



Comprehensive Assessment and Analysis of Current Human Resource Functions, Practices, and Responsibilities -

City of Springfield, Massachusetts

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Submitted by:

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1 Introduction

Human Resources Services, Inc. was retained by the City of Springfield, under the directive of the Springfield Finance Control Board, Commonwealth of Massachusetts, to conduct a *Comprehensive Assessment and Analysis of Current Human Resource Functions, Practices, and Responsibilities*. HRS was asked to evaluate various aspects relating to the human resource functions as they currently exist in the City and produce this report which recommends organization, staffing, and functional improvements in human resource management. The Consultant Team also looked at staffing, employee workloads, and the most effective and productive use of personnel and technology in achieving city-wide human resource objectives.

Whenever a study seeks ways to improve operations and organizational service delivery, it is important to recognize what the organization has accomplished to date. Much credit must be given to the Springfield Finance Control Board (SFCB), its administrators and staff, and current City department heads and officials for the efficiencies and levels of improvements in the area of human resources to date. The City has come a long way since the SFCB was instituted in 2004, but there is still much work to accomplish. Human Resources Services' recommendations are a continuation of many existing improvements to the next increment of operating efficiency and service excellence. Significant work is required to achieve these next incremental benefits. The recommendations developed are based upon what HRS believes to be practical. HRS believes that the organizational structure and recommended HR enhancements will most satisfactorily chart a positive course of action based on the intended goals of this study.

In reading the study it is important to understand that changes recommended are to improve upon the procedures and systems used. They are not a critique of any individual or group performance. It is generally recognized within contemporary organizational development theory that the major problems with organizations are the processes and procedures used and not individual performance. Attacking individual

performance is not only in error, it is counter productive. Improving the systems within which people work are the study's objectives.

The recommendations and suggested steps are based on the strong interest of people to cooperate with one another and to provide efficient and effective services to the community. As one might anticipate, savings can only be obtained once the recommendations have been implemented. Unfortunately, sometimes money needs to be spent in order to save money.

In reaching the concluding point of this study, the project team has assembled this final report which summarizes our findings, recommendations, and expected benefits to the City. This report represents the conclusion of three months of analysis into the human resource operations, functions, organizational structure, staffing, management, programs and services. The first chapter introduces the approaches utilized in the study. Human Resources Services' Consultant Team utilized a wide variety of data collection, research, and analytical techniques.

1. Conducted comprehensive interviews with Human Resource Department management and employees, key department heads, officials, and cabinet members in the City.
2. Received and reviewed relevant information and documentation provided by employees, management, and officials.
3. Conducted additional analyses related to issues identified during the interview process.
4. Assessed critical issues relevant to potential improvement opportunities in the City's human resource practices.
5. Conducted an internal survey of key department heads so they may assess and rate the City's Human Resources operations, services and programs. The instrument was used as an internal assessment.
6. Conducted an external survey of comparable communities to collect information on organizational structures and functions of human resource and

- labor departments. The instrument was used as an external assessment. Six communities responded including: Boston MA, Lowell MA, Newton MA, Somerville MA, Manchester CT, New Haven CT, and Waterbury CT
7. Compared programs, service levels as well as the performance and management of the Human Resource Department with the consultant team's assessment techniques called "best management practices".
 8. Reviewed initial findings and issues with the Executive Director and Assistant Executive Director of the SFCB.
 9. Synthesized and refined the team's findings and recommendations and briefed the Assistant Executive Director of the SFCB.
 10. Evaluated operations and services in detail and developed the analyses contained in this report.

2 Executive Summary

HR Area of Study	Summarized Recommendations
Job Descriptions	<ul style="list-style-type: none">• Re-write all job descriptions in a standardized format to accurately cover essential job functions, physical/mental requirements and minimum qualifications.• Implement a system such that all job descriptions are reviewed and updated periodically to ensure accuracy.• The City should administer a job description-pay grade alignment city-wide so there is no question as to what classification grade a position falls on.
Pay and Classification	<ul style="list-style-type: none">• Hire an outside consulting firm to develop a new comprehensive pay and classification plan for <i>all</i> city employees.• The City's Human Resource Department should monitor and maintain the city-wide classification plan on a regular basis.
Performance System	<ul style="list-style-type: none">• Provide training to department heads, supervisors and employees in the area of performance management.• Develop more streamlined forms and instructions with considerable input from department heads.• Supervisors should be held accountable for assuring that evaluations are completed.• The City's intranet should be expanded to provide information to users regarding the performance appraisal system utilized by the City.
Personnel Records	<ul style="list-style-type: none">• The Human Resource Department must maintain centralized official personnel files on all city employees as required by law.• The Human Resource Director should request from each department official files and information that will be included in the official centralized system.• Personnel Files should be categorized into four areas: (1) employment stage, (2) changes in status or compensation, (3) leaves of absence, (4) disciplinary actions.

	<ul style="list-style-type: none">• The Human Resource Department should develop accumulated leave records for all employees to enable the department to identify trends in injury and sick leave.• The City should develop a position control system when computerization allows the development of such a system.• All medical records of employees should be kept in separate confidential file in the Human Resource Department as required by the new federal law HIPAA.• The City should adopt the Human Resource Director’s recent policy with regard to personnel file access.
Civil Service	<ul style="list-style-type: none">• The Human Resource Department must immediately computerize all civil services processes within the department including: civil service lists, records, forms, tests, applications, and all other pertinent administrative documents.• The Human Resource Department must cross-train several employees to handle the civil service workload in the HR department.• The Human Resource Department needs to maintain a more efficient and professional record-keeping system of civil service documents by employee.• A position control system must be established.• Continue utilizing assessment centers where appropriate for recruitment and selection of police and fire personnel.• Consider utilizing the civil service processes to generate additional minority and female lists, particularly for public safety positions.
Training and Development	<ul style="list-style-type: none">• The City should continue the SMART program for professional development and consider adding other educational modules to expand the program.• Change the role of the current staff person in the Human Resource Department handling the HR training programs from “Trainer” to “Manager of Training Programs”. There should be a budget to bring in outside consultants and experts to assist with the enormous amount of training required throughout the City.• The Human Resource Department should develop an inventory of

	<p>what training programs are currently required, and how often they should be conducted.</p>
Personnel Policies	<ul style="list-style-type: none">• The City’s newly developed personnel policies, “Human Resources Policy Manual” should be augmented with additional sections (which are listed in the report) and need clarification in some areas. A disclaimer should be added on the front page.• The Personnel Policies should be reviewed periodically by appropriate legal counsel experienced in employment law.• All policy questions related to the Family Medical Leave Act (FMLA) should be handled out of the Human Resource Department, instead of the City Solicitor’s office.• HR needs to become knowledgeable and expert in FLMA and all other personnel policies and procedures; all questions should be directed to HR.• A city-wide safety policy and procedures manual is needed.
Orientation	<ul style="list-style-type: none">• The City should provide a comprehensive orientation to all new employees.• An orientation package should be developed to summarize the more significant benefit plans and practices now in effect in Springfield.• The City should distribute a Comprehensive Personnel Policies Book.• Employees should sign a statement saying they have received and read a copy of the City’s Personnel Policies.• The Personnel Policies Book should also be provided to employees through the City’s intranet online since the information needs constant updating.• The Human Resource Department should conduct periodic orientation sessions with groups of newly-hired employees which allows time for “give and take” with representatives from health and life insurance programs, the retirement board, the City’s labor attorney (on collective bargaining), the affirmative action officer, and the Human Resource Director (on civil service, diversity, personnel rules, pay, time-off, benefits and numerous other related issues).

Hiring and Employment	<ul style="list-style-type: none">• The recruitment and selection process needs to be re-engineered to enable a timely response to personnel requisitions. The Human Resource Director must be the one controlling the timeline, process and recruitment effort, not the individual department heads.• There needs to be a better streamlined process overall with all documents available on the City’s Intranet.• HR needs to be more engaged in the hiring process at each and every phase.• The City must designate individuals who have exclusive authority to make offers of employment.• The new “Hiring Guide” should become part of the official personnel policies and procedures manual. All of its forms need to be automated in computerized forms format.• The Human Resource Director should develop a simple, streamlined process for hiring seasonal employees to expedite the process.• The Human Resource Director needs to expand the recruitment effort to both broaden the pool of qualified candidates and attract more applicants from under-represented groups. All advertisements need to be handled out of the Human Resource Department; human resources must prepare the job ads.• All background checks should be handled out of the Human Resource Department. Allow selective departmental efforts only where capability exists.• Once an employee is hired, the Human Resource Department staff needs to assist the new employee with the necessary employee paperwork (not the hiring department).• The Human Resource Department should provide instruction for appointing authorities and others involved in the selection process on the use of effective and fair job interview techniques.• The City should expand the use of technology for the recruitment of applicants.
Affirmative Action	<ul style="list-style-type: none">• The City should immediately revise its Affirmative Action Plan. The plan should be consistent with the objectives of the Massachusetts Commission Against Discrimination.

	<ul style="list-style-type: none">• The Affirmative Action Officer currently reports to the Human Resource Director. Due to the need for a checks-and-balance for the affirmative action program, the position should also report to the CAFO as needed.• Institute a major educational effort to acquaint all managers and supervisors (and eventually employees) with Affirmative Action.• Experiment more actively with special techniques to increase the probability of hiring qualified minorities and women.• Provide career counseling and training opportunities for protected employees to enable them to assume greater responsibilities and compete for promotions.• The Mayor should develop a diversity team for employment practices to include the Mayor, Law Department and Human Resource Department.
Americans with Disabilities Act (ADA)	<ul style="list-style-type: none">• The Staffing position in the Human Resource Department, should take on the responsibility of ADA duties as the City's designated ADA Coordinator.• The City needs to develop up-to-date ADA policies and procedures immediately, including grievance procedures, to meet the requirements of the Americans with Disabilities Act.• The City must provide training to department heads and employees in the area of ADA.• The City needs to continue to make every effort to resolve issues related to the ADA Court Decree.
Labor Relations	<ul style="list-style-type: none">• Develop an in-house Labor Relations Department with the Director of Labor Relations reporting directly to the new Chief Administrative Financial Officer position.• The Human Resource Director should attend seminars, conferences, and other educational venues to better understand the union culture and requirements from an HR perspective.• The City needs to develop the grievance processes and procedures to the letter of the contracts.• The City should utilize impact bargaining techniques.

	<ul style="list-style-type: none"> • The City should continue to maintain an outside Labor Counsel. • In the new Labor Relations Department, one of the attorneys should focus primarily on Police and Fire. • The City needs to strengthen the contract administration process by informing department heads and supervisors on new or revised contractual provisions. • A database needs to be developed intended for research capacity for collective bargaining information.
Payroll and HRIS	<ul style="list-style-type: none"> • The City should reorganize the Human Resource Department and place the payroll operations and its staff under the control of the Finance Department, which will report directly to the Chief Administrative Financial Officer. • The City should enhance the computerized payroll service by (1) ensuring that employee's pay actually ties from step/grade to actual pay; (2) ensuring that employee's pay actually ties to the budget and (3) providing a better payroll interface with the financial systems of the City. • The City should develop an organization-wide human resource information system (HRIS) to better manage employee information, cross-share information from one department to another, and provide city-wide directory so everyone knows the status of employees, equipment needs and more. • We strongly recommend that the City hire an HRIS Coordinator who would report to the Human Resource Director.
Benefits Administration	<ul style="list-style-type: none"> • The City should look into cutting costs for life, dental and disability insurance and should go out to bid as soon as possible. • The City should research alternative employee assistance programs (EAP), to see if there are better programs that could be offered to City employees. • The Human Resource Department be responsible for managing a sick leave tracking/monitoring program. The Human Resource Director should communicate findings with the appropriate department heads and attempt to solve any problems. • The City should consider developing a sick leave bank which would

	<p>allow employees to contribute sick days to the bank of fellow employees.</p>
Workers' Compensation	<ul style="list-style-type: none">• The Human Resource Director needs to take on a leadership role and monitoring role in this area and should serve as the in-house Workers' Compensation expert and information resource.• The Human Resource Department needs to fully communicate the Workers' Compensation program to all city personnel; develop comprehensive policies, distribute fact sheets and information, meet with managers and supervisors.• The Human Resource Department should assume overall responsibility of Injured-On-Duty programs for the Police and Fire Departments and work with existing personnel assigned to this function to streamline the claims process, institute loss prevention efforts and decide on the compensability of the claims.• The City needs to make employee health and safety a high priority.• The City needs to settle and close-out old Claims.
Organization and Staffing	<ul style="list-style-type: none">• Immediately reorganize the Human Resource Department.• Create a Chief Administrative Financial Officer (CAFO) position who reports to the Mayor.• The Human Resource Director should report to CAFO.• Create a Labor Relations Department headed by a Director of Labor Relations; reports to CAFO.• Move entire Payroll operations to Finance Department.• Keep benefits administration in the Human Resource Department.• Employee Relations functions need to be fully developed.• Move the employee relations function from Assistant Director of HR to AA/EEO.• The AA/EEO reports to Human Resource Director and CAFO.• Staffing position in HR should assume responsibilities for ADA Coordinator.• Financial Analyst should assume responsibilities for Personnel Records.

	<ul style="list-style-type: none">• The Human Resource Director should implement a cross-training program as part of the departmental management approach.
Critical HR Development Needs	<ul style="list-style-type: none">• Enhance the critical development needs of the Human Resource Department.• Expand the City's HR role as a <i>Partner</i> to department heads.• Identify career paths for HR staff; offer conferences, workshops, seminars; SHRM membership.• Further define IT requirements.• Provide specialty skill development for staff.• HR leadership should attend courses on labor relations and civil service.• Strategic development planning training for HR leadership.
Implementation Oversight	<ul style="list-style-type: none">• The City needs to make Human Resource Management a major focus.• Create Human Resource Oversight Committee for the implementation of this report.• Implement HRS top ten priorities immediately.

3 Job Descriptions

3.1 Overview

Today job descriptions have become more important than ever for municipal organizations. Although employers are not required by law to have written job descriptions, there are many laws that impact the employer-employee relationship and having job descriptions can help the organization comply with those regulations. There are federal laws such as the Fair Labor Standards Act (FLSA) and the Americans with Disabilities Act (ADA) that impact employees. Other laws, such as federal discrimination statutes, prohibit discrimination against various protected classes. Because job descriptions document the duties and qualifications of a job, they can help support why one applicant was qualified and another was not, why one position pays more than another, or why an employee is terminated for poor performance.

3.2 Findings

The Consultant Team reviewed a variety of job descriptions from the Human Resource Department and other city departments throughout Springfield. The consultants found that the city's job descriptions were in a variety of formats, and for the most part appeared to be outdated. In many cases the physical and mental requirements as they relate to the essential functions of the job were not identified. Some job descriptions were kept in department offices and others were kept in the personnel department. Job descriptions are developed as needed by individual departments, and with little guidance from the personnel department. Furthermore, the job descriptions do not appropriately list licenses and other legal requirements. Finally, there is no centralized location for the job description file or database, and no correlation between job descriptions and pay grade alignment. Of all the city positions, the non-union jobs had the most up-to-date descriptions, but still inadequate by today's HR standards and best practices.

3.3 Recommendations

All job descriptions should be completely rewritten in a standardized format to accurately cover essential job functions, physical/mental requirements, and minimum qualifications. The job descriptions need to be up-to-date, clear, and should identify the duties of each position, as well as the education, experience, training, knowledge, ability, skills, and competency levels required. At a minimum job descriptions need to include the following basic elements:

Elements:	Job Descriptions
Prerequisites	Physical Needs, Knowledge/Ability/Skill, Education, Training, Experience
Duties/Tasks	Description of all Essential Job Functions (duties) in Clear Language
Purpose	Purpose of Position/Definition; why does the job exist?
Environment	Job environment (i.e. office, fieldwork, noise level, etc.)
Tools/Equipment	Equipment and tools used to perform the essential functions of the job

A system should be in place so that all job descriptions should be reviewed and updated periodically to ensure accuracy. Positions can change for many reasons: (1) an incumbent starts assuming more responsibilities in addition to the duties in the job description, (2) staff changes, (3) changes in procedures and processes occur, (4) new technology, tools, or machines are used, (5) external regulations or legislation affect the position, (6) reorganizations occur, and (7) a new supervisor or manager is hired.

For every “position” in the City organization, whether union or non-union, the city must identify position qualifications (the requisite skill, experience, education, and other job-related requirements), as well as determine the position’s essential functions. There should be a job description-pay grade alignment so there is no question as to what classification grade a position falls on. Some of this is in place for non-union positions, but needs to be administered on a city-wide basis.

These job descriptions are not intended to overrule civil service or state requirements, but rather are intended to enhance documentation about positions for good human resource management and federal legal purposes such as ADA. They also assist with ensuring consistent treatment of all employees.

3.4 Expected Benefits

In addition to assisting with the development of job analysis and classifications, good job descriptions produce many other important benefits. When written correctly, job descriptions emphasize the purposes of each position and the types of results which each incumbent is expected to produce. Representative examples of the work performed and minimum qualification requirements are listed. Job descriptions are small but important components of more comprehensive personnel, organizational and administrative systems or plans. They can and should be used not only for recruitment and promotion, but as tools to assist in the administration of the City. They help define initial expectations, provide fundamental building blocks for administering compensation systems, and give additional definition to organizational charts. Because they focus on purposes and results, they can and should be used when developing employee objectives, performance plans, and performance appraisals.

Under the Americans with Disabilities Act (ADA), job descriptions, particularly the lists of duties and responsibilities, take on new significance. The purpose of the ADA is to ensure that individuals *with* disabilities be given the same consideration for employment that individuals *without* disabilities are given. Essential functions are the primary or fundamental job duties intrinsic to a position, that is, the duties that are essential to achieving the objectives of the job. Related to the essential functions or duties are the tools and equipment used to perform the essential job functions, the physical demands of the job duties, and the work environment in which the duties are performed. ADA requires that the essential functions of each position be identified. It is necessary for all of the essential functions to be identified as well as the physical, mental, and environmental requirements of the job.

Although many city positions are civil service, standardized job descriptions will provide additional assistance and standards by which to review an employee's ability to return to work after an illness or injury. Finally, job descriptions for specialty areas need to be developed. Specialty areas are most common in such departments as police and fire (i.e. prosecuting officer, EMT specialist, safety officer, resource officer, etc.)

4 Pay and Classification

4.1 Overview

A pay and classification system is a process for reviewing job duties, classifying positions based on uniform criteria, and allocating positions to salary grades that truly reflect their relative worth and market value. Such a plan is a prerequisite for many other parts of a personnel system – determining rates of pay; establishing qualifications for recruitment, testing, and selection; establishing lines of authority and areas of responsibility; and providing a basis for standards of work performed. A good pay and classification system will reduce inequities in pay or job status, and will attract, reward, and retain qualified personnel. There are three basic elements of a pay and classification plan.

Elements:	Comparable Worth Test
#1	Employees doing similar work should be paid similar wages.
#2	Differences in pay should be based upon: significant differences in responsibilities and required knowledge and skill, and comparative salary rates.
#3	An objective process should be used for classifying and evaluating positions.

4.2 Findings

The City of Springfield has for its non-union positions in effect a *point-factor* Classification System for placing positions on its grade classification plan. Their non-union classification system includes positions in the categories of Executive Management, Middle Management, and Technical/Professional/Administrative. This classification plan was designed to provide reasonable and equitable differentials in salary based on the various combinations of responsibility, skill, and knowledge for the work assigned to each position. The underlying principle of Springfield's established pay

practices for non-union positions continues to be the establishment of salary opportunities for employees that are internally equitable, externally competitive, and consistent with the operating philosophy and objectives of the City.

The cornerstone of these pay practices is a well-conceived and implemented position evaluation process. This has determined the relative importance (or worth) of the work assigned to positions, so that equitable salary opportunities may be set on the basis of the assigned work, or position content. For the non-union group of employees, it appears that there is an apparent methodology in place for classifying and reclassifying positions, which means that objective decisions about allocating positions to pay grades are practically determined.

However, the City also functions with more than twenty separate union agreements covering a good majority of the workforce (not including schools). This means that there are more than twenty different salary schedules and longevity plans based on separately-negotiated agreements, making the pay system even more fragmented. It is our understanding that the Human Resource Department is responsible for the preparation, maintenance and revision of a position classification plan for *all* positions in the city service. While the collective bargaining process will continue to determine the general compensation for union employees, it is still imperative to have a city-wide grade classification system in place for internal comparable worth purposes, lines of authority, legal reasons such as ADA, FLSA, EEO/AA, Gender Pay-Equity, and to ensure that all employees are treated equitably in terms of the City's compensation administration program.

4.3 Recommendations

Hire an outside consulting firm through a competitive bid process to develop a new comprehensive pay and classification plan for *all* city employees. We recommend an outside consultant for two important reasons:

1. Objectivity – It is imperative that the entire process be objective and be perceived as objective. An incumbent Human Resource Director and

his/her staff would inevitably be perceived, by those not pleased with results, as having a bias, no matter how professional the effort. Indeed, it would be difficult to separate personalities from positions. An experienced outside consultant, specializing in this area, comes in with little knowledge of the personalities and can better focus on the job.

2. Time – Developing a pay and classification system is very time-consuming because of the many technical phases involved. For example, the process would include: gathering information about job content, collecting and analyzing comparable salary data, writing job descriptions, and developing a rating system. An in-house effort is neither practical nor cost-efficient given all the other responsibilities that are required of the Human Resource Department.

The City's bid specifications should detail the array of services required by the consulting firm. The following components are, at a minimum, recommendations of services that should be provided by the consultants.

- ✚ Job Analysis
- ✚ Job Descriptions
- ✚ Position Classification
- ✚ Rating System
- ✚ Pay Survey
- ✚ Administration Guidelines
- ✚ Computerization of System

It should be the responsibility of the Human Resource Department to monitor and maintain the city-wide classification plan on a regular basis. Some maintenance requirements include:

- ✚ Requests for Reclassification
- ✚ Conducting job analysis of new positions
- ✚ Regular review of classifications
- ✚ Comparative Salary Data Analysis
- ✚ Update of Salary Schedules

- ✚ Management of Databases

4.4 Expected Benefits

A newly-developed pay and classification plan, that is continuously maintained, will provide the City with:

- ✚ Reduced requests for reclassifications
- ✚ Reduced costly grievances arising out of disputed job requirements
- ✚ Minimized pay inequities
- ✚ Compliance with applicable local, state, and federal laws
- ✚ Reduced element of subjectivity
- ✚ A solid basis for evaluating performance

5 Performance System

5.1 Overview

Performance evaluation is a formal process designed to encourage a dialogue between supervisor and employee about the employee's work performance. Performance appraisal is a process of assessing a person's work against a set of predetermined criteria. It looks at what the person does, not at personal characteristics or traits. There are multiple purposes for establishing a performance evaluation system, not all of which are appropriate for specific segments of the workforce. Among those purposes are:

- ✦ Clarifying work expectations;
- ✦ Providing direct feedback to an employee on his or her performance in relation to pre-determined criteria;
- ✦ Identifying strengths and areas needing improvement;
- ✦ Assessing the need for professional development and the potential for career growth;
- ✦ Rewarding good performance through annual increases and promotions.

Hundreds of Massachusetts municipalities have established performance evaluation systems for non-union employees and some have also negotiated systems with employee unions.

5.2 Findings

All responses to the internal survey administered by Human Resources Services indicated that department heads/supervisors are not satisfied with the current performance evaluation system that was developed for non-union management personnel. In general, survey respondents indicated that they were very dissatisfied, dissatisfied, or had no opinion about the current performance system. In general,

performance evaluation systems are more likely to succeed when (1) the employees have significant input into the design and policy of the system developed, and (2) have ample training in the use and administration of the system. While the system developed is professional, clearly written, and follows contemporary best practices techniques, there seems to be disconnect between the system developed and the users. The department heads have not embraced this performance evaluation system; there is a lack of interest in it. As a result, it appears that performance management in Springfield is not including all activities associated with the proper **planning, monitoring, developing, rating,** and **rewarding** of performance.

5.3 Recommendations

Additional training needs to be provided to department heads, supervisors and employees in the area of performance management. The system developed is somewhat lengthy, cumbersome, and very time-consuming to administer. More streamlined forms and instructions (preferably computerized) with considerable input from department heads need to be developed. Training sessions should include subject matters such as:

- ✚ How to use the system developed for Springfield
- ✚ The downside of the municipal setting
- ✚ The evaluation cycle
- ✚ The mid-year review
- ✚ The annual review
- ✚ Conducting the interview
- ✚ The evaluation forms
- ✚ Setting goals and objectives
- ✚ Communication
- ✚ Making decisions on evaluations
- ✚ How to handle corrective actions
- ✚ Fixing performance to pay
- ✚ Legal issues and concerns

Finally, supervisors should be held accountable for assuring that evaluations are completed. As part of this effort, the City's intranet should be expanded to provide information to users regarding the performance appraisal system utilized by the City.

The site could include information on:

- ✚ Supervisor and employee rights
- ✚ Assignments and job descriptions
- ✚ Developing performance objectives
- ✚ How to provide coaching through information evaluation and feedback
- ✚ The formal evaluation or performance appraisal process
- ✚ Frequently asked questions
- ✚ Performance evaluation form
- ✚ Changes in government regulations

Once a *successful* performance appraisal system is in place for non-union employees, a performance appraisal system should be developed for all other employees and negotiated with the unions. An alternative for the unions might be to develop a performance evaluation system for these employees without tying it to pay. This would still provide the City with:

- ✚ Better assessment of the need for professional development
- ✚ Better communication between supervisor/employee
- ✚ Assessment of strengths and areas in need of improvement

5.4 Expected Benefits

A performance evaluation system can provide:

- ✚ A positive process for improving performance or reinforcing good performance
- ✚ Incentives for employees to perform well
- ✚ Direct communication between supervisor and employee
- ✚ A way to determine professional development and manpower needs

6 Personnel Records

6.1 Overview

Personnel records have several primary purposes. Records provide a history of each employee outlining all transactions that affect a person's job or compensation. Records, if organized in an effective manner, allow quick reference in the performance of management functions such as budgeting, accounting, determination of pay and collective bargaining. It is a major responsibility of the Human Resource Department to maintain a centralized, secure location for the individual personnel records of all city employees. Records contain all the vital statistics and other pertinent data for each and every person employed by the City.

6.2 Findings

The City's Central Personnel Records System does exist in a separate room, under lock and key. However, the files are gravely outdated and do not include all official records and information required by law or for contemporary best human resource practices. For the most part, each department maintains records on employees with little consistency in type and form. Some departments reported that they keep only limited records such as vacation records. Some departments, especially the larger ones, maintain folders on all employees which include: educational achievements, training completed, commendations, disciplinary actions, sick, vacation, and personal leave. Survey responses to HRS' internal survey indicated that most departments maintain their own personnel records. The City's recent implementation of *Time-Labor-Management System* (TLM) has recently assisted to keep vacation, sick leave accruals, and work time to be collected centrally; TLM has been a major success for the City.

However, the lack of an up-to-date centralized record keeping system has made it extremely difficult to extract and analyze data needed for important personnel management decisions. The most pressing problem facing the Human Resource Department in its efforts to centralize records is the lack of computer capability. TLM

and on-line applications have recently assisted in this endeavor. The task of just maintaining records for hundreds of employees, let alone analyzing trends, is overwhelming.

Civil Service records and documents for each employee must be kept in confidential official files in the Human Resource Department, as required by law. It is unclear as to the up-to-date status of these files. (Refer to Civil Section within this report.) It appears that all medical records of employees are kept in separate confidential files as required by the new federal law HIPAA. However, since so many departments maintain their own official personnel records, there is a high risk that medical records are maintained at the department level as well.

6.3 Recommendations

The Human Resource Department must maintain centralized official personnel files on all city employees as required by law. The purpose is to provide an official record of the employment history of each employee, including all transactions that affect the person's job or level of compensation. It also serves as a source of critical personnel information related to employees, organized in a way that allows for quick reference by the appropriate official. Information is to be kept in the strictest confidentiality. We recommend that the Human Resource Director request from each department official files and information that will be included in the official centralized system. Personnel files should be categorized into four areas: (1) employment stage, (2) changes in status or compensation, (3) leaves of absence (4) disciplinary actions. Employee personnel files, at a minimum, should include:

- ✦ Basic employee information: name, address, birth date, social security number, veteran's status, payroll identification number, date of hire, seniority date, classification, bargaining unit, retirement group
- ✦ Personnel Requisition Form
- ✦ Job Description
- ✦ Application Form
- ✦ Personnel Action Form
- ✦ Probationary Period

- ✦ Letters of commendations and awards
- ✦ Letters of educational achievements, certificates
- ✦ Performance evaluation results
- ✦ Changes in status and compensation; promotion, reclassification, salary adjustment
- ✦ Separation of employee: layoff, discharge, retirement, etc.

The Human Resource Department should also develop accumulated leave records for all employees to enable the department to identify trends in injury and sick leave. In addition, the City should develop a position control system when computerization allows the development of such a system. This position control system should list each position authorized and the incumbent, and could include equal opportunity data required for reporting purposes. (See more on this subject under section on Payroll and HRIS).

All medical records of employees should be kept in separate confidential files in the Human Resource Department as required by the new federal law HIPAA. Policies should be adopted to maintain and protect the privacy of personnel records. Access to personnel records is an extremely sensitive issue and as such only limited access should be allowed. A policy has recently been developed by the Human Resource Director with regards to personnel file access; we recommend its swift adoption.

The enormous task of developing the kind of system outlined here will take some time, but could be aided significantly with the hiring of temporary staff during the initial organization stage. Thereafter, an HR staff person should be in charge of the maintenance of the personnel records system. It is our recommendation that the financial analyst in the Human Resource Department take on this additional responsibility. (See Chapter on Organization and Staffing.)

6.4 Expected Benefits

- ✦ Legal compliance
- ✦ Savings in time for researching information on employees
- ✦ Better and more usable data for budget preparation; planning for future personnel needs and anticipating vacancies

7 Civil Service

7.1 Overview

For cities in the Commonwealth, personnel operations are complicated by a complex web of civil service statutes, rules, and procedure requirements which spell out in particular detail the steps to be followed in: examinations, applications, administering tests, rating training and experience, veteran's preference, handling appeals, eligible lists, seniority lists, requisitioning for vacancies, certifying candidates, physical examinations, discipline, appointment and more. In Massachusetts the strongest civil service mandates are for police and fire; however, civil service status is still prevalent for many other municipal employee position groups, particularly in cities.

7.2 Findings

The City of Springfield appears to operate under a delegated civil service system. This allows the City some flexibility in the management of its merit system, while it still ensures the protection of long-standing civil service employee rights. Under the "delegation" policy there is a transfer of responsibility to the City for certain limited functions – certification, record-keeping, labor service administration – provided those functions are carried out precisely as they are prescribed in State law. When Springfield hires employees off of civil service lists, Springfield certifies the lists. They only interact with the Commonwealth's Human Resource Division (HRD) for exceptional situations. HRD plays a very heavy and regulatory role in police and fire civil service requirements.

One of the primary requirements of a delegated system is to properly manage and maintain pertinent civil service records locally. Currently in Springfield, there is a huge back-log of paperwork for civil service record-keeping. The Human Resource Department has one employee managing this function in an antiquated way. Months of paperwork have not been filed and records are maintained in a manual fashion on filing cards, and then filed in boxes. The Mayor's recent request for departments to cut personnel in order to reduce budget costs was extremely difficult to

administer due to the inaccurate civil service seniority lists. The Human Resource Department was unable to generate a computerized list of employees denoting civil service status; not even in a simple spreadsheet format.

There is no other employee in the Human Resource Department who is cross-trained with the employee charged with civil service administration. All city-wide civil service questions are referred to one employee who has the capability to respond. This employee also handles the DPW labor service, managing all applications. HRD handles police and fire entry levels; while the City's Human Resource Department handles promotional only for these groups.

The City has done a good job participating in some assessment centers for hiring and promoting top level executive police and fire personnel. The uses of assessment centers provide the appointing authority with a sophisticated approach for selecting among candidates to fill vacancies. An assessment center tests candidates above and beyond the civil service written examination. For limited selection processes such as for a supervisor or manager, they can be very cost effective and add significant value to a selection process.

7.3 Recommendations

The Human Resource Department must immediately computerize all civil service processes within the department including: civil service lists, records, forms, tests, applications, and all other pertinent administrative documents. At a minimum, simple spreadsheet applications should be utilized to maintain seniority lists of employees. The department must develop a master civil service list of provisional, permanent, temporary, part-time, full-time employees; this list must be updated regularly.

The department must cross-train several employees to handle the civil service workload within the department. If the incumbent Assistant Director is out sick or working on other assignments, there is no one else who is capable of handling civil service questions and the administration of paperwork.

The department needs to maintain a more efficient and professional record-keeping system of civil service documents by employee. A position control system must be established. A complete list of every authorized civil service position; its status (full-time, part-time, temporary); the incumbent; how and when it was filled (permanent, provisional, etc.). This file could also include equal employment opportunity data required for reports to MCAD. All records should be maintained in professional files; and the employee data should be regularly inputted into a computerized database for easy and accurate output.

Continue utilizing assessment centers where appropriate for recruitment and selection of police and fire personnel. Also consider utilizing the civil service processes to generate additional minority and female lists, particularly for public safety positions. The Commonwealth's Human Resource Division (HRD) administers these lists. When positions become available within the public safety departments, requests for minority/female lists should be requested.

7.4 Expected Benefits

- ✦ Increased accountability and accuracy for civil service information and validations.
- ✦ Savings of vast amounts of time being spent by the department in calculating changes and preparing civil service documents.
- ✦ Better and more useable data for budget preparation; planning for future personnel needs; planning for layoffs; and anticipating vacancies.
- ✦ Computerized information will create ease in developing management reporting, and will also assist with accuracy of data.
- ✦ Assessment centers will help provide the best talented employees for vacancies.
- ✦ Increase in minority/women applicants.

8 Training and Development

8.1 Overview

Employee training has become an essential component of human resource operations. Human Resource Departments are the major source for providing training to the organization's employees in areas such as sexual harassment, diversity, Americans with Disabilities Act, and many other employment related areas. Often specialized trainers or experts are brought in to assist in conducting the employee training under the guidance of the human resource department.

It is important to make a distinction at this time between **HR Training** and **Professional Development**. Professional development, on the other hand, is a process of adult learning that enables people to become more proficient and confident in the performance of their job duties. More specifically, it is a way to gain job knowledge, skills, change behavior (learn delegation responsibilities, for example), and become a complete professional. It enhances their overall work abilities.

8.2 Findings

The City of Springfield lacks a *comprehensive* city-wide HR training program which focuses on such areas as sexual harassment, diversity, and customer service, ethics, communication, technology, Americans with Disabilities Act, Family Medical Leave Act, Fair Labor Standards Act, Safety, Security, Affirmative Action/EEO and many other areas. Except for one employee in the Human Resource Department who is single-handedly conducting all training programs throughout the City, there is no other comprehensive HR training initiative which cuts across many departments. There is, in fact, a lack of funding and resources available in this area which has crippled the endeavor.

Our internal survey uncovered the following responses by key department heads:

Question: How often does the City provide training sessions for employees in such areas as?

✿ Sexual harassment/harassment:

Some departments said that it is covered in new employee orientation; some said either annually or every two years.

✿ Diversity:

Responses varied – most said annually or on-going.

✿ Americans with Disabilities Act

Responses varied – seems to either not be taking place, or it varies by department.

✿ Progressive Discipline

Most respondents said that there is no training on Progressive Discipline.

✿ Safety

Seems to vary by department. One department said that it is provided if a department requests it.

✿ FLMA

All respondents said that there is no training on this at all.

✿ Internet/Email Usage

Responses varied – some said there is no training, one said there is written policy that is distributed and one said that training is provided at time of set-up.

✿ Ethics

Some departments said that it is offered periodically.

✿ Drug/Alcohol Abuse

Responses varied – some said it is provided at orientation or periodically and some said there is no training.

With regards to **Professional Development**, the City has done an excellent job with their new SMART program. This is a comprehensive professional development and education program. The program focuses on such areas as supervisory development (leadership, motivation, delegation, planning, time management, and handling performance); as well as personal productivity; professional ethics; conducting

meetings; team development; public speaking, writing skills, and much more. This has been an excellent curriculum and very successful in Springfield. Upon completion of the program employees receive an official certificate.

8.3 Recommendations

The City should continue the SMART program for professional development and consider adding other educational modules to expand the program. Perhaps an area to include would be office automation and information technology program, including workshops for managers on the many applications of computer technology and sessions on computer operation for employees who use them.

Change the role of the current staff person in the Human Resource Department handling the HR training programs from “Trainer” to “Manager of Training Programs”. Give this person a budget to bring in outside consultants and experts to assist with the enormous amount of training required throughout the City. The Human Resource Department should develop an inventory of what training programs are currently required, and how often they should be conducted. The Human Resource Department should look at all the resources available for training such as: private companies, federal and state government, specialists in a particular field, local colleges/universities.

City-wide training should be regularly conducting in the following areas:

- ✿ Computer Use/Email
- ✿ Ethics
- ✿ Customer Service
- ✿ Diversity
- ✿ Sexual Harassment
- ✿ ADA
- ✿ FMLA
- ✿ Affirmative Action
- ✿ Safety
- ✿ Progressive Discipline

✚ Risk Management

Due to the lack of funding and organization of a comprehensive program, training in Springfield is reactionary. This can be a serious problem for the City, particularly for such areas as Sexual Harassment; where training is mandated by law. Also, at this time there is no program or training in Progressive Discipline. A better city-wide safety training program is needed, including procedures and manuals. In general, the current HR city-wide training is inadequate, unsystematic, and untimely. It is not humanly possible for one employee to conduct and meet all of the City's employment training needs.

8.4 Expected Benefits

- ✚ Better understanding of specific policies and processes for employees.
- ✚ Limits legal liabilities for the City.
- ✚ Communicates important information to all employees in an organized, efficient, and equal manner.
- ✚ Informs employees of their rights and obligations and legal mandates.
- ✚ SMART program will continue to assist in higher productivity and a more competent work force.

9 Personnel Policies

9.1 Overview

Sound employee policies and procedures are an essential part of a high-performance organization. Based on equity and in full accord with all laws and regulations, these policies and procedures should address every major aspect of employment with the organization. They establish a critical element of the foundation for the organization’s success in (1) recruiting, retaining and continuously motivating highly qualified personnel and (2), for those same reasons, servicing the City’s customers effectively and efficiently.

9.2 Findings

The benchmark for best practices are listed below and then compared to Springfield’s practices.

Function	Benchmark for Best Practice	Springfield’s Current Practice
Employee Policies and Procedures	Policies and procedures are in conformity with all laws and regulations and maintained on a current basis at all times. Policies address all aspects of employment with the City. Policies are well organized and made available to the staff in an electronic format. Staff at all ranks participates in revision and updating of policies.	The existing policies and procedures represent a good first step, but additional policies need to be included and brought up-to-date as well as being expanded in certain areas. Policies are available on the intranet in an electronic format to employees. Staff at all ranks have participated in revisions and updating of policies.

This section of the report has been based on the Consultant Team’s review of the City’s newly developed personnel policies, “Human Resources Policy Manual”. The

personnel policies are an improvement for the City, but could benefit from further expansion in certain areas. In addition, the general flow and organization of the document is not the best, but still a very workable document for Springfield. A good amount of work has been put into developing these policies, and we recognize that effort.

9.3 Recommendations

We understand that these policies are regularly monitored and updated by the Human Resource Department, but would like to point out some areas that need additional augmentation. The City is aware of how imperative it is to maintain these documents. Human Resources should continue this effort by updating and/or revising the following policies.

- ✦ Alcohol and Drug Testing Policy
- ✦ Classification and Compensation Plan
- ✦ Grievance Procedure
- ✦ Longevity Policy
- ✦ Orientation and Probation
- ✦ Performance Reviews
- ✦ Progressive Discipline (*needs to be re-written*)
- ✦ Promotions
- ✦ Recruitment, Selection and Appointment (*Even though a hiring guide was developed, a policy on this stills needs to be included.*)
- ✦ Retirement
- ✦ Safety
- ✦ Standards of Conduct
- ✦ Training and Education
- ✦ Travel and Vehicle Use
- ✦ Whistleblower Policy
- ✦ FMLA (*Ensure it includes recent updates.*)
- ✦ ADA (*Ensure it includes recent updates.*)

Drug and Alcohol Testing policies and procedures are needed for (1) pre-employment, (2) random drug testing. These are particularly important for employees in DPW, Parks, Police, and Fire. There also needs to be a zero tolerance policy for drug and alcohol use in the city.

A city-wide progressive disciplinary procedure and policy needs to be written, regardless of whether or not it is already included in the union contracts. A progressive disciplinary procedure for those not currently covered should be included in an overall set of personnel rules. The procedure should spell out specifically, step by step, how the supervisor should act in initiating such progressive disciplinary actions.

All policy questions related to the Family Medical Leave Act (FMLA) should be handled out of the Human Resource Department. Currently all employee questions related to FMLA have been directed to the City Solicitor's office. The Human Resource Department needs to become the expert in FMLA and all other personnel policies and procedures; all questions should be directed to HR. The new law has expanded the weeks from 12 weeks leave to 16 weeks leave; human resource needs to update policy to reflect changes in FMLA law so employees are aware of this. Fair and consistent application of FMLA for all employees, union and non-union, must be ensured.

City-wide safety policies and procedures do not exist. Some individual departments have developed them for their own needs. A city-wide safety policy and procedures manual is needed.

There should also be a *Glossary of Terms*; *General Provisions* defining the rules of interpretation, authorization; and *Administrative Policies* explaining the role of the Human Resource Director and Appointing Authorities. ***Human Resources Services, Inc. will provide sample policies to the City of Springfield in a separate document.***

The personnel policies should include a disclaimer on the front page. Employees sometimes feel that a personnel-policies document is an employment contract. This is a fundamental problem with personnel-policies documents in general. A sample disclaimer follows:

“The policies and procedures outlined herein are subject to change without notice provided that the changes are made in accordance with federal and state laws. The City of Springfield reserves the right to layoff any employee whenever such action becomes necessary by reason of shortage of funds, lack of work, the abolition of a position, a material change in duties or organization, or for any other appropriate reason. These policies are a guide only, and it is not the intent of the City to grant any employee any contractual commitment, expressed or implied, by its adoption. The employment relationship between the employee and the City is at will and may be terminated by either party at any time.”

It would be prudent to have these policies periodically reviewed by appropriate legal counsel experienced in employment law. Sometimes case law can have an enormous impact on how these policies are interpreted.

9.4 Expected Benefits

Personnel policies which are well written, regularly maintained, and continuously updated will:

- ✦ Communicate the organization’s policies efficiently and effectively.
- ✦ Ensure that all office procedures comply with employment laws.
- ✦ Ease the administrative burden on supervisory personnel.
- ✦ Establish how the organization adapts to changes in the work environment and employment law.

10 Orientation

10.1 Overview

Orientation is a process of introducing new employees to: their job; the City organization and operations; and all benefits available to them while employed by the City. New employees usually are oriented through a combination of (1) employment information such as an employee handbook, a benefits package, and other policies and documented literature; and (2) orientation programs which can be either individual or group sessions.

10.2 Findings

The City does not have an adequate orientation program in place. There is a need for a better organized new employee orientation program. A total package of comprehensive employment information is not distributed to employees regarding all of the benefits they receive. Employees receive just basic information on health, life, dental benefits; and information on the Employee Assistance Programs offered. Limited policies are distributed; comprehensive policies and/or an employee handbook are not given out to employees. There is no information distributed or discussed on employee conduct, code of ethics, government and conflict of interest, ADA or diversity.

Unfortunately, the orientation of new employees is presently incomplete. Except for some miscellaneous pieces of literature, the City has no complete source of information for new employees. The lack of a solid orientation program can result in some potential problems city-wide;

- ✦ Employees not knowing what benefits are available to them;
- ✦ Employees not knowing who to assist them with employment documents;
- ✦ Employees not know their rights, procedures, and obligations they have as municipal employees.

- ✦ In extreme cases, could result in law suits for the City if the employee was not properly informed of employee relations and employment policies.

10.3 Recommendations

Based on our findings, the City should provide a comprehensive orientation to all new employees. More specifically, the Human Resource Department should develop or provide the following services:

10.3.1 Develop an orientation package.

The purpose of this package is to summarize some of the more significant benefit plans and practices now in effect in Springfield. The summarized information should be in a “folder-form” and be very compact. It should be available to all new employees as well as current employees. Some highlights of benefits package would include:

- ✦ Vacation/holidays
- ✦ Sick leave/maternity leave
- ✦ Life Insurance
- ✦ Health Insurance
- ✦ Deferred Compensation Plan
- ✦ Leaves of Absence
- ✦ Retirement
- ✦ Credit Union
- ✦ Jury Duty
- ✦ Employee Assistance Program

10.3.2 Distribute a copy of Comprehensive Personnel Policies Book.

The contents of this book should provide to the employee comprehensive information regarding all aspects of employment with the City. This book can serve as a reference for employees regarding rights, privileges, and responsibilities of a career in Springfield. Here is an *excerpt* of some of the

information typically contained in the personnel policies book by other cities. (See Personnel Policies section of this report for more details on this document.)

- ✿ City Government Organization
- ✿ Types of Appointments
- ✿ Promotions
- ✿ Classification and Pay System
- ✿ Working Hours
- ✿ Performance Evaluation
- ✿ Health and Life Insurance
- ✿ Sexual Harassment
- ✿ Americans with Disabilities Act
- ✿ HIPAA
- ✿ Safety in the Workplace
- ✿ Workers Compensation
- ✿ Grievance Procedures
- ✿ Family Medical Leave Act
- ✿ Small Necessities Leave Act
- ✿ Civil Service Procedures
- ✿ Vehicle Use
- ✿ Computer Use

Employees should sign a statement saying that they have received and read a copy of the City's Personnel Policies. Because this personnel policies book will contain information that needs constant updating, we recommend that it also be provided to employees through the City's intranet online.

10.3.3 Develop a Comprehensive Orientation Program.

The Human Resource Department should conduct periodic orientation sessions with groups of newly-hired employees which allow almost a good half day of "give and take" with representatives from health and life insurance programs, the retirement board, the City's labor attorney (on collective

bargaining), the affirmative action officer, and the Human Resource Director (on civil service, diversity, personnel rules, pay, time-off, benefits, and numerous other related issues).

10.4 Expected Benefits

Developing an all-inclusive orientation system through the Human Resource Department will:

- ✦ Keep all information relative to employee benefits and employment policies updated, accurate, and centralized.
- ✦ Reduce questions from employees relative to available benefits and current employment policies.
- ✦ Reduce inaccurate information disseminated to employees.
- ✦ Save productive time because employees will go to one location to get all information.
- ✦ Provide better communication to employees and supervisors relative to benefits and employment policies.

11 Hiring and Employment

11.1 Overview

The success of city government is dependent upon the people that it employs. Good decisions lead to high quality performance; poor decisions result in inferior performance as well as other problems. There are several important points in the hiring process:

- ✚ Recruitment – attracting a pool of qualified job candidates;
- ✚ Selection – methods used to determine job candidate’s knowledge, skills and abilities; and
- ✚ Probation – the assessment of an employees’ work performance to determine if the person is capable and willing to meet the job requirements.

11.2 Findings

The Human Resource Department has developed a comprehensive *Hiring Guide* detailing the various steps of the internal hiring process. This document serves as a tool to help standardize the process and assist managers with easy access to information and forms. In addition, the guide includes a hiring checklist for easy referencing during the hiring process. The guide is comprehensive and includes the following components: submitting a request to fill a position; job descriptions; classification of the job; posting the position; recruitment; screening; online application management; interviewing; final selection; recommendation for hire; appendices including forms and checklists.

While this guide is a very informative document for department managers, with a step-by-step approach, the document was developed out of strong dissatisfaction and a cry by department heads regarding the unsystematic and untimely approaches for hiring employees in the City. Both department heads and the Human Resource Department experience enormous frustrations with the City’s hiring process which is

slow, bureaucratic, and disorganized. Hiring employees always seems to be a crisis. Here, we would like to restate that the City has been under the Springfield Finance Control Board since 2004, so hiring does have heavy and regular scrutiny and control by this Board; there is a committee comprising the Executive Assistant, Finance, Cabinet members, and others to purposely control hiring in the City.

11.3 Recommendations

The recruitment and selection process needs to be re-engineered to enable a timely response to personnel requisitions. The Human Resource Director needs to have a stronger role in the entire hiring process; beyond the application and interview set-ups. The Director must be the one who is controlling the timeline, process, and recruitment effort. It appears now that the individual department heads are controlling the entire process. There needs to be a better streamlined process overall; standard offer letters; standard job descriptions; standard format for job ads. All of these documents should be available on the City's Intranet. HR needs to be more engaged in the hiring process at each and every phase. Recruitment, selection, employment are the primary responsibilities and mission of the Human Resource Department.

There are internal as well as external factors to be considered in making offers of employment once the decision to hire has been made. Thus, the City must designate individuals who have exclusive authority to make offers of employment. Internal factors include: salary equity issues, consideration of EEO and/or Affirmative Action goals, relocation (if necessary), and establishment of appropriate job classification for the offer. The external factors to be considered are wage and hour laws and market pricing.

The new *Hiring Guide* is comprehensive, but unfortunately it was introduced to department managers in a somewhat confused way. Little input was provided by managers and employees; little training was provided to managers and employees. The guide should become part of the official personnel policies and procedures manual. All of its forms need to be automated to computerized forms.

The Human Resource Director needs to develop a simple streamlined process for hiring seasonal employees. Parks, public works, and recreation employees need to be hired on a fast turn-around time. The Director should develop specific policies for hiring seasonal employees.

The Human Resource Director needs to expand the recruitment effort to both broaden the pool of qualified candidates and attract more applicants from under-represented groups, to include periodic job fairs and open houses at City Hall, greater use of radio and TV announcements, internship programs, advertisements in minority publications and newspapers. All job advertisements need to be managed and prepared out of the Human Resource Department.

Background and reference checks are currently handled out of the individual departments rather than the Human Resource Department. Potential hiring problems could occur if the background checks are not done professionally, thus a real liability for the City. It is recommended that all background checks be handled out of the Human Resource Department. Allow selective departmental efforts only where capability exists. The Human Resource Department does currently handle CORI, physicals, and I-9 Citizenship materials.

Once an employee is hired, the human resource department staff needs to assist the new employee with the necessary new employee paperwork; forms, documents, selection of benefits, etc. This is the responsibility of the human resource department, not the department head or appointing authority. Complete follow-through needs to take place with the employee even after the hire letter has been sent.

The Human Resource Department should provide instruction for appointing authorities and others involved in the selection process on the use of effective and fair job interview techniques. There are no interviewing guidelines, and HR does not provide enough assistance in screening resumes.

Human Resources manage all the processes for the hiring of people: recruitment, outreach, selection, appointment, promotion, separation and/or retirement.

Springfield should be commended for its recent change to accept applications online; a number of cities are turning to online applications for ease of processing. The City should expand this use of technology for the recruitment of applicants. In addition to using web sites to post job bulletins and accept applications online, many cities provide applicant-friendly, helpful information on the application and selection process. Most have general information on city employment; application, testing, and interviewing tips; and information on job fairs and workshops. Many provide links to other web sites with employment opportunities such as the Commonwealth of Massachusetts. Yet other municipalities have expanded outreach through commercial web sites. There is an increasing move toward automating the testing processes as well, some public agencies are moving in this direction.

11.4 Expected Benefits

- ✦ A more competent workforce.
- ✦ A more responsive selection process that insures vacancies are filled quickly.
- ✦ Greatly reduced confusion about hiring procedures.
- ✦ Better managed recruitment and selection process.

12 Affirmative Action

12.1 Overview

Affirmative Action is a concept that goes beyond the earlier notion of equal opportunity (in sum a policy of non-discrimination). Affirmative Action is an aggressive effort to root out discriminatory practices and a proactive approach to redress present and past discrimination. Two primary means of altering past discrimination patterns are setting specific employment goals and timetables and monitoring of decision points in the personnel process that affect goals achievement. The critical decision points are:

- ✦ Recruitment
- ✦ Selection
- ✦ Promotion
- ✦ Training and employee professional development
- ✦ Classification
- ✦ Reclassification

12.2 Findings

There is a need for an updated Affirmative Action Plan; the current plan is fifteen years old. It is our understanding that this is in the process of being developed, but to date the Consultant Team has not been able to find a newly drafted plan. The City has not met required affirmative action targets. They are below the goals of 47% female and 36% minority; they are especially low in the area of management positions.

The Affirmative Action Officer does not have strong input in the hiring process or for promotions. Failure to develop an updated plan and have a viable Affirmative Action program could jeopardize future grant funding. The new plan needs to be officially adopted by the City and agreed to by the Massachusetts Commission Against Discrimination.

The City's Affirmative Action Officer reports to the Human Resource Director and is responsible for the implementation of several state mandated Affirmative Action programs.

Efforts to educate managers and employees about the Affirmative Action Plan and Program and their responsibilities under the plan have been limited to a few one-on-one meetings with department heads; much more is needed in this area.

There is a need to make more active use of selection techniques that give qualified applicants from protected groups a greater opportunity to compete. There is also a need to work directly with minority and women employees to improve their chances for promotion to higher-level positions.

The absence of a real city-wide classification system has made job qualifications so vague that it is hard to determine whether they present artificial barriers in the hiring process. But this is a distinct possibility.

The City has done a good job with outreach, through minority publications and media outlets.

12.3 Recommendations

The City should immediately revise its Affirmative Action Plan. The Plan should be consistent with the objectives of the Massachusetts Commission Against Discrimination.

The Affirmative Action function is properly placed within the Human Resource Department. The Affirmative Action Officer should report directly to the Human Resource Director, and indirectly to the Chief Administrative Financial Officer (CAFO). (See Organization and Staffing Chapter within this report.) Critical decision points with regard to recruitment, selection, classification, and appointment emphasize the need to keep the Affirmative Action program in the personnel system. However, due to the need for checks-and-balances for the Affirmative Action program, the position should also report to the CAFO as needed.

Institute a major educational effort to acquaint all managers and supervisors (and eventually employees) with Affirmative Action. This could be done through:

- ✦ Informational briefings
- ✦ Small discussion groups
- ✦ Skill-Development workshops

Experiment more actively with special techniques to increase the probability of hiring qualified minorities and women:

- ✦ Internships
- ✦ Selective Certifications for positions with unique qualifications (e.g. bilingual abilities)
- ✦ The potential for part-time positions or job sharing

Provide career counseling and training opportunities for protected employees to enable them to assume greater responsibilities and compete for promotions. This might include:

- ✦ Helping employees plan their careers and begin to acquire the skills that will be needed.
- ✦ Providing continuous information on educational and training opportunities.
- ✦ Being alert for transfer possibilities that expand one's skills.

The Mayor should not lose focus on diversity and develop a diversity team for employment practices. The core team would include the Mayor, Law Department, and Human Resource Department.

12.4 Expected Benefits

- ✦ Greater city-wide awareness of Affirmative Action – legal requirements, goals, and responsibilities.
- ✦ Greater progress in achieving hiring goals.
- ✦ More efficient collection and analysis of data.

13 Americans with Disabilities Act (ADA)

13.1 Overview

The Americans with Disabilities Act (ADA) requires employers to reasonably accommodate qualified individuals with disabilities. Employers must comply with all federal and state laws concerning the employment of persons with disabilities. The Americans with Disabilities Act states that it is unlawful for a municipality to discriminate against an individual with a physical or mental disability with regards to upgrading, rates of pay, compensation or changes in compensation, job assignments, job classifications, position descriptions, lines of progression, and seniority lists.

13.2 Findings

The City of Springfield is under a court decree for ADA violations; the City of Springfield is making every effort to comply, and has made progress. As of the date of this consulting report, the Consultant Team did not receive an updated copy of the City's ADA policies from the Human Resource Department; therefore, we are under the assumption that such policies do not exist in the City.

Currently the ADA Coordinator is the Health and Human Services Director, a cabinet position that reports to the Mayor. As stated in the first Chapter, the City's job descriptions are not ADA compliant and do not list the physical and mental requirements of the job. Now that the ADA laws have changed again and expanded the definition of disability, it is even more important for the City to list the physical requirements as they relate to essential functions of the job. (See Chapter 1, Job Descriptions).

13.3 Recommendations

It is our recommendation that the Staffing position in HR take on the responsibility of ADA duties as the City's designated ADA Coordinator. This person would be responsible to monitor compliance with the non-discrimination requirements in

the Section 504 regulations and the Americans with Disabilities Act regulations as implemented by the Equal Employment Opportunity Commission and the Department of Justice. This job function is more appropriately placed in the Human Resource Department. The Director of Health and Human Services has not devoted the time needed to properly serve as an adequate ADA Coordinator.

The City needs to develop up-to-date ADA policies and procedures immediately including grievance procedures. The grievance procedure must be established to meet the requirements of the Americans with Disabilities Act. It may be used by any employee who wishes to file a complaint alleging discrimination on the basis of disability in employment practices and policies or the provision of services, activities, programs, and benefits by the City of Springfield. The City must provide training to department heads and employees in the area of ADA.

Finally, the City needs to continue to make every effort to resolve issues related to the ADA Court Decree.

13.4 Expected Benefits

The most obvious and expected benefit would be compliance with State and Federal Laws, and the ability to provide a good working environment to those with disabilities who qualify for an accommodation.

14 Labor Relations

14.1 Overview

Labor Relations is a generic term for a number of activities that affect or emanate from the interaction of organized labor and management. At the core is collective bargaining, which has been defined in the following manner:

“Collective bargaining is the mutual obligation of employers’ and employees’ representatives to meet at reasonable times and confer in good faith with respect to wages, hours, standards of productivity and performance, and other terms and conditions of employment, or the negotiation of an agreement, or a question arising thereunder.”

Labor Relations also encompasses such functions as:

- ✚ Impasse resolution
- ✚ Contract administration
- ✚ Grievance administration
- ✚ Costing contract demands
- ✚ Labor-management relationships

14.2 Findings

There are approximately twenty-eight (28) unions in the City of Springfield representing municipal employees (not including schools). These unions cover approximately ninety percent of municipal employees in the City’s workforce. With regard to the handling of collective bargaining, the individual departments either work with the law department, out-side labor counsel, or the control board to handle these labor matters within the department. With so many unions, everything that happens has a labor relations impact.

The Human Resource Department has little to no involvement in the collective bargaining process. The Human Resource Director came to Springfield with no experience in either negotiations or grievance administration. For the most part, the Director does not participate in bargaining sessions. At this time labor contracts are administered out of the City Solicitor’s Department or individual departments. The

Human Resource Department does not handle the day to day administration of union contracts.

There is a need for an in-house labor department that can focus on the management of union matters for the City. The City is going to this in-house labor department that will be a separate department from the Human Resource Department and City Solicitor's Department. However, the department will work closely with these two departments, and there will remain one attorney in the City Solicitor's Department as an overlap for labor relations matters. The City wants the labor department up and running as soon as possible. At this time they are completely dependent on outside counsel and the City Solicitor's Department. (The job description for the new Labor Relations Director is attached to this report in the appendices.) The process for hiring the new Director is currently underway.

For several years now, the Springfield Finance Control Board has utilized the services of an outside counsel for most labor matters. This particular attorney is one of the most experienced public sector labor attorneys in Massachusetts, having worked in other large and complex cities such as Boston. It is the City's intent to maintain a combination of an outside labor attorney and in-house labor department.

14.3 Recommendations

Develop an in-house Labor Relations Department. The Director or Labor Relations should report directly to the newly created position of Chief Administrative Financial Officer. The Director will be charged with overseeing all aspects of the City's labor-management activities, negotiation of contracts, and formulating and administering policies for departmental managers. The position will also be responsible for complex administrative and technical work in coordination of all city functions relative to contract bargaining and employee relations. The Director will advise the Mayor, city officials, and staff on labor management activities. (See organizational chart in Chapter 18 on Organization and Staffing). The Labor Relations Department should consist of the following personnel: 1 Director, 2 Attorneys (1 of which shall focus on public safety), 1

Paralegal, 1 Administrative Assistant, and 1 Analyst. (See attached job descriptions in appendices.)

Even though the Human Resource Director is not responsible for labor relations, each and every employment decision made has a labor implication for the majority of city employees. The Director should attend seminars, conferences, and other educational venues to better understand the union culture and requirements from an HR perspective. Understanding the culture of a highly unionized organization is a critical step for understanding municipal government. How do the departments lead in this environment? How are people making decisions? How does a department deal with instances of discipline and conduct? What is the role of human resources in this environment?

The City needs to develop the grievance processes and procedures to the letter of the contracts. The City handles its grievance process poorly with semi-formal hearings and little follow-through with the actual grievance steps that are spelled-out in the union contracts. The steps for grievances are very important, particularly when the need arises to present grievance files at arbitration hearings. If there is little to no documentation in the grievance file, it is difficult to defend a case.

The notion of impact bargaining is a foreign concept in Springfield. During these difficult financial times, impact bargaining makes a lot of sense. Many cities are utilizing impact bargaining techniques, so should Springfield.

The City should also continue to maintain an outside labor counsel; it is still very much needed. Often outside counsel brings an objectivity and expertise that is not available in-house. Also having a counsel that works with many other cities similar to Springfield assists in the total equation of problem-solving.

It is recommended that one of the attorneys focus primarily on the Police and Fire unions. These groups have very complex union contracts. For example, the categories of general compensation alone typically includes: *base wage, holiday pay, longevity, differentials, specialty pay, and other allowances*. It should not be surprising if the analyst spends most of his/her time on police and fire too.

The City needs to strengthen the contract administration process by informing department heads and supervisors on new or revised contractual provisions. Finally, a database needs to be developed intended for research capacity for collective bargaining information.

14.4 Expected Benefits

- ✚ Greater professional management capacity and greater financial savings for the City.
- ✚ Better coordination of union matters between labor relations, finance human resources, and department heads.
- ✚ More effective negotiations and a much better understanding of the fiscal impact of those negotiations due to in-house staff and better data.
- ✚ A better feeling for internal organizational issues that affect collective bargaining.
- ✚ Greater attention to the personnel implications of contract proposals or negotiated clauses.
- ✚ Increased understanding of union contracts and their effects by department heads and supervisors.
- ✚ More professional grievance process handling; better documentation by department heads.

15 Payroll and HRIS

15.1 Overview

Payroll administration and maintenance is an intricate part of a City's financial management system, with salaries, wages, and benefits accounting for more than eighty percent of most municipal budgets. Payroll departments oversee and maintain the payroll systems for city operations; including the maintenance of all payroll records and databases; ensure the accurate compilation, analysis and reporting of payroll data; and establish payroll procedures and policies. The payroll operations typically watch over the legal requirements and government reporting including IRS, Commonwealth of Massachusetts, Fair Labor Standards Act, COBRA, ERISA, and employee retirement systems.

15.2 Findings

For the City of Springfield, the complete payroll function currently falls under the Human Resource Department; this is not uncommon in the private sector, but not a typical organizational set-up in Massachusetts municipalities. Most communities have the payroll department falling under the Finance Department. (See survey results of comparative organizational data from comparable communities in attached Appendix 2).

Prior to 2004 the City had very serious problems with their payroll operations, an antiquated, disorganized, and mostly manual system; fraught with errors and mismanagement. Under the recommendation and guidance of the Springfield Finance Control Board, a contemporary computerized payroll service was implemented to process the City's payroll. Through this effort to computerize and outsource the payroll operations, the City has saved millions of dollars in revenues for taxpayers to date.

Another aspect of the payroll system was the implementation of a computerized Time & Labor Management system "TLM." The automated TLM (Time & Labor Management) system has eased department workloads, and limited errors, by automatically collecting and calculating data such as employee hours and attendance.

Overall it has made the processing of time and labor much more efficient and effective for the City.

Many managers have voiced their desire for an integrated Human Resource Information System (HRIS) to manage employee data. There seems to be some frustration from departments regarding the computerized human resource data and information available to them to make management decisions. Currently the payroll shows how many people are paid by week and the departments they are in; it is not a robust all-inclusive human resource information database. The City still has a hard time giving an accurate head count (number of employees on any given day). If they had an accurate head count, they could normalize things based on head count. This is very difficult for them at this time.

15.3 Recommendations

Payroll is a subset of the financial operations and should be closely aligned with budget management, financial compliance, control, and accounting. The cost of the total payroll is the single most important expense for the City, so the financial controls on this operation is significant and very important. Therefore, we recommend that the City of Springfield reorganize the Human Resource Department and place the payroll operations and its staff under the control of the Finance Department, which will be reporting directly to the Chief Administrative Financial Officer. (See organizational charts, Chapter 19.) Furthermore, by doing this, the Human Resource Director can focus more on the goals and objectives of core human resource programs, projects and needs; offering more “services” to departmental needs. Of course it is expected that the Human Resource Department will still interact closely with the finance and payroll departments.

The computerized payroll service has been an improvement for the City’s payroll process; the City should continue on track with this improvement. Although, there are several areas for enhancements: (1) ensure that employees’ pay actually ties from step/grade to the actual pay; (2) ensure that employees’ pay actually ties to the budget; (3) provide a better payroll interface with the financial systems of the City.

The City should develop an organization-wide Human Resource Information System (HRIS) to better manage employee information, cross-share information from one department to another, and provide a city-wide directory so everyone knows the status of employees (i.e. new hires or separation etc.), equipment needs, and more. This system could be populated with employee data and provide excellent HR management reporting to all departments. This would also provide better communication between the Human Resource Department and the Chief Information Officer for the City. We strongly recommend that the City hire an HRIS Coordinator who would report to the Human Resource Director (see Chapter 19 for organizational chart). A comprehensive HRIS operation will:

- ✿ Manage all employee information.
- ✿ Provide reports and analysis of employee information.
- ✿ Provide department-related documents such as employee handbooks, emergency evacuation procedures, and safety guidelines.
- ✿ Completely integrate with payroll and other city financial software and accounting systems.
- ✿ Applicant and resume management.

An effective HRIS provides information on just about anything the City needs to track and analyze about employees, former employees, and applicants. Areas for tracking may include:

- ✿ Pay raises and history
- ✿ Pay grades and positions held
- ✿ Performance development plans
- ✿ Training received
- ✿ Disciplinary action received
- ✿ Management and key employee succession plans
- ✿ High potential employee identification

- ✿ Applicant tracking, interviewing, and selection

15.4 Expected Benefits

- ✿ Cost savings to the City.
- ✿ More efficient and effective use of employee resources.
- ✿ More accurate payroll.
- ✿ Financial/Payroll interface.
- ✿ Better communication amongst departments.
- ✿ Ease in sharing information from one department to another.
- ✿ Ability to get accurate head count of employees.
- ✿ Compliance with wage and hour laws.

16 Benefits Administration

16.1 Overview

Benefits are yet another side to the compensation equation. Benefits contribute to an employee's annual compensation and to an employee's personal well being. Together compensation and benefits account for the total compensation that an employee receives. Most determinations of benefits are now made during the collective bargaining process. Non-union and management employees generally receive the same benefits as the union employees.

16.2 Findings

The Human Resource Department has managed their benefits program for the City in an efficient and cost effective manner. Like most organizations, public and private, health insurance costs are the most expensive benefit that the City must offer its employees.

Now employees working for the City of Springfield are covered by the State's GIC health insurance program. Recently the City enrolled in the Commonwealth GIC program for health insurance, one of the first municipalities in the Commonwealth to enroll. By purchasing into the State's program, they have cut their premium costs significantly for the City; a significant financial savings immediately and projected into the future. GIC is not appropriate for every community for a variety of reasons, but for Springfield it was the correct choice. The program offers a wide choice of health plans for employees and their families to select from through the Massachusetts Group Insurance Commission. The City contributes 75% of the cost of the Health Plan for both individual and family coverage.

16.3 Recommendations

The City has met success with the GIC health program; they need to look at cutting costs for other insurance programs that they offer. Insurances for Life, Dental, and Disability need to go out to bid as soon as possible; there may be better options

and prices from other vendors for these insurances; thus saving money for the City. It has been some time since the City has solicited bids for these programs. The City should research alternative employee assistance programs (EAP) to see if there are better programs that could be offered to City employees.

The Human Resource Department should oversee sick leave usage for the City. Currently, CitiStat tracks sick leave abuse and patterns for all departments. The function of sick leave management and tracking should be the responsibility of the Human Resource Department. The use of sick leave is often inconsistent since some department heads and supervisors may be more or less rigorous in administering sick leave policies. The Human Resource Director should participate in the review of sick leave patterns (such as period or frequent absences on Mondays and Fridays). The Human Resource Director should also communicate findings with the appropriate department heads and attempt to solve any problems.

The principal purpose of a sick leave oversight program is to enhance productivity and to identify and assist any employee with personal and professional problems. CitiStat, TLM and other computerization of city functions should provide the platform for HR to develop such a tracking/monitoring system.

The City should also consider developing a sick leave bank which would allow employees to contribute sick days to the bank of a fellow employee. The City has already done some research on this and found that many other communities have such a program, primarily driven by the unions.

16.4 Expected Benefits

- ✚ Reduced health insurance costs to the City.
- ✚ Reduced costs to the City in other insurances such as life, dental, disability.
- ✚ Reduced use of sick leave.
- ✚ Improve productivity through better attendance.
- ✚ Minimize costs associated with absences.

17 Workers' Compensation

17.1 Overview

Workers' Compensation is a program authorized by State statute which protects an employee who is injured at work. It provides reimbursement to an injured employee (with a legitimate claim) for the cost of medical treatment and rehabilitation programs as well as a percentage of his or her salary while absent from the job.

Police and fire personnel have their own form of Workers' Compensation referred to as Injured-On-Duty (IOD), authorized by State statutes. They may be reimbursed for reasonable medical expenses for injuries while on duty and be granted full pay for the period of their incapacities.

17.2 Findings

Workers' Compensation is currently outsourced to a vendor to manage all Workers' Compensation processes. The Human Resource Director has limited involvement in Workers' Compensation issues because of the outsourcing.

There seems to be administrative issues regarding the Workers' Compensation claims and approvals by the City. For example, in a recent CitiStat report there was a question that needed to be resolved regarding an employee's claim, and the human resource staff did not have the necessary answers.

Same holds true for Injured-On-Duty, the Human Resource Department does not perform administrative monitoring of IOD for police and fire. During fiscal year 2008, the cost of IOD, including fire, police, fire retirees, and police retirees was \$880,702; almost half of that amount was for police retirees. For this fiscal year, as of January 2009, it was already at \$220,082 for police retirees. The City is spending almost \$1M per year on IOD claims and retirements. The City Solicitor's Office handles legal and some administrative matters regarding Workers' Compensation and IOD.

In general, there seems to be a high occurrence of disability retirements in the City. It is unknown as to why there are so many, about 30 - 50 per year. Many of these could have been avoided with prevention measures or better communication.

17.3 Recommendations

For both Workers' Compensation and IOD there are gaps that the City needs to fill immediately:

1. Improve communication – There is not enough information given to employees about the Workers' Compensation program.
2. Improve management information – The pattern of injuries, their nature, extent, causes, location, provides valuable information to be used in preventing future injuries.
3. Claims management – Old claims need to be settled as soon as possible.
4. The City needs to make employee health and safety a high priority. The health and welfare of the employees needs to be a higher priority for the City.

The Human Resource Department needs to fully communicate the Workers' Compensation program to all city personnel; develop comprehensive policies, distribute fact sheets and information, meet with managers and supervisors. Even though Workers' Compensation is outsourced, the Director should still serve as the in-house Workers' Compensation expert and information resource. The Director needs to take a leadership and monitoring role in this area.

The Human Resource Department should assume overall responsibility of Injured-On-Duty programs for the Police and Fire Departments. The Human Resource Director needs to work with the existing personnel assigned to this function in police and fire, and have the authority to: streamline the claims process, institute loss prevention efforts, and decide on the compensability of the claims.

The City has settled many old claims but still needs to settle more. There are several steps the City should take in this regard.

- ✚ Develop a plan to speed the process.
- ✚ Set optimal time frames for settling claims.
- ✚ Work with claim handlers and third-party administrators to resolve open claims.
- ✚ Create tracking schedules during the claims process.
- ✚ Seek counsel as to whether or not to terminate an employee.
- ✚ Seek counsel as to when audits should be used.

17.4 Expected Benefits

- ✚ Increased consciousness about physical fitness and eventually healthier workforce.
- ✚ Increased employee knowledge about benefits, rights, and obligations.
- ✚ Increased accountability of supervisors.
- ✚ Reduced claims.
- ✚ Less disability retirements.

18 Organization and Staffing

18.1 Overview

This chapter considers how an organization’s structure, management and human resources enable it to perform in delivering services both from strategic and tactical views.

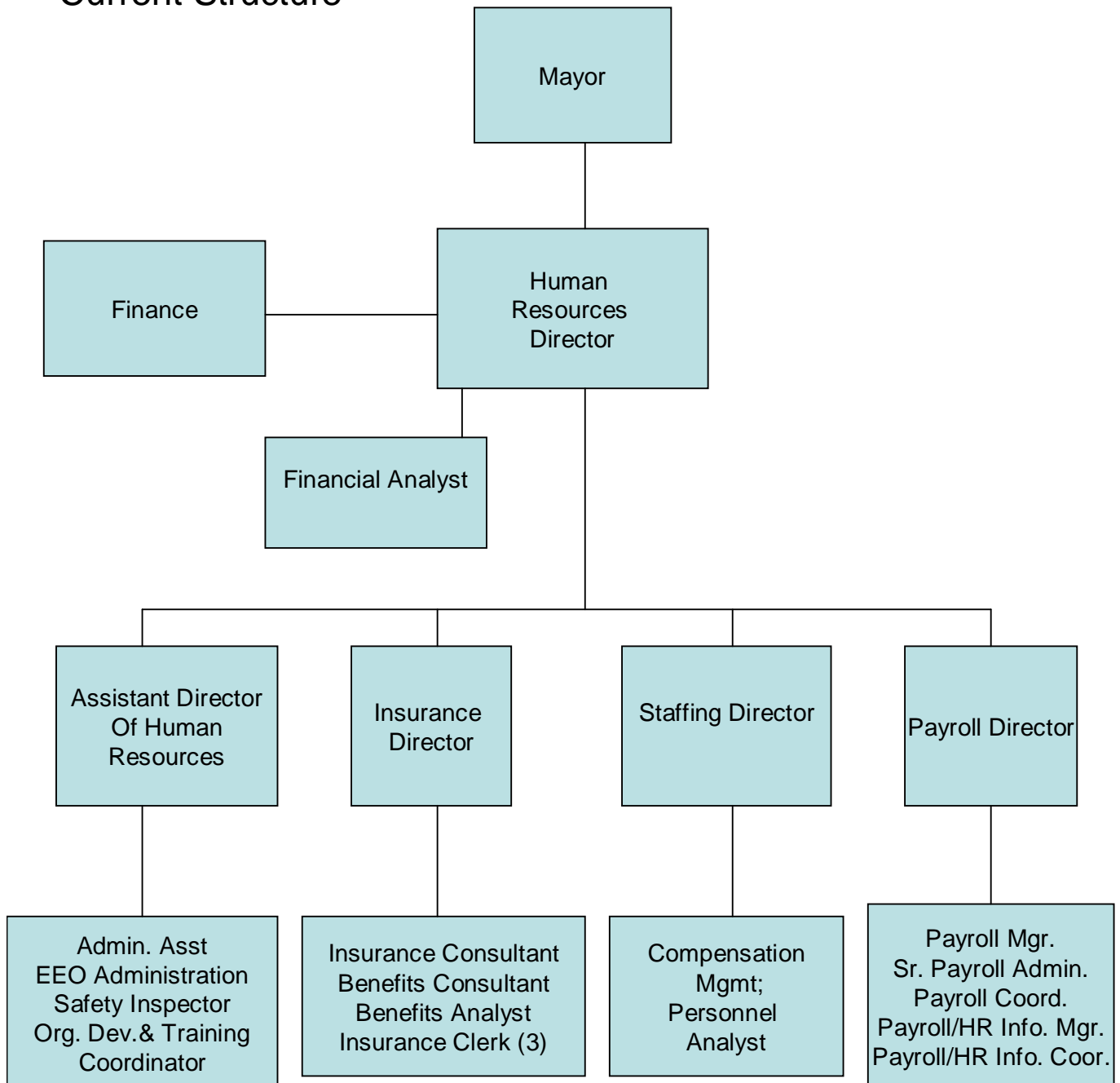
Function	Benchmark for Best Practice	Springfield’s Current Practice
Organization and Staffing	Department responds to City mission and goals. Staffing is appropriate in knowledge, skill, ability, and distribution to department’s functional requirements. Department positioned to pursue new initiatives. Chain of command meets tests of logic and span with active coordination and oversight. Effective communication between management and staff, and among staff. Employees in different functional areas are cross-trained to coordinate all activities on an on-going basis. Outsourcing is evaluated as strategic or tactical alternative.	Department has not been fully responsive to the City’s mission and goals. Staffing is not appropriate in knowledge, skill, ability, and distribution to department’s functional requirements. Department is positioned to pursue new initiatives. Chain of command does not meet tests of logic and span with active coordination and oversight. There is not enough effective communication between management and staff, and among staff. Employees in different functional areas are not cross-trained. Outsourcing is evaluated as strategic or tactical alternative.

18.2 Findings

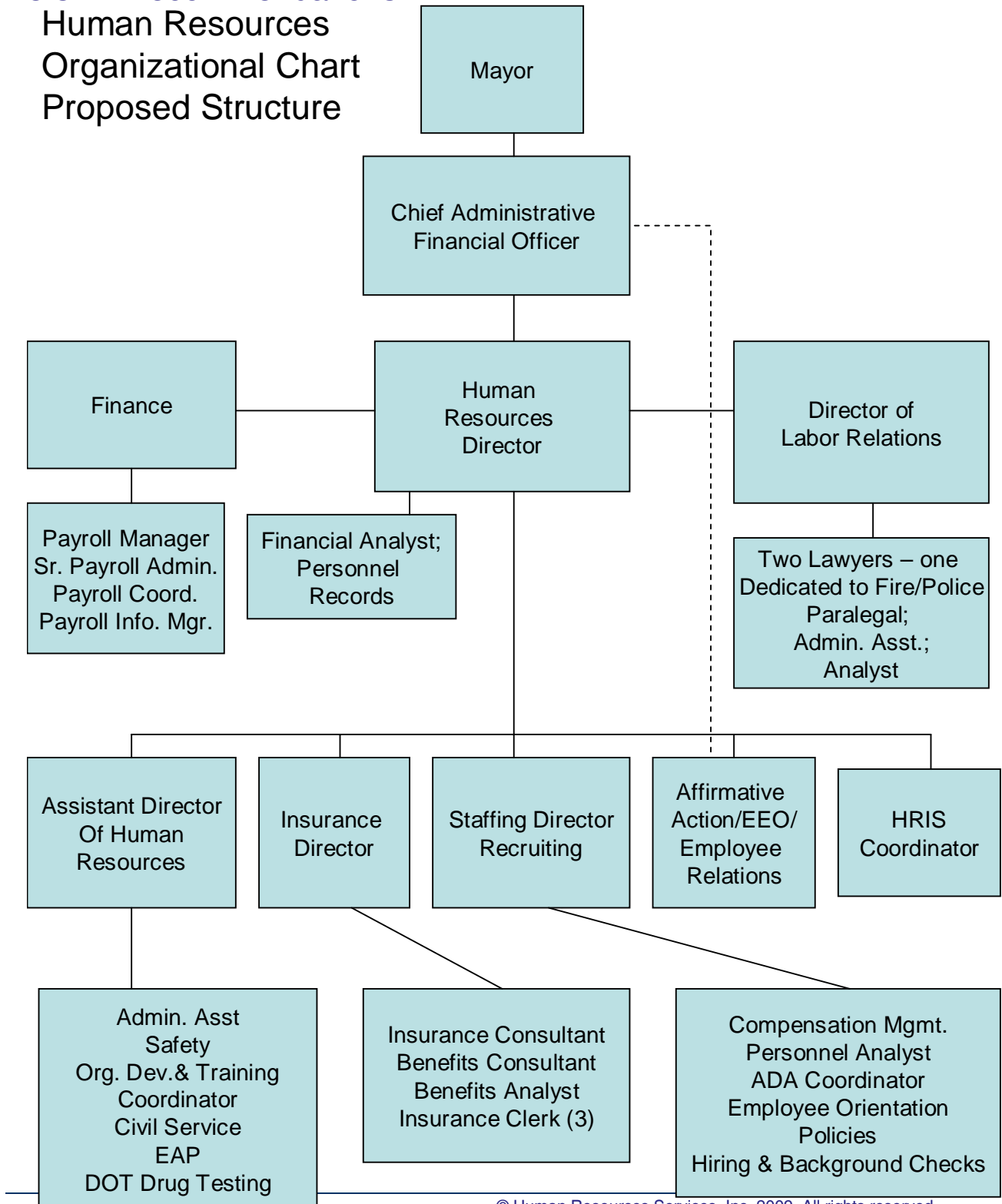
The Human Resource Director currently reports directly to the Mayor. While the physical office(s) and location of the Human Resource Department and its staff seems centralized with sufficient office space on the bottom floor of City Hall, the contrary is true with many of the department’s functions decentralized. Too many activities of human resources have become decentralized, certain hiring and employment processes, development of job descriptions, personnel records, policies, workers’ compensation, ADA, FMLA, are just a few.

The complete payroll operations and staff for the City fall under the Human Resource Department, which is somewhat unusual for local government organizations in Massachusetts. There are approximately 20 employees who work in the Human Resource Department. Below is an illustration of the current departmental organizational structure, and then what follows is our recommended organizational structure for the Human Resource Department. Our recommendations include the recent legislative requirement to create a Chief Administrative Finance Officer who will report directly to the Mayor. (See *charts on next two pages.*)

Human Resources Organizational Chart Current Structure



18.3 Recommendations Human Resources Organizational Chart Proposed Structure



The intent behind the proposed organizational structure illustrated immediately above is to transfer the entire payroll operation from the Human Resource Department to the Finance Department; however, the benefits administration should remain a major function within the Human Resource Department because of its association with employee relations. By moving the payroll operations to finance, this allows human resource functions/positions to be strengthened and realigned within the Human Resource Department, such as Employee Relations, Human Resource Information System, and Workers' Compensation, to mention a few. Another major recommendation is the creation of an in-house Labor Relations Department with a Director and staff who reports to the Chief Administrative Financial Officer. Below is an outline of the functional areas/positions within our proposed organizational chart. *(In Finance, we list only those functions related to our organizational change.)*

Chief Administrative Financial Officer

- # Finance
- # Human Resources
- # Labor Relations

Finance Department

- # Payroll Management
- # Payroll Information Analysis
- # Coordination of Payroll

Human Resource Department

- # Affirmative Action/EEO
- # Americans with Disabilities Act (ADA)
- # Benefits Administration and Insurance
- # Civil Service
- # Compensation and Classification
- # Drug and Alcohol Testing
- # Employee Relations

- # # Employee Assistance Program
- # # Hiring and Employment
- # # Human Resource Information System & Analysis
- # # Organizational Development and Training
- # # Personnel Policies
- # # Personnel Records
- # # Safety
- # # Workers' Compensation

Labor Relations Department

- # # Administration of Union Contracts
- # # Administrative
- # # Analysis
- # # Employee Relations
- # # Labor Attorneys
- # # Paralegal

Assistant Director of Human Resources

- # # Administrative Assistant
- # # Civil Service
- # # DOT Drug Testing
- # # EAP
- # # Organizational Development and Training
- # # Safety

Insurance Director

- # # Analysis
- # # Benefits
- # # Clerical
- # # Insurance

Staffing, Recruiting Director

- # # ADA Coordinator
- # # Compensation, Classification and Job Descriptions
- # # Employee Orientation
- # # Hiring and Background Check
- # # Policies

Affirmative Action Officer

- # # Affirmative Action
- # # EEO
- # # Employee Relations

Human Resource Information System Coordinator (HRIS)

- # # Analysis
- # # Computerization
- # # Human Resource Data

Employee Relations functions need to be fully developed in the City. We are moving this function from the Assistant Director of Human Resources to the AA/EEO Officer. A description of the duties needed is described as follows:

Investigates, recommends and resolves employee relation issues. Conducts investigations in the area of sexual harassment, workplace violence, drug/alcohol issues, appropriate computer use, and conflict resolution. Conducts problem evaluations, obtains factual information, interpretation of human resource policies, guidelines and labor laws, and in conjunction with the employee and appropriate management staff, determines recommended resolution and/or form of disciplinary actions as may be appropriate. Mediation, dispute resolution, and training may be involved.

While we have placed this function under the AA/EEO Officer to coordinate on a daily basis, we expect him/her to work closely with the Human Resource Director, CAFO and Labor Relations Director on serious issues as well. Certain employee relations issues may be more appropriate for the labor relations department to handle.

The Human Resource Director should implement a cross-training program as part of the departmental management approach. Cross-training is not just a way to develop an effective team; it is also a valuable benefit to employees. Cross-training provides for a smooth running operation when employees have vacations, sick days and maternity leaves. Employees will benefit from having someone trained to share the load during these times. Cross-training also is a great way to find out strengths of your employees. It helps eliminate boredom of those that want to achieve more. Sometimes skills of employees are overlooked if they are limited to performing the same job over and over.

18.4 Expected Benefits

- ✿ Better organizational alignment of positions and duties.
- ✿ Focus on broader human resource needs.
- ✿ Centralized human resource management.
- ✿ Efficient utilization of staff and resources.
- ✿ Improved management of labor agreements.
- ✿ Better management reporting and information due to computerization.
- ✿ Overall better communication.
- ✿ Ability to resolve employee relations issues before they become lawsuits.

19 Critical HR Development Needs

Critical development needs are required by the Human Resource Department’s employees and management staff. This was revealed to the Consultant Team based on the responses of participants in interviews in the study, city cabinet and department heads, employees, officials, control board staff; and through the HR department itself (management and employees); also, through the evaluation of employee surveys and the review of CitiStat documents. At the same time the City’s Human Resource Department faces some very serious challenges based on fiscal constraints, increased mandates from State and Federal government, increased demands from citizens on transparency, and the political culture of city government.

Development Areas:	Needs:
General Department Needs	<ol style="list-style-type: none"> 1. Information Technology 2. Orientation to HR in City
Development Needs for HR Leaders	<ol style="list-style-type: none"> 1. Role of HR as a Partner 2. Succession Planning 3. Workforce Planning Data 4. Leadership Skills
HR Professional Development Needs <i>(includes employees and leaders)</i>	<ol style="list-style-type: none"> 1. Motivating and managing employees 2. Employment law in local government 3. Recruitment strategies 4. Process improvement 5. Group problem solving & decision making 6. Classification and Compensation 7. HR specialty training
HR Support Staff Development Needs	<ol style="list-style-type: none"> 1. Time management 2. Computer skills 3. Career development/personal growth 4. Communication

Recommendations offered for the ongoing development of HR in the City of Springfield are listed below.

- ✿ Develop plans to expand the City's HR role as Partner with all City departments.
- ✿ Identify career paths in the department and HR field.
- ✿ Offer HR related conferences, workshops, and SHRM certifications.
- ✿ Further define the information technology requirements.
- ✿ Provide opportunities for people to develop the skills needed to perform their jobs effectively. (i.e., classes on communication, software applications, customer service) Prioritize and address other critical learning needs.
- ✿ Leadership should attend courses on labor relations, civil service.
- ✿ Strategic development planning training for leadership.

20 Implementation Oversight

Implementation of the Consultant’s recommendations will take a concerted effort by the Mayor, CAFO, HR Director, department heads and employees. Previous chapters contain many issues with specific recommendations which are intended to bring about needed improvements in the operations and management of the human resource function. Some recommendations can be implemented with very little effort; some will require significant planning and coordination. Springfield officials must ultimately decide which recommendations to implement first and how quickly.

The Consultant Team believes that all recommendations are a high priority. Of course, the most important recommendation is the reorganization of the Human Resource Department. Many of the recommendations in this report cannot be achieved unless the reorganization occurs. While this report recommends a variety of personnel and human resource enhancements, we believe the following ten priorities are the most critical to the City’s human resource system. The ten priority issues that follow should be acted on immediately.

Priority	Issue	Target Date
CAFO	Create Chief Administrative Financial Officer who will oversee Finance, Human Resources and Labor Relations. Implement new organizational chart and job descriptions for new key positions.	Have CAFO on board by June 2009.
Labor Relations	Create Labor Relations Director position and department. In-house labor department needs to be up and running as soon as possible.	Have Labor Relations Director on board by June 2009.
Affirmative Action	There is a need for an updated Affirmative Action Plan and Program. City needs to address affirmative action target and requirements. Mayor should develop a diversity team for employment practices.	Complete Affirmative Action Plan by August 2009. Develop diversity team by August 2009.

Priority	Issue	Target Date
Personnel Policies	Ensure that all personnel policies are revised and updated as soon as possible.	Complete update of policies by May 2009.
Payroll	Move the payroll operations from HR department to Finance department. This will free-up the HR department to do more HR management related functions.	Reorganize by June 2009.
Hiring Process	Better hiring process must be in place. HR needs to be more engaged in the hiring process as soon as possible. Streamlined process for hiring seasonal employees.	Update process for hiring seasonal employees by May 2009. Update entire hiring process by August 2009.
Civil Service	Immediately computerize civil service lists and records. The paperwork needs to be processed in an efficient and computerized manner.	Computerize civil service lists and records by August 2009.
Personnel Records	Personnel Records need to be centralized and properly maintained and updated. Develop internal operational procedures to keep files up to date at all times.	Immediately begin process of updating personnel files. This may take several months to complete.
Sexual Harassment	Regular city-wide training program in sexual harassment is needed. Training in this area is very important.	Begin training in July 2009.
Comp/Class	Develop a city-wide compensation and classification plan and system including updating all job descriptions. Job descriptions should be ADA compliant. This will assist with ADA requirements.	Go out to bid by September 2009. Have consulting firm selected by November 2009. Allow 6-7 months for study.

The City of Springfield needs to make Human Resource Management a major focus. To increase the ability for total implementation of the recommendations within this comprehensive report, the Consultant Team recommends that the City establish a *Human Resource Oversight Committee* explicitly for the implementation of this report. We predict that it may take up to two years for all recommendations to be implemented successfully.

The *Human Resource Oversight Committee*, composed of volunteers, would be made up of HR leaders in the local business community, universities, and interested human resource directors from other municipalities in the region. Their charge would be for two years to oversee the implementation of this report and its human resource agenda only. The *Human Resource Oversight Committee* would help chart a course of action which will assist policy, managerial and administrative decision makers in all human resource operations for the entire City.

The vision of making Springfield's human resource operations more efficient is well worth additional thought and a phased implementation over two years. A methodical problem-solving approach should be taken and initiated relatively soon to carefully define who could serve on this volunteer committee. This committee should not serve in an authoritarian manner, but rather as a "supportive coach" to the Human Resource Department and the City.

Appendices

1. Summary of External Survey of Comparable Communities
2. Survey Instrument for Internal Survey
3. Survey Instrument for External Survey
4. Proposed Descriptions for new key positions
 - Director of Labor Relations
 - Chief Administrative Financial Officer
 - Human Resource Information System (HRIS) Coordinator

**City of Springfield, MA
Personnel Management Survey
Summary of External Responses**

1. Position titles in the **HR/Personnel Department** and the supervisor's title position title:

LOWELL, MA		
POSITION TITLE	SUPERVISOR TITLE	FUNCTIONS PERFORMED:
Human Relations Manager	City Manager	Oversight and management of Health Insurance and Employee Benefits; responsible for Labor Relations, CBA Administration, Contract Negotiations and Bargaining; designs and implements city-wide policy directives; employee communications; provides hiring, payroll and employee performance management guidance to other departments.
Assistant Human Relations Manager	Human Relations Manager	Assists department head as necessary; responsible for interdepartmental coordination and internal tracking of all disciplinary cases, FLMA, ADA accommodation requests and formal EAP Referrals; oversees and directs administration of employee health insurance; performs payroll and general office supervisory functions.
Benefits Coordinator	Human Relations Manager	Responsible for the administration of Health/Dental/Life Insurance; coordinates COBRA compliance, open enrollment, wellness programs, employee health fair, benefits fair; performs consults with new Retirees and new hires; ensures employee resolution of health insurance claims issues.
Human Relations Assistant	Human Relations Manager/Asst. HR Manager	Clerical/Administrative duties; responsible for administrative coordination of training classes, hiring process; assists with benefits administration, new health enrollments, unemployment tracking, purchasing and all accounts payable activities.

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MANCHESTER, CT		
POSITION TITLE	SUPERVISOR TITLE	FUNCTIONS PERFORMED:
HR Director/Director of Administrative Services	General Manager	Under administrative direction of the General Manager, performs responsible administrative work in planning and preparing the annual operating budget of the town and in monitoring its implementation and in performing financial cost input studies on assigned projects. Oversees Human Resources, Budget and Research, Customer Service and Information, Library and Management Analysis with general oversight of other departments or projects as directed.
HR Specialist	HR Director	Responsible for coordinating and implementing recruitment, testing, hiring process, and orientation activities for new employees. Coordinates administrative activities of Town's employee Risk Management program with its services providers, including worker's compensation, claims reporting and history, health insurance coordination, OSHA reports and contact with public and other claimants.
HR Technician (Part time)	HR Director	Performs highly skilled and technical secretarial and administrative work related to Human Resources function.
HR Associate	HR Director	Performs diversified clerical tasks of a confidential nature and provides clerical support to the Human Resources and Citizen Services departments.
NEWTON, MA		
POSITION TITLE	SUPERVISOR TITLE	FUNCTIONS PERFORMED:
HR Director	Mayor/CAO	Oversee all HR functions.
Benefits Manager	HR Director	All benefits and compensation
Employment Manager	HR Director	Responsible for recruitment, orientation, employee relations, investigations of complaints, coaching and counseling for performance improvement, Civil Service hiring.
Workers Comp and	HR Director	Responsible for accepting claim, case

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Safety Manager		management, claims management and transitional duty to full duty for injured employees. Analyses injury trends to develop grants for safety programs. Assists with complicated or long term medical leaves of absence
Training/HRIS/AA Officer	HR Director	Maintains payroll salary tables and deductions through HRIS system, investigates complaints, coordinates training with consultants, keeps EEO data and files reports. Troubleshoots payroll issues, audits FLSA overtime. Civil service issues
Project Manager/Office Manager	HR Director	Supervises two benefits assistants, coordinates all projects and special events
Benefits Assistant/Receptionist	Office Manager	Acts as receptionist and responds to benefits questions, process new hires and terms on the benefits, does COBRA notices, collects payment for COBRA and FMLA, processes health, dental, life and unemployment ins. Payments.
Benefits Assistant/Switchboard	Office Manager	Answers HR telephone, directs calls to appropriate person, process workers comp medical bills, enters workers comp info into database, maintains OSHA log, makes medical appointments, tracks sick leave usage, processes FMLA paperwork, assists with grievances and maintains grievance database and files.
SOMERVILLE, MA		
POSITION TITLE	SUPERVISOR TITLE	FUNCTIONS PERFORMED:
Director of HR	Mayor	Oversees all HR functions.
Assistant Director	Director of HR	Special projects/FMLA/Orientation/Dept. Budget
Benefits Coordinator	Director of HR	Daily administration of health/dental programs
Worker's Comp Manager	Director of HR	Daily administration of Worker's Compensation.
Administrative Assistant	Director of HR	Varied administrative functions
Sr. Clerk	Director of HR	Director's Calendar/Public Safety Hiring process

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WATERBURY, CT		
POSITION TITLE	SUPERVISOR TITLE	FUNCTIONS PERFORMED:
HR Director	Mayor/Civil Service Comm.	Plans, organizes, administers and monitors the personnel, benefits, HRIS, and labor relations functions of the City; provides related consultative services to the Mayor, Department Heads, and City Boards and Commissions.
Sr. HR Generalist	HR Director	Under the general direction of the HR Director, responsible for the development and administration of a total human resources program, including supervision of Human Resources professionals, position classification, recruitment and selection, training and development, employee relations, labor relations, and special projects.
Generalists (two)	Sr. HR Generalist	Under the general direction of the HR Director, responsible for the development and administration of a total human resources program, including position classification, recruitment and selection, training and development, employee relations, labor relations and special projects.
HR Assistants (three)	Sr. HR Generalist	Under the general supervision of the HR Director or designee, performs paraprofessional duties relating to human resource management.
Administrative Support Specialist III	Sr. HR Generalist	Performs a high level of administrative support and/or sub-professional accounting tasks.
Administrative Support Specialist I	Admin. Supp. Spec III	Performs a wide variety of general clerical and/or account keeping functions.
HRIS Analyst	HR Director	Manages and maintains the City's HRIS system.
HRIS Assistant	HRIS Analyst	Performs paraprofessional duties relating to HRIS management.
Benefit Manager	HR Director	Administers all employee benefit plans and retirement programs for both active employee and retirees.
Benefit Analyst	Benefit Manager	Supervises the daily administration of pension and employee benefit programs.
Benefit Assistant	Benefit Analyst	Processes requests for retirement,

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(two)		coverage and changes under medical and other benefit plans; communicates with employees regarding benefit programs, provides internal and external support for benefit related projects and initiatives to ensure accurate administration and recordkeeping for all programs.
BOSTON, MA		
POSITION TITLE	SUPERVISOR TITLE	FUNCTIONS PERFORMED:
Supervisor of Personnel		<i>(See organizational charts attached.)</i>
Alcoholism Coordinator		
Personnel Assistant		
Supervisor Management Services		
Multiple Administrative Asst.		
Administrative Sec.		
Employee Services Representative		
Claims Investigator (Unemployment)		
Sr. Adm. Asst.		
Head Clerk and Sec.		
Assistant Director (HR)		
Head Clerk		
Health Insurance Coordinator		
Head Account Clerk		
Workmen's Compensation Agent		
Principal Clerk		
Supervising Claims Agent		
Sr. Adm. Asst. (multiple)		
Prin. Adm. Asst. (multiple)		
Executive Asst.		
Asst. Corp. Counsel		
Employee Dev. Coor.		

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DP Sys. Analyst		
Utilization Review Spec.		
Internship & Fellowship recruiter		
Personnel Analyst		
Affirmative Action Monitor		
Admin. Secretary		
NEW HAVEN, CT		
POSITION TITLE	SUPERVISOR TITLE	FUNCTIONS PERFORMED:
Senior Personnel Analyst	Personnel Director	Performance or supervision of important personnel activities such as examinations, recruitment and classification.
Research Associate	Personnel Director	Work involves research, analysis, reporting, and assisting in the development of best practices programs, methodologies and assessment tools for the improvement or addition to existing human resource practices.
Personnel Director	Director of Organizational Development	Administrative work in directing and coordinating the personnel program of the City. Develops, implements, and administers the personnel program including recruitment, selection, position classification, and pay activities.
Executive Admin. Assistant to Human Resources	Director of Organizational Development	Administrative tasks, as well as secretarial tasks requiring independent action and judgment.
Director of Organizational Development	Chief Administrative Officer	Responsibility for the development and management of a modern municipal personnel program, including recruitment, examination, classification, compensation, training, and related responsibilities required.

2. Annual Budget for HR/Personnel Department, including payroll for the department only and other department related expenses:

CITY/TOWN	Annual Budget for HR/Personnel*
Waterbury, CT	\$953,968
Lowell, MA	\$189,000 (does not include expenses related to unemployment, workers comp or health insurance)

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Manchester, CT	\$553,756
Newton, MA	\$1,416,981
Somerville, MA	
Boston, MA	\$3,341,622
New Haven, CT	\$1,057,574

* includes payroll and other department related expenses

3. Please list the position titles in the **Payroll Department**, the supervisor's title and the corresponding functions that relate to each position title:

LOWELL, MA		
POSITION TITLE	SUPERVISOR TITLE	FUNCTIONS PERFORMED:
City Auditor	City Council/City Manager	
Payroll Manager	City Auditor	
Financial Specialist/Payroll	City Auditor & Payroll Manager	
MANCHESTER, CT		
POSITION TITLE	SUPERVISOR TITLE	FUNCTIONS PERFORMED:
Account Associate	Payroll Coordinator	Performs a variety of accounting tasks, including maintenance of accounts and preparation of reports.
Payroll Coordinator	Accounting Manager	Responsible for supervision and preparation of payrolls; the maintenance of related records for all Town employees except those of the Board of Education; preparation of a variety of reports; and audit expenditures under any supplementary employment grant program.
NEWTON, MA		
POSITION TITLE	SUPERVISOR TITLE	FUNCTIONS PERFORMED:
No payroll department.		
SOMERVILLE, MA		
POSITION TITLE	SUPERVISOR TITLE	FUNCTIONS PERFORMED:
Manager	Director of Finance	Payroll processing.
Payroll Clerks (2)	Payroll Manager	Assist in processing.

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WATERBURY, CT		
POSITION TITLE	SUPERVISOR TITLE	FUNCTIONS PERFORMED:
Payroll Manager	Finance Director	Managerial work associated with the management and processing of City and BOE employees' payrolls and related fringe benefits.
Payroll Supervisor (2)	Payroll Manager	Directs and supervises all activities of the payroll section.
Payroll Clerks (6)	Payroll Supervisor	Collects and maintains wage and withholding information, and compiles payroll data using computer software, to produce paychecks, wage attachments and checks for other employee services.
NEW HAVEN, CT		
POSITION TITLE	SUPERVISOR TITLE	FUNCTIONS PERFORMED:
Payroll/Benefit Supervisor	Controller	Supervision of a moderate sized staff who are involved in providing payments and benefits to municipal employees from all city departments, agencies and related organizational units and funds for pay related compensation, fringe benefits, pension, and other related benefits.
Payroll/Benefit Auditor	Payroll Supervisor	Responsibility for performing routine or detailed analysis, counseling of employees on the provisions and application of the City's retirement systems or other benefit systems and auditing of City departments or other agencies' payroll records.
Data Control	Payroll	Data terminal entry activities and varied clerical duties.
Management Analyst IV	Payroll Supervisor	Administration and coordination of a variety of programs of the department, and for carrying out a wide variety of assignments calling for analytical thinking.

4. If the Payroll department is not part of the HR/Personnel Department, what department is it in?

- Lowell, MA: City Auditor's Department
- Manchester, CT: Accounting Department
- Newton, MA: Each department has a payroll supervisor. HR maintains and handles any issues during the payroll process.
- Somerville, MA: Finance Department
- Waterbury, CT: Finance Department
- Boston, MA: Labor Department
- New Haven, CT: Finance

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5. Do you have a Labor Relations Department?

- Lowell, MA: No; Attorneys from the City Solicitor's office handle Labor Relations in collaboration with the Human Relations Office.
- Manchester, CT: No
- Newton, MA: No; The CAO and HR Director are responsible for Labor Relations. The CAO is the Chief negotiator with significant input from the HR director. HR director handles all grievances and arbitrations, other issues that come up between contracts. The City Solicitor's office provides an attorney to assist with Civil Service claims. All other labor issues are contracted to a private law firm specializing in Labor Relations. Newton spends about \$200,000 per year on Labor Counsel.
- Somerville, MA: Yes; it part of City Solicitor's office. The title of the person is "Chief Labor Counsel". The perform negotiations.
- Waterbury, CT: HR Director and Sr. Generalist perform these functions
- Boston, MA: Yes, it is a separate department.
- New Haven, CT: Yes, it is a separate department

6. Who does the Affirmative Action/EEO report to?

- Lowell, MA: Human Relations Office
- Manchester, CT: Human Relations Commission
- Newton, MA: HR Director
- Somerville, MA: Director of HR
- Waterbury, CT:
- Boston, MA:
- New Haven, CT: Director of Organizational Development

7. Does your city have an ADA Coordinator?

- Lowell, MA: Yes, in the Human Relations Office. The ADA Coordinator reports to the City Manager
- Manchester, CT: No
- Newton, MA: Yes, in the Health and Human Services Department. The ADA Coordinator reports to the Commissioner of Public Health
- Somerville, MA: Yes, in Human Resources. The ADA Coordinator reports to the Mayor's Office.
- Waterbury, CT: Yes, the HR Director and Sr. Generalist perform these functions
- Boston, MA:
- New Haven, CT: Yes, Services to Persons with Disabilities. Reports to Corporation Counsel

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8. What policy measures do you have in place to prevent ADA problems such as law suits (feel free to attach any related town policies)?

Lowell, MA: General ADA Policy that is printed in new employee packets that are issued upon hire. The policy will be updated in the coming year, particularly in light of recent changes to ADA and new guidance and forms that are available.

Manchester, CT: They post an ADA notice. The notice contains information regarding how to contact the ADA Compliance Coordinator with questions, concerns, complaints or requests for information.

Newton, MA: Harassment Prevention Policy, AA statement and ADA policy

Somerville, MA: Appeal process; Complaint form

Waterbury, CT: N/A

Boston, MA:

New Haven, CT: ADA Disability Policy Statement and Administrative Procedures, ADA Disability Accommodation Request Policy and Procedure

***City of Boston has supplied organizational charts for human resources department and labor relations department.

Appendix 2
**CITY OF SPRINGFIELD, MASSACHUSETTS
PERSONNEL MANAGEMENT SURVEY**

(This confidential questionnaire is designed to be completed by department heads.)

Please return this confidential questionnaire by February 18, 2009 directly to:

Sandy Stapczynski, Management Consultant
Human Resources Services, Inc.
9 Bartlet Street, #186
Andover, MA 01810

Or you may fax or email to her at:

Fax: 978-475-7925

Email: hrcsconsulting@comcast.net

DEPARTMENT:

NAME OF PERSON COMPLETING THE QUESTIONNAIRE:

TITLE:

TELEPHONE NUMBER:

EMAIL:

1. Who is the appointing authority of employees in your department?
2. Does your department maintain any personnel records?
If yes, please describe the type of records maintained.
3. Does your department have job descriptions for all employees in your department?
Do they list the ADA physical requirements?
4. Are you satisfied with the job descriptions?
If you are not satisfied with the existing job descriptions please state the reasons for your dissatisfactions.
5. Is your department subject to civil service coverage?
Please list groups of employees that are categorized under civil service for your department.

Appendix 2

How many employees are not civil service? Explain.

Please explain the type of civil service coverage in your department. (i.e. provisional, permanent, part-time, delegated service, etc.)

How does the personnel department work with your department and/or HRD on civil service matters? (hiring, promotions, discipline, termination).

6. How does your department recruit for employees?
Are vacancies posted?
Are vacancies advertised in the newspaper?
Are job descriptions or standards developed for vacancies before the job vacancies are advertised?

7. What is the role of the Affirmative Action/EEO Officer in the recruitment process?

8. Is there a designated person an employee can talk to regarding human relations matters?
Who is that person?

9. What is the process for selecting new employees?
Who reviews resumes or applications?
Who makes the final decision to employ a particular person?
Does anyone have to approve this hiring decision? If so, who?

10. Does your department or the City have a formal orientation program for new employees?
If yes, who conducts the program? What materials are given out (policy handbook, etc.)

Appendix 2

11. What is the administrative process with new hires regarding internal employment documentations, personnel transactions such as signing up for health insurance, etc?
Who is the person that handles all of this?

12. Do you have a probationary period for new employees?

13. What criteria are used for promotions?

14. If employees have a question on benefits, is there a person that can be contacted to answer the questions?
If yes, who is that person and where do they work?

15. Does the City or your department have a written disciplinary policy which indicates reason for disciplinary action and the procedures to follow when disciplining an employee?
If yes, please attach a copy of the policy.

16. Has your department disciplined an employee during the last year?
If yes, for what reason(s)?

17. How does your department monitor time worked by employees? (Do supervisors keep records? Do employees report or sign in? Please describe.)

18. Do you have employees in your department who fall under collective bargaining agreements (union contracts)?

Please list the groups of employees who fall under unions in your department. (i.e. clericals, police, fire, truck drivers, etc.)

Appendix 2

Do you administer the union contracts?

Do you participate in the collective bargaining process for management?

Does the personnel department assist with administering union contracts?

Does the personnel department participate in collective bargaining procedures or handling of grievances?

Please explain?

In general, what are some of the challenges regarding unions?

19. How often does the City provide training sessions for employees in such areas as:

sexual harassment/harassment

diversity

Americans with Disabilities Act

progressive discipline

safety

FLMA

Internet/Email Usage

Ethics

Drug/Alcohol Abuse

20. Please indicate below how you feel about each of the following items. Please use the following scale in answering the questions:

5 – Very Satisfied

4 – Satisfied

3 – No Opinion

2 – Dissatisfied

1 – Very Dissatisfied

() recruitment procedures

() appointment procedures

() promotional procedures

() affirmative action policies

() pay and classification system

() benefits administration

() disciplinary procedures

() sexual harassment training and policy

() professional development opportunities

() internal communication

() employee assistance program(s)

() civil service procedures

() job descriptions

() performance system

Appendix 2

- employee safety procedures
- HR management reporting
- HR computerized systems
- ADA training and policy

21. Are there any ways in which the City could improve personnel management practices?
Please describe below.

22. As a department head, what are the particular services that you require from the
personnel department?

23. Please provide any other comments that you feel would be of assistance to the
Consultants? Feel free to add additional pages if necessary.

Survey to gather information on the Human Resources Department Organization and Functions for the City of Springfield, MA

Your City: _____

The City of Springfield would like to gather information regarding your city’s Human Resources Department. Any information that you can provide will be greatly appreciated. In addition to answering the following questions, please send us the organizational charts for the HR/Personnel Department, the Payroll Department and the Labor Relations Department. Feel free to also send us any other related organizational charts and policy documents that you feel may be insightful. Thank you in advance for your assistance.

1. Please list the position titles in the **HR/Personnel Department**, the supervisor’s title and the corresponding functions that relate to each position title:

Position Title:	Supervisor Title:	Functions performed:

2. Please provide the annual budget for the HR/Personnel Department, including payroll for this department only and other department related expenses.

3. Please list the position titles in the **Payroll Department**, the supervisor’s title and the corresponding functions that relate to each position title:

Position Title:	Supervisor Title:	Functions performed:

4. If the Payroll department is not part of the HR/Personnel Department, what department is it in? _____

5. Do you have a Labor Relations Department? _____

6. If yes, is this part of the city solicitor’s office, or is Labor Relations a separate Department? _____

DIRECTOR OF LABOR RELATIONS

Position Purpose:

Under the direction of the Chief Administrative Financial Officer performs professional, administrative and supervisory work of a complex and technical nature in directing the City's Labor Relations Department. Serving as chief negotiator for the City, the Director oversees all contract bargaining, interpretation, application, and compliance with relevant laws, policies, and rules. Formulates labor policy, negotiates collective bargaining agreements and coordinates grievance procedures and complaints resulting from disputes with unionized employees. Prepares recommendations and advises officials on fostering and promoting harmonious labor-management relations regarding contract proposals, language and economic terms. Collaborates with the Director of Human Resources, other managers and members of their staff on all aspects of personnel policy ranged from wages, benefits, pensions, to work practices; all other related work as required.

Supervision:

Supervision Scope: Performs complex and highly responsible duties using considerable latitude and the use of extensive judgment in managing a wide range of labor relations and negotiations processes, and in the direction of personnel; incumbent works independently under broad organizational guidelines to achieve management objectives.

Supervision Received: Works under the administrative direction of the Chief Administrative Financial Officer and in accordance with applicable Massachusetts General Laws, city policies, bylaws and relevant state, federal, and local regulations and standards with considerable latitude for independent judgment and action. Assumes responsibility for developing and achieving the department goals and objectives. Questions are referred to supervisor only when clarification of operating policies and procedures is needed.

Supervision Given: Directly and indirectly supervises all department employees. Participates in the hiring process, develops job direction, assigns tasks and instructions, and monitors personnel performance evaluation.

Job Environment:

Work is generally performed under typical office conditions. Required to work outside of normal business hours and attend frequent evening meetings.

Operates automobile, computer, telephone, and other standard office equipment.

Makes frequent and direct contact with city officials, cabinet heads and departmental managers, members of collective bargaining units, local, state, regional and federal agencies and officials, the media, community leaders, and city employees. Contacts are in person, by telephone, in writing and via internet. Contacts require considerable persuasiveness, resourcefulness, discretion, and negotiating skills to influence the decisions and behavior of other parties. Contacts involve attendance at various meetings.

Has access to a wide variety of department-related and town-wide confidential information.

Errors could result in significant confusion and delay, loss of city services, and have far-reaching town-wide legal and financial repercussions.

Essential Functions:

(The essential functions or duties listed below are intended only as illustrations of the various types of work that may be performed. The omission of specific statements of duties does not exclude them from the position if the work is similar, related or a logical assignment to the position.)

Plans, implements, directs and maintains the City's negotiations, labor relations and contract management.

Develops and implements employee relations policies and practices to improve and enhance City departmental operations and communications.

Evaluates and analyzes contracts and agreements and makes recommendations for insuring compliance with city, state, and/or federal regulations, and intent, spirit and terms of contracts. Administers provisions of labor agreements to insure a fair and positive relationship with various labor unions.

Investigates grievances. Serves as Hearing Officer for grievances processes and represents the City's interest in resolving grievance issues.

Advises management and union officials in development, application, and interpretation of labor relations policies and practices according to policy.

Represents the City before various state and federal boards, commissions and agencies including Human Resources Division and Labor Relations Commission

Manages, day-to-day operations; implements rules, regulations, policies and procedures for effective departmental operations and in accordance with city objectives. Selects and supervises departmental personnel. Responsible for departmental evaluation and termination.

Prepares annual departmental goals and operating budget for department.

Prepares statistical reports, using records of action taken concerning grievances, arbitration and mediation cases and related labor relations activities to identify problem areas.

Responds to and handles all MCAD complaints and filings.

Furnishes information such as labor legislation, labor market conditions, prevailing union and management practices, wage and salary surveys, for use in review of current contract provisions and proposed changes.

Participates in meetings, seminars, conferences, hearings, for the purpose of conveying and gathering information regarding a wide variety of subjects required to carry out administrative responsibilities.

Monitors personnel policies for the purpose of ensuring conformance to relevant agreements particularly wages, hours, and working conditions as well as compliance with federal and state laws.

Collaborates and provides assistance to city officials, administrators and managers regarding contract interpretations and evaluation of staff for the purpose of ensuring compliance with established practices and regulations, negotiations procedures and related legal requirements. Identifies relevant issues and recommends or implements remediation plans.

Prepare a wide variety of materials in written and electronic formats (e.g. reports, memos, letters, policies, presentations, etc) for the purpose of documenting activities, providing written reference and/or conveying information. Writes directives advising department managers of city policy regarding equal employment opportunities, compensation, and employee benefits.

Researches information for the purpose of providing additional information and/or recommendations to address a variety of labor relations and negotiation requirements. Analyzes wage and salary reports and data to determine competitive compensation plan. Studies legislation, arbitration decisions and collective bargaining contracts to assess municipal employer trends.

Writes and delivers presentations to city officials or other staff regarding city labor relations policies and practices.

Engages special counsel as needed.

Maintains current knowledge of state and local statutes, ordinances, state and federal reporting requirements.

Regular attendance at the work place is required.

Performs similar or related work as required, directed or as situation dictates.

Recommended Minimum Qualifications:

Education, Training and Experience:

Master's degree in public administration with an emphasis in labor relations and urban management; Law Degree from an accredited law school and a member of the Massachusetts Bar Association is highly preferred; ten years of progressively responsible related experience; some training and experience in public personnel management; experience in municipal labor relations is highly preferred; or any equivalent combination of education, training, and experience.

Special Requirements:

Valid Massachusetts Driver's License. City of Springfield Residency Required. Massachusetts Bar Association, preferred. Notary Public Status helpful.

Knowledge, Ability and Skill:

Knowledge: Thorough knowledge of the principles, practices, regulations, and applicable Federal and State laws relating to labor relations and personnel administration in the public sector. Practical knowledge of city management and the mandates affecting labor relations in local government. Thorough knowledge of the philosophies, principles, practices, and procedures of departments' administration in a large city. Practical knowledge of administrative, managerial and supervisory practices and techniques. Thorough knowledge of federal, state and local laws, rules and regulations governing various municipal departments in Massachusetts. Knowledge of legal and legislative practices in Massachusetts. Thorough knowledge and expertise in emerging and changing issues in labor relations matters in Massachusetts.

Ability: Ability to interact in a positive and effective manner with personnel at all levels of authority. Ability to demonstrate objectivity, sensitivity, and a balanced perspective regarding employee concerns and organizational expectations. Ability to communicate clearly and concisely, in writing and orally. Ability to maintain accurate and detailed records. Ability to prepare and analyze comprehensive reports. Ability to interpret and analyze legal materials and union contracts.

Skill: Strong skills and experience in negotiating with unions, working with employee grievances, and handling arbitration matters. Considerable interpersonal skills; good public relations skills. Skill in operating PC computer and popular applications in word processing, spreadsheet, database, presentation, internet, and graphics.

Physical Requirements:

The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.

Operates a variety of automated office machines. Must be able to exert a negligible amount of force frequently to lift, carry, push, pull or otherwise move objects. Physical requirements are consistent with those for sedentary work, which involves sitting most of the time, but may involve walking or standing for periods of time. Certain tasks, such as attending hearings, requires the ability to speak and hear. Must be able to communicate via telephone. Vision abilities in normal ranges to operate a motor vehicle.

(This job description does not constitute an employment agreement between the employer and employee and is subject to change by the employer as the needs of the employer and requirements of the job change.)

CHIEF ADMINISTRATIVE FINANCIAL OFFICER

Position Purpose:

Under the direction of the Mayor, coordinates, administers and supervises all financial services and activities and assists in all matters related to the City's financial affairs. Implements and maintains uniform systems, controls, and procedures for all financial activities in all departments, including the school department, boards, commissions, agencies or other units of city government operations of which have a financial impact upon the general fund and enterprise funds of the city, and including, but not limited to, maintaining of all financial and accounting data and records; all other related work as required

Supervision:

Supervision Scope: Performs complex and highly responsible executive duties requiring a high level of initiative and independent judgment in the planning, administration and execution of the city's financial programs and services, and in the direction of personnel; incumbent works independently in formulating decisions regarding department policies, procedures, operations and plans.

Supervision Received: Works under the policy direction of the Mayor and the City Council and in accordance with applicable Massachusetts General Laws, city policies, bylaws and relevant state, federal, and local regulations and standards with considerable latitude for independent judgment and action. Assumes responsibility for developing and achieving the department goals and objectives. Questions are referred to supervisor only when clarification of operating policies and procedures is needed.

Supervision Given: Has broad supervisory responsibility including the following: board of assessors, treasurer/collector, budget director, comptroller, director of information technology, director of purchasing, director of human resources, labor relations director, director of capital asset construction and employees performing similar duties but with different titles.

Job Environment:

Work is generally performed under typical office conditions. Required to work outside of normal business hours and attend frequent evening meetings. May be contacted at home at any time to respond to important situations and emergencies. Incumbent is required to attend numerous meetings with various city boards and committees and is expected to attend events to represent the city's financial interests.

Operates computer, telephone, and other standard office equipment.

Makes frequent and direct contact with local, state, regional and federal agencies and officials, the media, community leaders, city employees and department heads, and the general public. Contacts are in person, by telephone, in writing and via internet. Contacts require considerable persuasiveness, resourcefulness, discretion, and negotiating skills to influence the decisions and behavior of other parties. Contacts involve attendance at

meetings and conferences. Incumbent is recognized as a spokesperson for the city on a broad range of financial and administrative matters.

Has access to a wide variety of department-related and city-wide confidential information.

Errors could result in significant confusion and delay, loss of city services, and have far-reaching town-wide financial repercussions; errors could cause exposure for the city to certain serious legal repercussions.

Essential Functions:

(The essential functions or duties listed below are intended only as illustrations of the various types of work that may be performed. The omission of specific statements of duties does not exclude them from the position if the work is similar, related or a logical assignment to the position.)

Coordinates, administers, and supervises all financial services and activities. Assists in all matters related to the City's financial affairs.

Implements and maintains uniform systems, controls, and procedures for all financial activities in all departments, including the school department, boards, commissions, agencies or other units of city government the operations of which have a financial impact upon the general fund and enterprise of the city, and including, but not limited to, maintaining of all financial and accounting data and records.

Implements and maintains uniform financial data processing capabilities for all departments. Supervises all financial data processing activities.

Implements and maintains uniform budget guidelines and procedures. Assists in the development and preparation of all department budgets and spending plans. Reviews the spending plan for each department.

Reviews all proposed contracts and obligations with a term in excess of one year.

Monitors the expenditure of all funds, including periodic reporting by and to appropriate agencies of the status of accounts. Provides for the allotment of funds on a periodic basis in accordance with applicable statutes.

Analyzes financial and economic data and trends; analyzes changes in federal, state, and local laws and regulations that have an economic impact on the city. Prepares recommendations and reports for the Mayor, City Council and others as needed for financial management strategies, plans, policies, and actions.

In all cases where the duty is not expressly charged to any other department or office, the CAFO will promote, secure and preserve the financial interests of the City.

Responsible for reviewing all department budgets and requests for budget transfers for recommendation before submission to the mayor, city council, or school committee. For each proposed city council vote necessary to effectuate a financial transfer, ordinance revision or special legislation which may require the expenditure of funds or otherwise financially obligate the city for a period in excess of one year, or with respect to a vote to authorize borrowing pursuant to a provision of law other than section 4,6 or 6A of chapter 44 of the General Laws, the CAFO shall, as needed, submit in writing to the mayor or city council a certification that, after evaluation, that the city's financial resources and revenues are and will continue to be adequate to support such proposed expenditures or obligations without detrimental impact on the continuous provision of the existing level of municipal services.

Prepares a 4-year financial plan and 5-year capital plan and submits to the mayor and city council annually.

Provides information relating to the operation of the school department held within the control of the CAFO within a reasonable time.

Provides the director of accounts a pro forma tax rate recapitulation for the following fiscal year, as required by section 2 of chapter 169.

Regularly attends numerous evening meetings before a variety of city-wide public boards and committees.

Regular attendance at the work place is required.

Performs similar or related work as required, directed or as situation dictates.

Recommended Minimum Qualifications:

Education, Training and Experience:

Master's degree in public administration, business, finance, or related field; and ten years of progressively responsible related experience including supervisory experience; or any equivalent combination of education and experience.

Knowledge, Ability and Skill:

Knowledge: Thorough knowledge of the principles and practices of public finance, budget management, personnel management, collective bargaining, and intergovernmental relations. Expert knowledge of municipal finance management and all related laws, ordinances, rules, and regulations. Complete working knowledge of computer applications for accounting and financial management.

Ability: Ability to analyze and interpret financial data and to present findings clearly in written and oral form. Ability to recognize city-wide priorities and work cooperatively to support their accomplishment. Ability to conceptualize and to put into operation goals and objectives for the department. Ability to analyze complex issues and to develop relevant and realistic plans, programs and recommendations. Ability to establish and

*Chief Administrative Financial Officer
City of Springfield, MA
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maintain effective and harmonious working relationships with city officials, departments, boards/committees, governmental representatives, and Springfield citizens.. Ability to communicate effectively in written and oral form. Ability to establish and maintain complex financial record keeping systems. Ability to prioritize multiple tasks and deal effectively with interruptions, often under considerable time pressure.

Skill: Skill in computers and appropriate software applications. Aptitude for numbers and details. Excellent organizational, planning, and supervisory skills. Excellent public speaking skills. Decision-making skills. Skill in all of the above listed tools and equipment.

Physical Requirements:

The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.

Employee is regularly required to walk, stand, sit, talk, and hear; uses hands to finger, handle, feel or operate objects, tools, or controls, and reach with hands and arms as in picking up paper, files, and other common office objects. Employee may lift and/or move objects weighing up to 10 pounds such as books, equipment, supplies, etc. Vision and hearing at or correctable to normal ranges.

(This job description does not constitute an employment agreement between the employer and employee is subject to change by the employer as the needs of the employer and requirements of the job change.)

HUMAN RESOURCES INFORMATION SYSTEMS COORDINATOR

Position Purpose:

Under the direction of the Director of Human Resources, works with department managers to coordinate the transfer of HR data for employee human resource information. Performs analytical, technical and administrative functions in the HRIS area; researches, analyzes, designs, tests and maintains systems in support of human resource administration and projects; continually monitors human resource information needs and designs new or modifies existing systems to meet changing needs and requirements; serves as liaison with IT and Finance/Payroll staff; all other related work as required

Supervision:

Supervision Scope: Performs complex and highly responsible duties using considerable latitude and the use of considerable judgment in coordinating the HRIS function.

Supervision Received: Works under the general direction of the Director of Human Resources. Assumes responsibility for developing and achieving the department goals and objectives. Questions are referred to supervisor only when clarification of operating policies and procedures is needed.

Supervision Given: None.

Job Environment:

Work is generally performed under typical office conditions.

Operates automobile, computer, telephone, and other standard office equipment.

Makes frequent contact with departmental managers and city employees. Contacts are in person, by telephone, in writing and via internet. Contacts require considerable persuasiveness and resourcefulness to influence the decisions and behavior of others.

Has access to a department-related confidential information.

Errors could result in significant confusion and delay.

Essential Functions:

(The essential functions or duties listed below are intended only as illustrations of the various types of work that may be performed. The omission of specific statements of duties does not exclude them from the position if the work is similar, related or a logical assignment to the position.)

Recommends and facilitates HR process analysis and re-engineering with an understanding of technical problems and solutions as they relate to the current and future organization environment. Develops improvement to current procedures, performs workflow analysis and

recommends quality improvements, including problem recognition, research, isolation, resolution and follow-up.

Develops HRIS products and identifies, recommends and coordinates customizations.

Develops HR databases, combining data from multiple systems and sources for auditing and analysis purposes; assists in creating data sets for budget forecasting and analysis of labor costs.

Acts as the interface between HR and IT. Assists in establishing systems analysis and priorities in order to provide effective service to all users. Ensures conformance with HR and IT goals and procedures.

Serves as departmental and organizational resource in support of HRIS module implementation, assessment and implementation of other technologies and software and information report design and creation. Responsible for preparing and maintaining HRIS process and procedures documentation.

Develops a variety of standard and custom reports as necessary for City, State and Federal agencies. Implements new programs or existing programs.

Coordinates and administers compensation and premium rate changes in accordance with collective bargaining agreements.

Administers HRIS payroll interface process; develops, updates and revises HRIS training curriculum manuals. Performs HRIS end user training. Maintains updates and revises HRIS training curriculum manuals.

Maintains and modifies HRIS application to meet business needs. Analyzes user requirements as related to software. Ensures the integrity of data by reviewing personnel transaction processing activities of the support staff.

Participates in the evaluation of new and enhanced systems and provides appropriate recommendations as it relates to HRIS functionality or processes.

Assists in software upgrades, evaluates functional changes and their impact on established processes and procedures. Modifies procedures to conform with software upgrades. Coordinates the changes required by all related departments to implement system changes. Documents all activities on the user's change requests and programs/systems changes. Maintains log of all vendor modifications and system changes.

Oversees the operation of the HRIS system and/or related software.

Regular attendance at the work place is required.

Performs similar or related work as required, directed or as situation dictates.

Recommended Minimum Qualifications:

Education, Training and Experience:

Bachelor's degree and four years of professional Human Resources experience, at least two of which must have involved experience managing and maintaining HRIS system.

Knowledge, Ability and Skill:

Knowledge: Knowledge of human resource methods, procedures and operations; knowledge of compensation and benefits administration; knowledge of the concepts and principles of relational databases and desktop computing; working knowledge of the principles, practices and maintenance of HRIS systems.

Ability: Ability to maintain, retrieve, compute and analyze data in a relational database. Ability to train personnel in the use of multiple data information and management systems. Ability to communicate effectively, both orally and in writing. Ability to maintain effective relationships with co-workers.

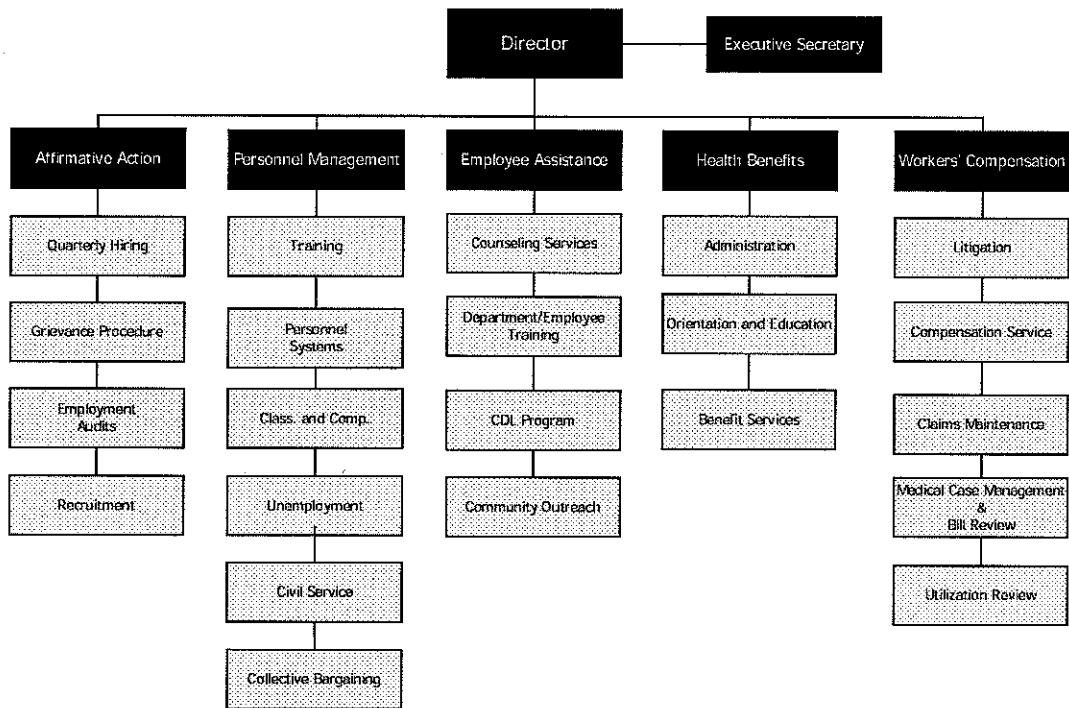
Skill: Skill in computers and appropriate software applications. Excellent organizational skills. Skill in the above listed tools and equipment.

Physical Requirements:

The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions. Operates a variety of automated office machines. Must be able to exert a negligible amount of force frequently to lift, carry, push, pull or otherwise move objects. Physical requirements are consistent with those for sedentary work, which involves sitting most of the time, but may involve walking or standing for periods of time. Must be able to communicate via telephone.

(This job description does not constitute an employment agreement between the employer and employee and is subject to change by the employer as the needs of the employer and requirements of the job change.)

Human Resources Operating Budget



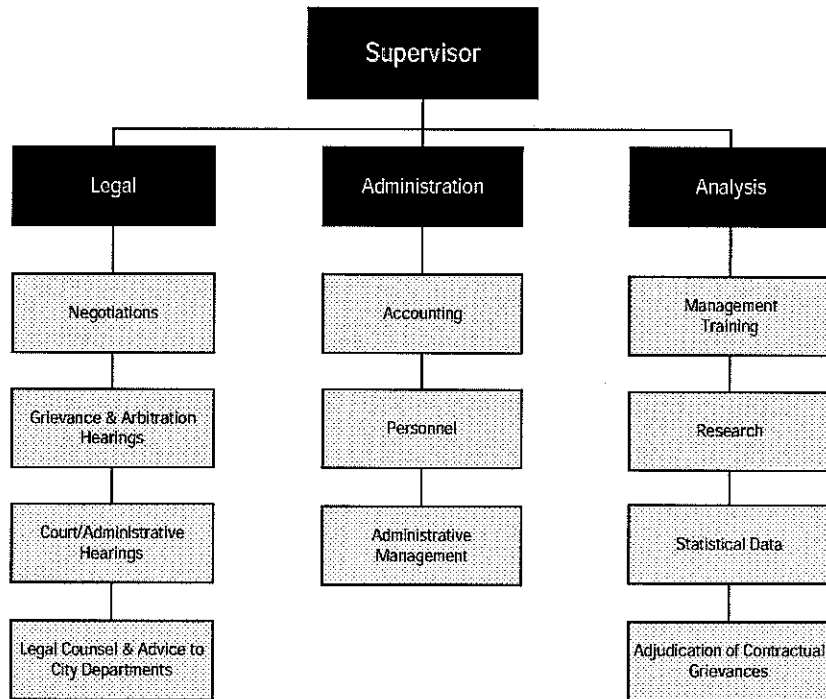
Authorizing Statutes

- Civil Service, M.G.L.A. c. 31.
- Collective Bargaining, M.G.L.A. C. 150E.
- Compensation of Employees; CBC Ord. § 5-5.18; M.G.L.A. c. 41, § 41.
- Employees Subject to Civil Service Laws, CBC St. 5 § 110.
- Duties of Supervisor of Personnel, CBC Ord. § 5-1.6.
- Generally, M.G.L.A. c. 152.
- County Employees Salary Classification, M.G.L.A. c. 35, § 56.
- Third Parties; Subrogation, M.G.L.A. c. 152, § 15.
- Group Insurance Plan to Municipalities, M.G.L.A. c. 32B, §§ 1-19.
- Operation As Self-Insurer, M.G.L.A. c. 152, § 25.
- Second Injury Reimbursement, M.G.L.A. c. 152, § 37.
- Special Fund; Trust Fund; Assessment Base and Rates; Payments; Reports; Audits, M.G.L.A. c. 152, § 65.

Description of Services

Human Resources supplies departments with systems with which to manage hiring, compensation, and promotion. It pursues good labor relations, monitors unemployment benefits, and conducts affirmative action and recruitment programs as well as a full range of training programs. Additionally, the Department operates elements of the City's risk management program including employee assistance and managing attendance. As a direct service to both active and retired employees, the Department provides comprehensive and economical health insurance and life insurance, as well as access to all records.

Labor Relations Operating Budget



Authorizing Statutes

- Duties of Supervisor of Labor Relations, CBC Ord. 5, s. 4.

Description of Services

The Office of Labor Relations represents the Mayor and City departments in all labor relations matters before state and federal courts, state agencies, and in various other forums. The Office is responsible for negotiating and administering collective bargaining agreements with approximately 24 unions covering 7,500 employees. Additionally, the Office advises City managers and supervisors on labor matters regarding policy issues.