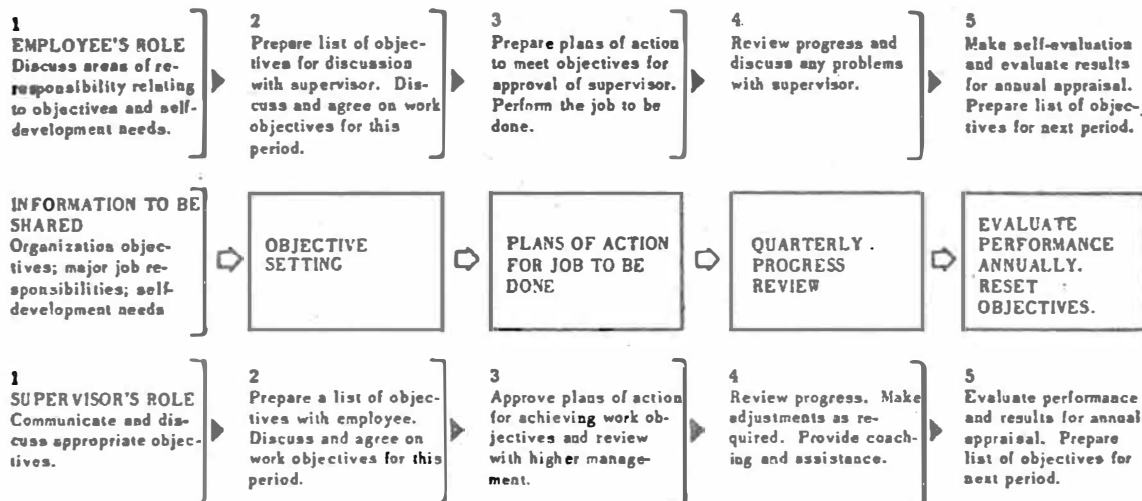
An objective centered performance evaluation system provides for the collaborative review of employee performance and for the establishment of appropriate work and developmental objectives.

The form itself is a neutral instrument. The value of the system will be determined by the amount of effort individuals are willing to devote to the objective setting and evaluation processes. This evaluation system requires continuous communication between the employee and the supervisor.

The system is an attempt to make the process of evaluation more rational. It helps the employee and supervisor understand more fully what is involved in doing their jobs as well as clarifying the relationship of their work to the work of others around them. This approach helps reduce the problem of misunderstanding by requiring that the employee and supervisor meet and jointly agree to a set of objectives, in order of importance, for the employee's job. The individual gets direct feedback on how he is progressing through the use of the quarterly review sessions. The organization benefits by being better able to plan and coordinate its functions for more effective and economical delivery of services.

The objectives of the organization and the objectives of the individual should be integrated as closely as possible. Those employees who see their own objectives being accomplished, while at the same time achieving the objectives of the organization, are more interested, more motivated and, therefore, more effective in performing their jobs.

The establishment of employee objectives is a five-step process which may be illustrated as follows:



Each employee will be counseled by his supervisor and a copy of this form filed in the individual's personnel folder not less than once every twelve (12) months. Results of quarterly progress review sessions need be recorded only on copies retained by the employee and the supervisor.

A minimum of three (3) copies of this form will be required--one for the supervisor, one for the employee, and one for the personnel files. Additional copies may be required if needed. If employee position is at a level (unskilled, etc.) that does not lend itself to objective setting, indicate by inserting "N/A" (Not Applicable) wherever necessary.

PART I. APPRAISAL OF OBJECTIVES.

Supervisor is to list and evaluate all objectives for which the employee was held accountable during the last reporting period. Mark the appropriate column for each objective.

				Objectives			
				EXCEEDED	MET	NOT MET	
PART II. GENERAL APPRAISAL OF EMPLOYEE PERFORMANCE				TO BE COMPLETED BY EMPLOYEE		TO BE COMPLETED BY SUPERVISOR	
Complete items 1 through 8 for all employees and items 9 and 10 when applicable. Differences between ratings by employee and by supervisor must be discussed.				EXCEEDS EXPECTATIONS	MEETS EXPECTATIONS	NEEDS IMPROVEMENT	EXCEEDS EXPECTATIONS
							MEETS EXPECTATIONS
							NEEDS IMPROVEMENT
							INSUFFICIENT OPPORTUNITY TO OBSERVE
1. JOB KNOWLEDGE: Consider overall knowledge of duties and responsibilities as required for current job or position				☐	☐	☐	☐
2. PRODUCTIVITY: Evaluate amount of work generated and completed successfully as compared to amount of work expected for this job or position				☐	☐	☐	☐
3. QUALITY: Rate correctness, completeness, accuracy and economy of work - overall quality				☐	☐	☐	☐
4. INITIATIVE: Self motivation - consider amount of direction required - seeks improved methods and techniques - consistence in trying to do better.				☐	☐	☐	☐
5. USE OF TIME: Uses available time wisely - is punctual reporting to work absenteeism - accomplishes required work on or ahead of schedule				☐	☐	☐	☐
6. PLANNING: Sets realistic objectives - anticipates and prepares for future requirements - establishes logical priorities				☐	☐	☐	☐
7. FOLLOW-UP: Maintains control of workloads - allocates resources economically - insures that assignments are completed accurately and timely				☐	☐	☐	☐
8. HUMAN RELATIONS: Establishes and maintains cordial work climate - promotes harmony and enthusiasm - displays sincere interest in assisting other employees				☐	☐	☐	☐
9. LEADERSHIP: Sets high standards - provides good managerial example - encourages subordinates to perform efficiently - communicates effectively				☐	☐	☐	☐
10. SUBORDINATE DEVELOPMENT: Helps subordinates plan career development - grooms potential replacements - gives guidance and counsel				☐	☐	☐	☐

EMPLOYEE'S NAME - LAST, FIRST, MIDDLE

PART III. REMARKS BY SUPERVISOR.

Comment on employee's outstanding achievements. When "not met" is checked in Part I or "needs improvement" is checked in Part II describe the reasons for this rating, and what remedial steps were taken.

PART IV. EMPLOYEE OBJECTIVES FOR NEXT REPORTING PERIOD.

To be established by the employee with input, advice, and agreement of the supervisor. Objectives should be set for each major area of job responsibility, ranked in priority order, and be as measurable as possible. Personal development objectives may be included.

PART V. EMPLOYEE'S COMMENTS.

Employee may comment on all or any part of the information contained in this document, including the evaluation process. If the employee does not concur with the evaluation, check the appropriate box and explain reasons for disagreement.

PART VI. SIGNATURES.

EMPLOYEE'S SIGNATURE	PAYROLL TITLE	DATE
☐ I DO NOT CONCUR (USE PART V FOR COMMENTS)		
SUPERVISOR'S SIGNATURE	PAYROLL TITLE	DATE
☐ I HAVE PERSONALLY DISCUSSED THE CONTENTS OF THIS DOCUMENT WITH THE EMPLOYEE AND WE HAVE AGREED TO THE OBJECTIVES SET.		
NEXT HIGHER LEVEL SUPERVISOR SIGNATURE (REVIEW)	PAYROLL TITLE	DATE
AGENCY HEAD SIGNATURE (REVIEW)	PAYROLL TITLE	DATE

PART VII. QUARTERLY PROGRESS REVIEW. (This can be initiated by either the employee or the supervisor.)

The employee and supervisor are to meet quarterly to review progress toward previously agreed upon objectives. If the original objectives need to be adjusted, use the space below to document the change. The employee and supervisor should date and initial the document at the time of each review.

1st quarter

Date _____

Initials:

Emp. _____

Sup. _____

2nd quarter

Date _____

Initials:

Emp. _____

Sup. _____

3rd quarter

Date _____

Initials:

Emp. _____

Sup. _____

(DO NOT WRITE BENEATH THIS LINE)

For use only if third party consultation is required.

Application For Employment

(answer all questions - please print)

In compliance with Federal and State equal employment opportunity laws, qualified applicants are considered for all positions without regard to race, color, religion, sex, national origin, age, marital status, or the presence of a non-job-related medical condition or handicap.

Date of Application _____

Position(s) Applied For _____

Referral Source

☐ Advertisement ☐ Friend ☐ Relative

☐ Employment Agency ☐ Other _____

Name _____ Social Security No. _____
LAST FIRST MIDDLE

Address _____
STREET CITY STATE ZIP

Phone _____ Are you known to schools/references by another name? ☐ Yes ☐ No

If yes, by what name? _____

Have you filed an application or been employed here before? ☐ Yes ☐ No Date(s) _____

Are you a Citizen of the United States? ☐ Yes ☐ No

If not, do you possess an Alien Registration Card? ☐ Yes ☐ No

Are you available to work? ☐ Full Time ☐ Part Time ☐ On Shifts

Do Any of Your Friends or Relatives Work Here? ☐ Yes ☐ No

If Yes, List Name(s) _____

Are you? ☐ Under 18 ☐ 18-70 ☐ Over 70 years of age

Have you been convicted of a felony or released from prison within the last 7 years? ☐ Yes ☐ No

If yes, describe in full, including date(s) _____

In case of accident or emergency, please notify:

NAME

ADDRESS

PHONE NO.

AN EQUAL EMPLOYMENT OPPORTUNITY EMPLOYER M/F

Are You On Lay-Off And Subject To Recall?

☐ Yes

☐ No

What Foreign Languages Do You Speak, Read, and/or Write Fluently?

	GOOD	FAIR	POOR
SPEAK			
READ			
WRITE			

Can You Travel If A Job Requires It?

☐ Yes

☐ No

Have You Been Bonded?

☐ Yes

☐ No

If Yes, For Which Position(s) _____

Do You Have A Disability, A Handicap
or A Medical Condition That Limits
Your Job Performance?

☐ Yes

☐ No

If Yes, Please Explain _____

Are You A Veteran?

☐ Yes

☐ No

If Yes, What Was Your Branch of Military Service? _____ Rank _____

List Trade or Professional Organizations
Of Which You Are A Member, Including
Offices Held

Give Name, Address and Phone Number
Of Three References Not Related To You

Employment Experience

List each job held. Start with your Present or Last job. Include military service assignments and volunteer activities.

1	Employer	Dates		Work Performed
		From	To	
	Address			
	Job Title	Hrly. Rate/Salary		
		Starting	Final	
	Supervisor			
	Reason for Leaving			
2	Employer	Dates		Work Performed
		From	To	
	Address			
	Job Title	Hrly. Rate/Salary		
		Starting	Final	
	Supervisor			
	Reason for Leaving			
3	Employer	Dates		Work Performed
		From	To	
	Address			
	Job Title	Hrly. Rate/Salary		
		Starting	Final	
	Supervisor			
	Reason for Leaving			
4	Employer	Dates		Work Performed
		From	To	
	Address			
	Job Title	Hrly. Rate/Salary		
		Starting	Final	
	Supervisor			
	Reason for Leaving			

If you need additional space, please continue on a separate sheet of paper.

Summarize Special Skills and Qualifications

Acquired From Employment Or Other Experience _____

Education

	Elementary	High	College/University	Graduate/ Professional
School Name				
Years Completed:(Circle)	4 5 6 7 8	9 10 11 12	1 2 3 4	1 2 3 4
Diploma/Degree				
Describe Course Of Study:				
Describe Specialized Training, Apprenticeship, Skills, and Extra-Curricular Activities				

Agreement

I certify that answers given herein are true and complete to the best of my knowledge.

I authorize you to make such investigations and inquiries of my personal, employment, financial or medical history and other related matters as may be necessary in arriving at an employment decision. I hereby release employers, schools or persons from all liability in responding to inquiries in connection with my application.

In the event of employment, I understand that false or misleading information given in my application or interview(s) may result in discharge. I understand, also, that I am required to abide by all rules and regulations of the Company.

Signature of Applicant

Date

For Personnel Department Use Only

Arrange Interview ☐ Yes ☐ No

Date _____

Remarks _____

Employed ☐ Yes ☐ No

Date of Employment _____

Job Title _____ Hourly Rate/Salary _____ Department _____

This Application For Employment and Pre-Employment Information Form is sold for general use throughout the United States. Amsterdam Printing and Litho Corp. assumes no responsibility for the inclusion in said form of any questions which, when asked by the Employer of the Job Applicant, may violate State and/or Federal Law.

FOR OFFICE USE ONLY

Positions qualified for: _____

DATE: _____

PERSONAL

NAME _____
Last First Middle

ADDRESS _____
Street Address

City County State

PHONE _____ ZIP CODE _____

Are you under 18 or over 65? Yes _____ No _____

Positions Applying for:

1. Labor and Trades _____
2. Engineering/Scientific _____
3. Office/Clerical _____
4. Professional/Management _____
5. Public Safety _____

Do you have any physical condition which may limit your ability to perform the particular job for which you are applying? Yes _____ No _____

If yes please explain: _____

Do you claim veterans preference? Yes _____ No _____ If so attach DD214.

Dates of active duty: From _____ month/year To _____ month/year

List duties/skills learned in the service: _____

RECORD OF EDUCATION

SCHOOL	Name and Address of School	Course of Study	Circle last Year Completed				Diploma or Degree
Elementary			5	6	7	8	
High			1	2	3	4	
College			1	2	3	4	
Trade or Vocational							
Other			1	2	3	4	

Do you have a valid Tennessee Driver's License? Yes _____ No _____

PERSONAL REFERENCES (Do not include former employers or relatives)

NAME	ADDRESS	YEARS KNOWN
1		
2		
3		

EMPLOYMENT HISTORY

(I) Name and address of Present or
last Employer:

Title of your position:

Number of employees
you supervised:

Dates of employment: From _____ To _____
month/year month/year

Describe in detail the work you did.

Name of Immediate Supervisor:

Starting Salary _____ per _____
Last Salary _____ per _____
Hours per Week _____

Reason for Leaving:

(II) Name and address of Present or
last Employer:

Title of your position:

Number of employees
you supervised:

Dates of employment: From _____ To _____
month/year month/year

Describe in detail the work you did.

Name of Immediate Supervisor:

Starting Salary _____ per _____
Last Salary _____ per _____
Hours per Week _____

Reason of Leaving:

III) Name and address of previous
Employer:

Title of your position:

Dates of Employment: From _____
month/year

Number of employees
you supervised: _____

To _____
month/year

Describe in detail the work you did.

Name of Immediate Supervisor: _____

Starting Salary _____ per _____

Last Salary _____ per _____

Hours per Week _____

Reason for leaving: _____

IV) Name and address of previous
Employer:

Title of your position:

Dates of Employment: From _____
month/year

Number of employees
you supervised: _____

To _____
month/year

Describe in detail the work you did.

Name of Immediate Supervisor: _____

Starting Salary _____ per _____

Last Salary _____ per _____

Hours per Week _____

Reason for leaving: _____

V) Name and address of previous
Employer:

Title of your position:

Dates of Employment: From _____
month/year

Number of employees
you supervised: _____

To _____
month/year

Describe in detail the work you did.

Name of Immediate Supervisor: _____

Starting Salary _____ per _____

Last Salary _____ per _____

Hours per Week _____

Reason for leaving: _____

How many weeks have you currently been unemployed _____

Do you wish to make an additional statement regarding experiences or organizational memberships that could help in performing the duties of the position you are applying for.

The facts set forth in this application are true and complete. I understand that if employed, false statements on this application shall be considered sufficient cause for dismissal.

I further understand that an investigative report may be made where information is obtained through personal interviews with my neighbors, friends, or others with whom I am acquainted. This inquiry includes information as to my character, general reputation, personal characteristics and mode of living. I understand that I have the right to make a written request within a reasonable period of time to receive additional, detailed information about the nature and scope of this investigative consumer report.

I have read and understand the foregoing.

Date Signature of Applicant

FOR OFFICE USE ONLY

State reasons why the above applicant was selected over other applicants.

If not selected, state reasons. _____

Date Interviewer

PRE-EMPLOYMENT INQUIRY GUIDE

Purpose of the Guide

There are numerous laws and executive orders requiring equal employment opportunity and affirmative action. Under these laws certain practices relating to employment on the part of employers, labor unions, employment agencies, and others are considered illegal if such practices discriminate against persons because of race, sex, age, religion, color, handicap, ancestry, or arrest and court record. The scope of these laws has been expanded by recent court decisions.

These laws and court rulings make it necessary for employers and others in the business of hiring workers to take all precautions on the content of their employment application forms as well as questions sometimes asked of job applicants. This guide is provided to assist all concerned in understanding and applying the law and to help avoid asking questions in the pre-employment process that would give potentially prejudicial information.

It should be understood clearly that **this guide is not a complete definition of what can and cannot be asked of applicants.** It is illustrative and attempts to answer the questions most frequently asked concerning the law. It is hoped that in most cases the given rules, either directly or by analogy, will guide all personnel involved in the pre-employment processes of recruiting, interviewing, and selection. This guide pertains only to inquiries, advertisements, etc., directed to all applicants **prior to employment.** Information required for records such as race, sex, and number of dependents may be requested after the applicant is on the payroll provided such information is not used for any subsequent discrimination, as in upgrading or layoff.

These laws are not intended to prohibit employers from obtaining sufficient job related information about applicants, as long as the questions do not elicit information which could be used for discriminatory purposes. Applicants should not be encouraged to volunteer information forbidden by law. These laws do not restrict the rights of employers to define qualifications necessary for satisfactory job performance, but require that these same standards of qualifications for hiring be applied equally to all persons considered for employment.

It is recognized that the mere routine adherence to these laws will not accomplish the results intended by the courts and Congress. Employment discrimination can be eliminated only if the laws and regulations are followed in the spirit in which they were conceived. This guide will aid our efforts to insure equal employment opportunity at the University of Tennessee Center for the Health Sciences.

PRE-EMPLOYMENT INQUIRY GUIDE

SUBJECT

PERMISSIBLE INQUIRIES

1. NAME

"Have you worked for this company under a different name?"
"Is any additional information relative to change of name, use of an assumed name or nickname necessary to enable a check on your work and educational record?
If yes, explain."

2. MARITAL AND FAMILY STATUS

Whether applicant can meet specified work schedules or has activities, commitments or responsibilities that may hinder the meeting of work attendance requirements.
Inquiries as to a duration of stay on job or anticipated absences which are made to males and females alike.

3. AGE

If a minor, require proof of age in the form of a work permit or a certificate of age.
Require proof of age by birth certificate after being hired.
Inquiry as to whether or not the applicant meets the minimum age requirements as set by law and requirement that upon hire proof of age must be submitted in the form of a birth certificate or other forms of proof of age.
If age is a legal requirement: "if hired, can you furnish proof of age?" / or / Statement that hire is subject to verification of age.
Inquiry as to whether or not an applicant is younger than the employer's regular retirement age.

4. HANDICAPS

For employers subject to the provisions of the Rehabilitation Act of 1973, applicants may be "invited" to indicate how and to what extent they are handicapped. The employer must indicate to applicants that: 1) compliance with the invitation is voluntary; 2) the information is being sought only to remedy discrimination or provide opportunities for the handicapped; 3) the information will be kept confidential; and 4) refusing to provide the information will not result in adverse treatment. All applicants can be asked if they are able to carry out all necessary job assignments and perform them in a safe manner.

5. SEX

Inquiry or restriction of employment is permissible only where a **bona fide occupational qualification** exists. (This BFOQ exception is interpreted very narrowly by the courts and EEOC.)
The burden of proof rests on the employer to prove that the BFOQ does exist and that **all** members of the affected class are incapable of performing the job.

INQUIRIES WHICH MUST BE AVOIDED

Inquiries about the name which would indicate applicant's lineage, ancestry, national origin or descent.
Inquiry into previous name of applicant where it has been changed by court order or otherwise.
Indicate: Miss, Mrs., Ms.

Any inquiry indicating whether an applicant is married, single, divorced, engaged, etc.
Number and age of children.
Information on child-care arrangements.
Any questions concerning pregnancy.
Any such question which directly or indirectly results in limitation of job opportunity in any way.

Requirement that applicant state age or date of birth.
Requirement that applicant produce proof of age in the form of a birth certificate or baptismal record.
The Age Discrimination in Employment Act of 1967 forbids discrimination against persons between the ages of 40 and 70.

The Rehabilitation Act of 1973 forbids employers from asking job applicants general questions about whether they are handicapped or asking them about the nature and severity of their handicaps.

An employer must be prepared to prove that any physical and mental requirements for a job are due to "business necessity" and the safe performance of the job.
Except in cases where undue hardship can be proven, employers must make "reasonable accommodations" for the physical and mental limitations of an employee or applicant.
"Reasonable accommodation" includes alteration of duties, alteration of physical setting, and provision of aids.

Sex of applicant.
Any other inquiry which would indicate sex.
Sex is **not** a BFOQ because a job involves physical labor (such as heavy lifting) beyond the capacity of **some** women nor can employment be restricted just because the job is traditionally labeled "men's work" or "women's work".
Sex cannot be used as a factor for determining whether or not an applicant will be satisfied in a particular job.

6. RACE OR COLOR	General distinguishing physical characteristics such as scars, etc.
7. ADDRESS OR DURATION OF RESIDENCE	Applicant's address. Inquiry into place and length of current and previous addresses. "How long a resident of this State or city?"
8. BIRTHPLACE	"Can you after employment submit a birth certificate or other proof of U.S. citizenship?"
9. RELIGION	An applicant may be advised concerning normal hours and days of work required by the job to avoid possible conflict with religious or other personal conviction.
10. MILITARY RECORD	Type of education and experience in service as it relates to a particular job.
11. PHOTOGRAPH	May be required after hiring for identification.
12. CITIZENSHIP	"Are you a citizen of the United States?" "If you are not a U.S. citizen, have you the legal right to remain permanently in the U.S.?" Do you intend to remain permanently in the U.S.? Statement that if hired, applicant may be required to submit proof of citizenship. If not a citizen, are you prevented from lawfully becoming employed because of visa or immigration status?

Avoid questions concerning applicant's height or weight unless you can prove they are necessary requirements for the job to be performed.

Applicant's race.
Color of applicant's skin, eyes, hair, etc., or other questions directly or indirectly indicating race or color.

Specific inquiry into foreign addresses which would indicate national origin.
Names of relationship of persons with whom applicant resides.
Whether applicant owns or rents home.

Birthplace of applicant.
Birthplace of applicant's parents, spouse, or other relatives.
Requirement that applicant submit a birth certificate, naturalization or baptismal record before employment.
Any other inquiry into national origin.

Applicant's religious denomination or affiliation, church, parish, pastor, or religious holidays observed.
Applicants may not be told that any particular religious groups are required to work on their religious holidays.
Any inquiry to indicate or identify religious denomination or customs.

Type of discharge.

Requirement that applicant affix a photograph to his application.
Request that applicant, at his option, submit photograph.
Requirement of photograph after interview but before hiring.

"Of what country are you a citizen?"
Whether applicant or his parents or spouse are naturalized or native-born U.S. citizens.
Date when applicant or parents or spouse acquired U.S. citizenship.
Requirement that applicant produce his naturalization papers.
Whether applicant's parents or spouse are citizens of the U.S.

13. ANCESTRY OR NATIONAL ORIGIN	Languages applicant reads, speaks, or writes fluently. (If another language is necessary to perform the job.)	Inquiries into applicant's lineage, ancestry, national origin, descent, birthplace, or mother tongue. National origin of applicant's parents or spouse.
14. EDUCATION	Applicant's academic, vocational, or professional education; school attended. Inquiry into language skills such as reading, speaking, and writing foreign languages.	Any inquiry asking specifically the nationality, racial or religious affiliation of a school. Inquiry as to how foreign language ability was acquired.
15. EXPERIENCE	Applicant's work experience, including names and addresses of previous employers, dates of employment, reasons for leaving, salary history. Other countries visited.	
16. CONVICTION ARREST, AND COURT RECORD	Inquiry into actual convictions which relate reasonably to fitness to perform a particular job. (A conviction is a court ruling where the party is found guilty as charged. An arrest is merely the apprehending or detaining of the person to answer the alleged crime.)	Any inquiry relating to arrests. Ask or check into a person's arrest, court, or conviction record if not substantially related to functions and responsibilities of the particular job in question.
17. RELATIVES	Names of applicant's relatives already employed by this company. Names and addresses of parents or guardian of minor applicant.	Name or address of any relative of adult applicant.
18. NOTICE IN CASE OF EMERGENCY	Name and address of persons to be notified in case of accident or emergency.	Name and address of relatives to be notified in case of accident or emergency.
19. ORGANIZATIONS	Inquiry into the organizations of which an applicant is a member providing the name or character of the organization does not reveal the race, religion, color, or ancestry of the membership. "List all professional organizations to which you belong. What offices are held?"	"List all organizations, clubs, societies, and lodges to which you belong." The names of organizations to which the applicant belongs if such information would indicate through character or name the race, religion, color, or ancestry of the membership.
20. REFERENCES	By whom were you referred for a position here? Names of persons willing to provide professional and/or character references for applicant.	Require the submission of a religious reference. Request reference from applicant's pastor.
21. MISCELLANEOUS	Notice to applicants that any misstatements or omissions of material facts in the application may be cause for dismissal.	

ANY INQUIRY SHOULD BE AVOIDED WHICH, ALTHOUGH NOT SPECIFICALLY LISTED AMONG THE ABOVE, IS DESIGNED TO ELICIT INFORMATION AS TO RACE, COLOR, ANCESTRY, AGE, SEX, RELIGION, HANDICAP, OR ARREST AND COURT RECORD UNLESS BASED UPON A BONA FIDE OCCUPATIONAL QUALIFICATION.

CLERK TYPIST

DEFINITION

Employees in this class work under general direction. Work is performed in general clerical tasks involving reception, typing and filing, and performing related work as required.

EXAMPLES OF WORK PERFORMED

Types articles, letters, memoranda, reports, statements, purchase orders, tabulation, and other materials from copy or rough draft; cuts and proofreads stencils; operates mimeograph, copy machines, and stencil cutting machine.

Sorts and files correspondence, reports, vouchers, or other materials numerically, alphabetically, or by other established classifications; processes mail.

Meets the public, gives non-technical information, and explains well defined rules; screens and refers office callers; opens, sorts, and distributes mail; takes telephone messages; may act as relief telephone operator or receptionist.

Completes and mails routine forms or form letters; posts data from forms or form letters on cards or other records based on well established procedures.

Computes data from listing, reports, or other records; assembles data in appropriate form for use in completing required reports.

Performs related work as required.

REQUIRED KNOWLEDGE AND ABILITIES

Knowledge of Business English, arithmetic, spelling, modern office practices, procedures, and equipment.

Ability to understand and follow oral and written instructions.

Ability to learn assigned clerical tasks readily and to adhere to prescribed reasonable speed.

Skill in typing from rough drafts or clear copy at prescribed rate of speed.

Ability to establish and maintain an effective working relationship with the public and other employees.

QUALIFICATIONS

Any combination of training and experience equivalent to:

Graduation from an accredited high school

Some experience in office or related clerical work.

PAY PLAN

Salary Ranges

<u>Grade</u>	<u>Annual</u> <u>Rate</u> <u>Step A</u>	<u>Annual</u> <u>Rate</u> <u>Step E</u>	<u>Monthly Salary Range Steps</u>				
			<u>A</u>	<u>B</u>	<u>C</u>	<u>D</u>	<u>E</u>
3	\$ 4,428	\$ 5,580	\$369	\$391	\$414	\$439	\$465
4	4,692	5,916	391	414	439	465	493
5	4,968	6,276	414	439	465	493	523
6	5,268	6,648	439	465	493	523	554
7	5,580	7,056	465	493	523	554	588
8	5,916	7,476	493	523	554	588	623
9	6,276	7,932	523	554	588	623	661
10	6,648	8,400	554	588	623	661	700
11	7,056	8,904	588	623	661	700	742
12	7,476	9,444	623	661	700	742	787
13	7,932	10,008	661	700	742	787	834
14	8,400	10,620	700	742	787	834	885
15	8,904	11,256	742	787	834	885	938
16	9,444	11,940	787	834	885	938	995
17	10,008	12,660	834	885	938	995	1,055
18	10,620	13,428	885	938	995	1,055	1,119
19	11,256	14,232	938	995	1,055	1,119	1,186
20	11,940	15,084	995	1,055	1,119	1,186	1,257
21	12,660	15,984	1,055	1,119	1,186	1,257	1,332
22	13,428	16,944	1,119	1,186	1,257	1,332	1,412
23	14,232	17,964	1,186	1,257	1,332	1,412	1,497
24	15,084	19,044	1,257	1,332	1,412	1,497	1,587
25	15,984	20,184	1,332	1,412	1,497	1,587	1,682
26	16,944	21,396	1,412	1,497	1,587	1,682	1,783

ASSIGNMENT OF SALARY RANGES
BY POSITION

		<u>Monthly Salary Range Steps</u>				
<u>Class Title</u>	<u>Grade</u>	<u>A</u>	<u>B</u>	<u>C</u>	<u>D</u>	<u>E</u>
<u>ADMINISTRATIVE AND CLERICAL</u>						
Clerk I	8	493	523	554	588	623
Clerk II	9	523	554	588	623	661
Account Clerk	11	588	623	661	700	742
Administrative Secy.	12	623	661	700	742	787
Associate Planner	17	843	885	938	995	1,005
Administrative Assist.	20	995	1,055	1,119	1,186	1,257
City Clerk	21	1,055	1,119	1,186	1,257	1,332
Finance Director	24	1,257	1,332	1,412	1,497	1,587
Planning Director	25	1,332	1,412	1,497	1,587	1,682
<u>PUBLIC HEALTH AND SAFETY</u>						
Animal Control Officer	11	588	623	661	700	742
Sanitation Inspector	12	623	661	700	742	787
Entomologist	17	843	885	938	995	1,055
Sanitation Superintendent	20	995	1,055	1,119	1,186	1,257
City Sanitarian	21	1,055	1,119	1,186	1,257	1,332
Parking Control Officer	11	588	623	661	700	742
Police Dispatcher	11	588	623	661	700	742
Police Patrolman	15	742	787	834	885	938
Police Sergeant	20	995	1,055	1,119	1,186	1,257
Police Chief	24	1,257	1,332	1,412	1,497	1,587
Fire Dispatcher	(10)	554	588	623	661	700
Fire Fighter	(14)	700	742	787	834	885
Fire Equipment Operator	(15)					938
Fire Lieutenant	(16)					995
Fire Captain	(18)					1,119
Assistant Fire Chief	(20)				1,186	1,257
Fire Chief	(23)	1,186	1,257	1,332	1,412	1,497
<u>CONSTRUCTION AND UTILITY SERVICE</u>						
Janitor	9	523	554	588	623	661
Laborer	10	554	588	623	661	700
Serviceman	11	588	623	661	700	742
Park Maintenceman	12	623	661	700	742	787
Equipment Operator I	12	623	661	700	742	787
Street Inspector	13	661	700	742	787	834
Equipment Operator II	14	700	742	787	834	885
Utilities Serviceman I	12	623	661	700	742	787
Water Meter Reader	13	661	700	742	787	834
Utilities Serviceman II	14	700	742	787	834	885

Monthly Salary Range Steps

<u>Class Title</u>	<u>Grade</u>	<u>A</u>	<u>B</u>	<u>C</u>	<u>D</u>	<u>E</u>
Filter Plant Operator	16	787	834	885	938	995
Water and Sewer Foreman	17	834	885	938	995	1,055
Parking Meter Serviceman	12	623	661	700	742	787
Electrician's Helper	12	623	661	700	742	787
Automotive Mechanic	15	742	787	834	885	938
City Electrician	18	885	938	995	1,055	1,119
Cemetery Sexton	14	700	742	787	834	885
Parks Foreman	17	834	885	938	995	1,055
Street Foreman	17	834	885	938	995	1,055

RECREATION AND ENGINEERING

Recreation Worker	10	554	588	623	661	700
Recreation Leader	15	742	787	834	885	938
Supt., Parks & Recreation	23	1,186	1,257	1,332	1,412	1,497
Supt. of Streets	21	1,055	1,119	1,186	1,257	1,332
Supt. of Water & Sewer	22	1,119	1,186	1,257	1,332	1,412
Plumbing & Gas Inspector	17	834	885	938	995	1,055
Building Inspector	17	834	885	938	995	1,055
Engineering Technician	17	834	885	938	995	1,055
Civil Engineer	22	1,119	1,186	1,257	1,332	1,412
Director of Public Works- Engineer	26	1,412	1,497	1,587	1,682	1,783

BIBLIOGRAPHY

James M. Banovetz, Managing the Modern City, International City Management Association, 1971.

Winston W. Crouch, Local Government Personnel Administrator, International City Management Association, 1976.

John N. Matzer, Jr., Personnel Management: A Guide for Small Local Governments, Bureau of Intergovernmental Personnel, U. S. Civil Service Commission and the International City Management Association, date unknown.

Pre-Employment Inquiry Guide, University of Tennessee Center for the Health Sciences, 1978.

Tennessee Code Annotated, Volume 3.

Charter of the City of Jackson, Tennessee, Sections 84 through 113.

Charter of the Town of Bruceton, Tennessee, Sections 3.08 and 3.09.

Your Employment Application, Bureau of Intergovernmental Personnel Programs, U. S. Civil Service Commission, 1975.