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INDIVIDUAL TECHNICAL ASSISTANCE REPORT

In Response to a Request for Technical Assistance

by the

Suffolk County, New York, Police Department

July 12, 1973

NCJRS

NOV 30 1976

ACQUISITIONS

Prepared by:

Public Administration Service
1313 East 60th Street
Chicago, Illinois 60637

(Per Contract J—LEAA—015—72)

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I.   PRELIMINARY INFORMATION

A.   Consultant Assigned:

James B. Douglas
Staff Associate
Public Administration Service

B.   Date Assignment Received:

May 29, 1973

C.   Date of Contact with LEAA Regional Coordinator:

May 31, 1973

D.   Dates of On—Site Consultation:

June 4—15, 1973

E.   Individuals Contacted:

Commissioner E. R. Kelly, Police Department
Inspector D. C. Treder, Planning Bureau
Lieutenant T. Smith, Planning Bureau
Sergeant J. Austin, Planning Bureau
Sergeant R. Horvath, Planning Bureau
Detective R. Farrel, Planning Bureau
K. Eutler, Budget Analyst, Planning Bureau
Captain F. Fernez, Planning Bureau
Lieutenant C. Neis, Planning Bureau
Patrolman B. McNeil, Planning Bureau
D. Buckley, Acting Chief of Personnel, Police Department
Lieutenant A. Prud'Homme, Personnel Division, Police Department
Lieutenant C. Neir, Planning Bureau, Police Department
Detective W. Taylor, Personnel Division, Police Department
L. Velez, Data Processing Center

PART 1
PLANNING BUREAU PROJECT CONTROL

II. PROBLEM IDENTIFICATION

A.   The problem, as stated in the Request for Technical Assistance:

Project Control: Our most critical need is in the area of controlling the projects requested of our Bureau. Presently, requests for services are received via phone calls, inter-office communications, routing slips, and various other sources. They cover a wide range, from interpretation of a rule or policy through requests for new buildings to field testing new equipment. Some formal system for receiving requests for service, controlling their progress and maintaining functional project files must be established.

B.   The problem, as observed:

There are serious project control problems which are related to the lack of any project management system, the lack of clear definition of the term "project," and the lack of clear definitions of the functions, duties, and responsibilities of the Planning Bureau.

A defined project management system is presented in this report, along with a working definition of the term "project." However, determining the responsibilities of the Planning Bureau depends on a total review of staff organization and is beyond the scope of this study. Such a review should be accomplished as a separate technical assistance project.

III. BACKGROUND INFORMATION

The purpose of this Technical Assistance undertaking is to provide the basis for significant improvements in:

1. The existing forms and procedures for project management and control within the Planning Bureau.

2. The utilization of available staff resources within the Planning Bureau in reference to staff and project assignments

To place the identified problem in its appropriate context and to serve as background for the findings and recommendations contained in this report, this chapter presents brief descriptions of:

1. The existing organization and management of the Planning Bureau.

2. The present procedures utilized for the management and control of projects of the Planning Bureau.

Existing Organization

The Planning Bureau was established in 1965 to project future changes, evaluate patrol and investigative techniques, and suggest programs for efficient use of personnel and equipment.

The Bureau is headed by an Inspector who reports to the Police Commissioner. The staff organization is shown in Chart I.

Major program elements of the Planning Bureau include: (1) budget, staffed with one Budget Analyst; (2) data processing, staffed with a Data Processing Liaison Officer; (3) grants management, staffed with a Grants Coordinator; and (4) a unit which handles service requests, administrative support, planning activities, and project assignments, headed by an Executive Officer.

The Executive Officer has prepared a detailed functional organizational chart for the four major program areas under his direction, including: Operations Analysis Section, Research and Development Section, Cartography and Implementation Section, and the Survey Unit. Under these 4 sections, 18 activities are specified. Staffing for these four sections and activities include: two Sergeants, two Patrolmen, and one Detective. It is evident, however, that any adherence to such a program structure is difficult, if not impossible, because too often the service requests do not match such a program structure, work load within the Bureau varies too much, and the capabilities of staff are not always appropriate to such a formalized structure.

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Chart I
PLANNING BUREAU ORGANIZATIONAL CHART
POLICE DEPARTMENT
SUFFOLK COUNTY, NEW YORK
1973

```
                    ┌──────────────────┐
                    │  COMMISSIONER    │
                    │  OF  POLICE      │
                    └──────────────────┘
                             │
                    ┌──────────────────┐
                    │ Planning Bureau  │
                    └──────────────────┘
                             │
   ┌──────────────┬──────────┴─────────┬──────────────────┐
┌──────────┐ ┌──────────┐     ┌──────────────┐    ┌──────────────┐
│  Data    │ │  Budget  │     │ Project and  │    │    Grants    │
│Processing│ │ Analysis │     │Administrative│    │ Coordination │
│ Liaison  │ │          │     │   Support    │    │              │
└──────────┘ └──────────┘     └──────────────┘    └──────────────┘
                                      │
                            ┌─────────┴─────────┐
                      ┌──────────┐        ┌──────────────┐
                      │Operations│        │ Research and │
                      │ Analysis │        │ Development  │
                      └──────────┘        └──────────────┘
                                      │
                            ┌─────────┴─────────┐
                   ┌────────────────┐    ┌──────────┐
                   │Cartography and │    │  Survey  │
                   │Implementation  │    │          │
                   └────────────────┘    └──────────┘
```

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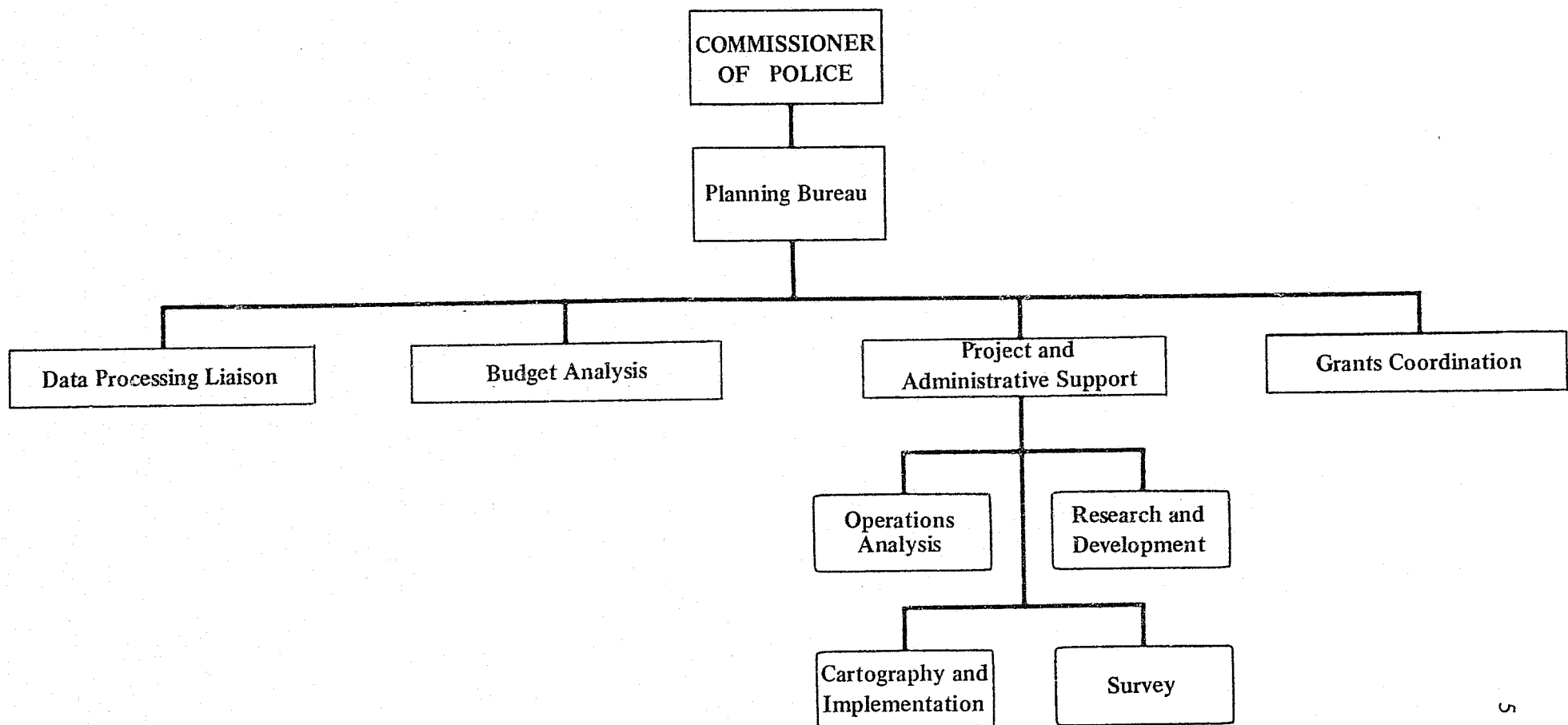
Current Procedures for Project Management

Virtually any service request made of the Planning Bureau is referred to as a "project." Currently requests for services are received via phone, interoffice communications, routing slips, and various other sources. Such requests may originate from any level within the Police Department. A significant number originate from the Police Commissioner's Office because there is no administrative staff in the Commissioner's Office to handle routine administrative matters. Such service requests cover a wide range of subjects from interpretation of a rule or a general inquiry to a request for a new building.

Most of the requests have no direct relation to what are normally referred to as "planning functions." From a review of incoming requests it is apparent that the Planning Bureau is primarily serving as an administrative support organization for the Police Commissioner, and not as a planning organization.

In such a setting, the Executive Officer of the Planning Bureau instituted a simplified project control procedure about six months ago to control the more significant project assignments. When requests for service are received, they are assigned to individual staff members and the requests are given a project number. The project number is recorded in a register which includes the following information:

1. Project Number——two digits are for the year, three digits are for the project, and an alpha character identifies the priority of the project, either A, B, or C, with A being top priority.

2. Project Title.

3. Name of Individual Assigned the Project.

4. Date Assigned.

5. Date Due (target date).

6. Completion Date.

Draft "Project Request" and "Project Control Sheet" forms have been prepared but are not operational.

Completed projects, along with results of other service requests, are filed in the Bureau's files. There are no "Project Files" as such. There is no organized method of retrieving information from a completed project, except through search of the Bureau's files.

The Bureau's filing system utilizes a modified subject matter file. Generally, project records are filed by organizational unit. The file index identifies files by shelf location. The major file headings are listed in Appendix A of this report.

IV.   SUMMARY OF RECOMMENDATIONS

Based on review and analysis of the existing situation within the Planning Bureau, the following summary of recommendations is presented.

Recommendation One:
Install a Project Control System

This system encompasses procedures for initiating project requests, assigning project responsibility, and controlling project execution. Essential to such a system is a clear definition of the term "project." This recommended system should be promptly installed by the Planning Bureau. Documentation is presented in Chapter V of this report.

Recommendation Two:
Conduct a Work Load Analysis Program Within the Planning Bureau

A simple procedure should be established to clearly identify staff time actually devoted to various programs and activities performed by the Planning Bureau. Such information provides a management tool to direct the activities of the Bureau, determine unmet needs, and document the level of effort required to perform current assignments. Such an analysis should be promptly undertaken by the Planning Bureau. The recommended procedure is presented in detail in Chapter V.

Recommendation Three:
Reorganize the Existing Filing System

The present file system should be reorganized to provide for clearer identification of completed projects for information retrieval. This recommendation requires a significant amount of staff time for development and installation and should be undertaken as a project assignment within the Planning Bureau.

Recommendation Four:
Define the Responsibilities and Functions of the Planning Bureau

Effective response to service requests and adequate control over work load require a clear statement of the responsibilities of the Bureau and a determination of the professional staff resources needed to perform such responsibilities. Particular attention should be directed to defining the "planning needs" of the Police Department. Developing such clear definitions and related program statements requires a comprehensive study of the

Police Department's staff organization. Determinations should be made of the administrative staff support requirements of the Police Commissioner's Office, the appropriate location for the data processing liaison, grant management, and related management services functions.

After defining the functions and their appropriate location within the organization, recommendations should be developed which define staff resources required to perform assigned functions. Such a management review is beyond the scope of the present undertaking and should be performed as a separate technical assistance project.

V.   A RECOMMENDED ACTION PROGRAM

The first requirement for effective project management is a clear definition of the term "project," as well as the related terms "program," "activity," "planning," and so forth. It is recommended that the following working definition of "project" be utilized:

> A "project" is a significant task to be undertaken by the Planning Bureau in which a discrete product results. In general, a "significant task" is defined as one which requires at least five man-days of effort to complete. In general, a "discrete product" takes the form of a written report containing documentation of findings, conclusions, and recommendations, or other appropriate written material.

The Planning Bureau should develop working definitions of "program," "activity," and "planning" for its own use. These definitions should be consistent with related terminology utilized by the Suffolk County Executive's Office.

The second requirement is for a clear classification system in which projects can be grouped and filed in order to:

- Identify functional areas with which the professional efforts of the Bureau are concerned.

- Facilitate the use of information retrieved by filing completed projects according to such a classification system.

In the immediate future the present filing system can be utilized as it relates to Plans/Projects/Programs/Grants. However, a new classification system should be developed which is more directly related to: (a) the assigned functions and activities of the Bureau and (b) subject matter references.

The third requirement is to install a project management system within the Department. The characteristics of such a system include:

1. A written procedure defining the processes and forms to be utilized.

2. A Project Request Form to identify and authorize the request.

3. A Project Acknowledgment Letter to document the project's receipt, to establish lines of communication, and to ensure cooperation with those concerned.

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4. A Project Summary Form to assign and control the project within the Planning Bureau.

5. A Project Control Register to serve as an index to projects within the Planning Bureau.

6. A Project Report to identify completed and outstanding projects on a monthly basis.

Directly related to such project management procedures is the need to develop useful work load information related to the activities of the Planning Bureau. This requires the completion of Work Load Analysis Sheets by staff members of the Planning Bureau and the preparation of summaries identifying man-hours expended for each work activity. General systems designs that document these recommendations are contained in the following chapter of this report.

The Planning Bureau performs little of the traditional police planning functions. Emphasis should be given to developing the planning tools and studies needed to effectively perform such activities. Though a detailed analysis of planning operations is not within the scope of the present study, an outline of potential planning activities is presented as a frame of reference.

- Tactical planning and the allocation of the patrol force, includes such planning activities as:

  - analyzing police hazards.
  - determining shifts and deployment.
  - determining beat layouts.
  - directing the patrol effort.

- Planning for unusual events, such as:

  - disasters.
  - community events.
  - robberies.
  - blockades.

In addition to tactical planning, there is a need to forecast long-range police service needs which require a different type of planning effort. Such an effort should be directed at developing manpower and resource requirements as they relate to the changing economic-social character of Suffolk County, the incidence of crime, and related matters.

In summary, the Planning Bureau should take a leadership role in developing and utilizing available tools to provide a sound basis for police management. A generalized outline for conducting planning projects is presented in Appendix B, *Project Format and Procedure*.

Description of Recommended Project Control System

Under the recommended system, planning service requests are prepared by the requesting organization in two copies. (See Chart II.) The original is transmitted through channels to the Planning Bureau; a copy is kept in the requesting organization's file.

The type of request is checked by the requesting organization in the appropriate block. If there is uncertainty over the type of request initiated, contact should be made with the Executive Officer of the Planning Bureau.

A clear statement of the request is made under Item 2, "Describe Request," using additional sheets if required. Identify any attachments to the request, e.g., maps, forms, suggestion letter, and so forth.

The form is signed, dated, and transmitted to the Executive Officer of the Planning Bureau, who reviews the requests, contacts the requesting organization, and reviews the request with the Inspector of the Bureau as appropriate. He determines who will be assigned the request and then reviews the assignment with him.

The Planning Bureau portion of the service request is completed by the Executive Officer, and the control number and related data are entered in the Project Control Register. (See Chart III.)

If the request is for a project, appropriate entry is made to the Staff Assignment Index, which is an index card file organized by each staff member providing a record of current project assignments by one-line entries. The card indexes are organized by name with one file card per staff member. The one-line entries are recorded on removable tabs which are inserted in the index card. (See Chart IV.)

A Project Control Sheet is completed by the Executive Officer in two copies—one for the file and one for the assigned staff member. (See Chart V.)

If appropriate, a Project Acknowledgment letter is prepared and transmitted to the requesting organization. (See Chart VI.)

At the end of each month, a secretary prepares a Monthly Activity Report utilizing the Service Request Forms processed that month. (See Chart VII.)

If deemed necessary, individual staff reports, summarizing assignments, can also be prepared using the Service Request Forms.

Coding of Requests

It is recommended that all requests acted upon by the Planning Bureau be assigned a control number consisting of seven digits and having the format of: xx-xxxx-x. The first two digits record the calendar year; the next four digits specify the request (and are assigned in the order received); and the last (an alpha character) indicates the type of request or project. Tentative classification types are:

S — Suggestions
F — Forms design
M — Map or chart
A — Administrative memo/order
P — Planning projects
O — Projects other than planning

Chart II

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SERVICE REQUEST FORM

SERVICE REQUEST

TO: PLANNING BUREAU
Police Department
County of Suffolk
New York

1 | PLANNING BUREAU USE ONLY

Status:	Assigned Project Number:	Date Received:
Active ☐ Returned ☐ Completed ☐	☐ ☐☐ ☐☐☐	/ /

Project Title:

2

FROM:

_____
Organization

_____
Requested By

_____
Approved By — Section

_____
Approved By — Bureau

_____
Approved By — Division

____/____/____
Date Requested

____/____/____
Date Final Approval

INSTRUCTIONS: Prepare original and two copies. Forward copies to the Planning Bureau. All requests must have appropriate approvals, except for Suggestions which must conform to the guidelines established for that program. State clear objectives and anticipated results in the block for Description of the Request.

3 Type of Request:

Suggestion	☐	· Admin — Memo	☐
Forms Request	☐	Planning Project	☐
Map — Chart	☐	Other Project	☐

4 Description of Request (Be Specific)

5 Attachments:

6 PLANNING BUREAU USE ONLY

Assigned To: _____
Assigned By: _____
Estimate of Man—Days Required: _____

Date Assigned: _____
Date Due: _____

7 PLANNING BUREAU REPLY

☐ Your request has been received and you will be notified of the results of our evaluation upon completion. Please utilize the above project number and title for any further correspondence.

☐ Your request concerns the direct responsibility of another command and has been forwarded to that command for evaluation. Address any additional correspondence to:

☐ Your request has been denied and is returned because of the following reason:

- Conflict with R & P
- Duplication of Existing Form
- Conflict with Labor Contract
- Nonconforming Suggestion
- Other Reason · · · ·

_____
Commanding Officer — Planning Bureau   Date

Chart III

PROJECT CONTROL REGISTER

Project Number	Project Title	Project Assignment	Date Assigned	Date Due	Date Completed

Chart IV

PROJECT ASSIGNMENT INDEX

Visible Card Index File			
Project Number	Date Assigned	Date Due	Comment

Staff Name _____

Staff Name _____

Staff Name _____

Staff Name _____

    The above card is a visible file index card with removable paper tabs inserts to record <u>active</u> project assignments. A small card index file, holding 6 to 10 index cards, may be acquired through a local office supply store.

Chart V

PROJECT CONTROL SHEET FORM

Project Control Sheet   Project Number 73-xxx-m

Date Completed:_____

1. Project Title:_____   2. File Heading: _____

_____   _____

3. Assigned to : _____

4. Date Assigned : _____ 5. Date Due: _____

6. Outline required: yes☐ no☐ ;   No. of copies _____

7. Project Objective : _____

_____

_____

_____

8. Scope of Work: (use additional sheets if necessary) _____

_____

_____

_____

9. Type of Project : _____

10. Prepared for/Requested By : _____

11. Request Approved By : _____

12. Concurrences Required: _____

_____

13. Approvals Required: _____

_____

14. Major Tasks Required for Completion   Man - Days

    1.   1.

    2.   2.

    3.   3.

Total Man-Days:

Chart VI

PROJECT ACKNOWLEDGEMENT

TO: DATE:
FROM:
SUBJECT:

The Planning Bureau has received your request for _____

_____

Sgt./Pat. _____ and Sgt./Pat. _____
has/have been assigned to the project and will be contacting you in
the near future. The project has a tentative completion date of
_____.   The assigned project number is _____.

Should any questions arise or any additional information become
available to you that would be helpful in completing this project,
please feel free to contact the personnel assigned to the project.

Note: to be used when a detailed response is required and the block
at the bottom of the Service Request Form is not appropriate for an
adequate response.

Chart VII

TO: Inspecter, Planning Bureau

FROM: Executive Office, Planning Bureau

SUBJECT: Monthly Activity Report

Project Status: Month of _____

A. New Project Initiated

    1. Project Number   Project Title / Description
    2. etc.

                                                           Est. of Man-Days
                                                           of Effort: _____

B. On-going Projects

    1. ....
    2. ....

C. Projects Completed

    1. ....
    2. ....

Other Activities
                                   Number   Year to Date

1. Suggestions Processed:
2. Forms Processed:
3. Maps/Chart Requests:
4. Administration Memos:

                                                _____
                                                Executive Officer
                                                Planning Bureau

The purpose of such a classification is to identify clearly projects as contrasted with other work activities of the Bureau. Further, planning-oriented projects can be shown in contrast to other significant projects undertaken by the Bureau. Such a coding system provides the mechanism to establish management review and control over the Bureau's work load. It should be revised as needed after an initial period of operation.

Project File Organization Requirements

Service Requests are received by the Planning Bureau in two copies. One copy is kept in a history file in numerical order by year and request number. (If required, a second file may be established to identify requests by type of request. This file would be organized by type of request, by year, and by request number.) The second copy is kept by the staff member assigned the request. He maintains such Service Requests by type of request, by year, and by request number.

The Project Control Register, organized by project, and the Project Assignment Index, organized by staff member, is maintained by the Executive Officer of the Planning Bureau. (See Chart III.)

Project Control Sheet Forms are utilized for all planning projects and for projects other than planning. Filed by project number, they are maintained by the Executive Officer. (See Chart V.)

Recommended System for Work Load Analysis

This procedure establishes the means to identify clearly work load of the Planning Bureau and the personnel resources expended to perform assigned activities.

Briefly, each staff member records on a Work Load Analysis Sheet time devoted each day to specific assignments. The only entries are activity code and hours devoted to that activity each day. At the end of the week a summary is made by activity on the lower portion of the form, which is then given to the Executive Officer for review.

A secretary prepares a weekly summary of man-hours devoted to each activity (in three copies) for the following distribution: Inspector, Executive Officer, and file.

The attached Charts VIII and IX, Proposed Work Load Analysis Sheet and Proposed Weekly Work Load Analysis Summary, respectively, present the recommended formats.

Chart VIII
PROPOSED WORK LOAD ANALYSIS SHEET

Work Load Analysis Sheet

Planning Bureau Suffolk
County Police Department

Name _____

Period Ending _____
Date Submitted _____

Monday

Activity Code	Hrs.

Total

Tuesday

Activity Code	Hrs.

Total

Wednesday

Activity Code	Hrs.

Total

Thursday

Activity Code	Hrs.

Total

Friday

Activity Code	Hrs.

Total

Activity Codes

No.	Title	Total
11	Orders Program	
12	Procede Program	
13	Suggestion Program	
14	Statistical Analysis	
15	NYPD UTT Forms	
21	Publications Program	
22	Plans Programs	
23	Inform Systems	
24	Annual Report	
25	Periodic Review	
26	Daily Bulletin Review	
27	Special Surveys	
31	Planning Projects	
32	Other Projects	
41	Budget Processes	
51	Data Processing	
61	Grant Programs	
	Total	

Chart IX

PROPOSED WEEKLY WORK LOAD ANALYSIS SUMMARY

Weekly Work Load Analysis Summary

Planning Bureau, Suffolk
County Police Department

Activity Code	Activity Title	Total Man-Hours of Effort
11	Orders Program	
12	Procedures Program	
13	Suggestion Program	
14	Statistical Analysis	
15	NYPD UTT Forms	
21	Publications Programs	
22	Plans Program	
23	Information Systems Programs	
24	Annual Report	
25	Periodical Review	
26	Daily Bulletin Review	
27	Special Surveys	
31	Planning Projects	
32	Projects Other Than Planning	
41	Budget Processes	
51	Data Processing	
61	Grant Programs	

PART 2

PERSONNEL SYSTEM

II. PROBLEM IDENTIFICATION

A. The problem, as stated in the Request for Technical Assistance:

Problem: The Personnel Records System now in use was adopted in 1960 when the Department was organized. No significant changes or improvements in the personnel record keeping have occurred since the inception. With the growth of the Department and an increase over the years in the number and kinds of documents that find their way into personnel jackets, we are now maintaining approximately 3,000 voluminous files. Some of the data in current files is extraneous and/or duplicated in other department files.

Documents are added to personnel jackets in chronological order without regard to classification or categorization. In order, for example, to learn how many commendations or disciplinary actions an individual may have in his record, one has to search the entire file and read all documents.

At the same time, much information that should be included in such files is absent. For example, no information concerning training schools an individual has completed, within or without the Department, is contained in personnel jackets (i.e.: Recruit Training, In—Service Training, Supervisory Training, Detective Training, etc.).

Services Requested: A complete analysis of the current personnel record keeping system in terms of recommending appropriate records to be maintained in such files, a logical inter-file classification method, elimination of extraneous or duplicate data, an appropriate file index, and development of appropriate "cover" sheets or forms for each file for rapid reference.

B. The problem, as actually observed:

The focus of the stated problem is on file organization and contents. However, it should be first recognized that "the files" are but one element, though certainly a key element, in a total personnel records/information system. The real problem is the lack of a modern personnel records system. No comprehensive personnel records or reporting systems exist through which the programs of the Personnel Division can be effectively managed.

It is also observed that most of the work involved in maintaining file folders and processing personnel transactions is directly related to payroll, rather than strictly personnel records as such. That is, immediate file problems result from the limitations of the existing county payroll system.

In summary, the problem is not only poor file organization, but the complete lack of basic documents, reports, summaries, and procedures for personnel administration, involving both payroll and personnel records.

III.   BACKGROUND INFORMATION

Personnel records are a responsibility of the Personnel Records and Payroll Sections of the Personnel Bureau of the Personnel Division.

Basically, the Payroll and Personnel Sections maintain personnel folders for each employee, and that is all that is maintained except for a payroll summary card which contains little information. There is no employee history card; no monthly summary reports are prepared; there is no method for obtaining summary information; individual folders must be researched to obtain even the most basic of data. There is no system for position control, no executive inventory, no performance rating system, and no management information is available from the existing payroll system.

The payroll is prepared by the County's Data Processing Center. Because the operation of the Center and the preparation of payrolls is so closely related to personnel records, brief background summaries are presented of computer development and the existing payroll system.

Computer Development

Originally, a computer system was purchased in 1968 by the County with the general understanding that it was solely for police applications. However, this approach was abandoned in 1969 with the consolidation of data processing services within the County. At that time, tabulating equipment owned and operated by the Police Department was transferred to the County Data Processing Center. Currently, the County Data Processing Center utilizes two UNIVAC 418's for all county applications, including police.

The primary computer-based system affecting the Police Department is the payroll system. Originally, a comprehensive computer-based payroll system was designed and developed, which provided for such outputs as leave and attendance reporting. However, serious operating problems in 1970 resulted in the adoption of the less complex system currently in use. The present system does not maintain leave records nor provide for any useful management-oriented personnel reporting.

Existing Payroll System

The existing payroll system does not incorporate any provisions for leave and attendance reporting; therefore, it cannot provide for overtime payments as part of the regular payroll system. Nor does the system provide for shift differentials, clothing, cleaning, or related pay allowances. Even holiday payments are prepared on a separate payroll. Such allowances and overtime payments are handled as special payrolls which are essentially payment voucher registers and checks.

Although provisions have been made in the system for position control, this phase of the payroll system is not operational. Various management and control reports should be available on a regular basis from a computer-based system. However, none are produced by the Suffolk County payroll system on a regular basis. Reports anticipated for production by the present system include:

1. Roster of officers by command.
2. Roster of officers by badge number.
3. Roster of officers by rank.
4. Roster of officers by name.

To date these reports have not been available on a regular basis.

Leave and attendance records should be used as documentation in payroll preparation, and without such controls proper accountability cannot be established. Such documentation provides the basis for establishing adequate audit and control procedures. The existing payroll system has no such controls or documentation. It meets neither the payroll nor personnel record needs of the Police Department. There is a lack of summary reports to serve various management needs.

Personnel Records Development

In August, 1970, a draft report was prepared by the Planning Bureau which presented recommendations for a comprehensive personnel records system. It was reviewed but never acted upon, possibly because it demanded a major effort to develop and install, both in terms of time and professional effort required. Currently, it is again under review by the Personnel Division.

It is a substantive report that deals with the major concerns of personnel administration and can form the basis for a sound approach to developing a modern personnel system. Briefly, it recommends a computer-based data system which is identified and discussed in six phases:

Phase I. Development of one source document to record all initial personnel data and which would replace five documents currently in use, including:

- PDCS-PA-1, Source Document for Personnel Data Card
- PDCS-PA-12, Personnel History Questionnaire
- PD-1030, Candidates Investigative Questionnaire
- Police Candidate's Medical History Questionnaire
- Biographical Profile

The unified source document would be completed by all current employees and by all candidates or applicants.

Phase II.   The Investigation Report would be reorganized consistent with the unified source document; such investigative data would remain in an applicant's file, and none of the data would enter the computer-based record system.

Phase III.   A Performance Report is recommended, including a general approach to the development of a comprehensive performance rating and reporting system.

Phase IV.   The need for external reporting is identified; a number of reports would be available as output from the system, but the report does not define such reports.

Phase V.   A recommended method of organizing individual personnel jackets is provided; the extensive use of microfilming is also recommended.

Phase VI.   Data processing requirements are identified, including the general parameters of the computer-based master file required by the system.

Documentation within this report consists only of a draft form for the unified source document to be utilized in Phase I.

This report identifies the main elements of a personnel system, but the information is not presented in such a way as to either facilitate management approval or systems implementation. It is not a management-oriented report in the sense that it should present material to the Commissioner and his top staff for decision-making purposes. It is essential that such a report include:

1.   A brief description of the total system.

2.   A clear indication of the reports available through the system and their use.

3.   A realistic evaluation of the level of effort and costs associated with developing and installing such a system.

4.   A brief outline of the time phases required for installation.

Summary of Findings

From a review and analysis of the existing situation, it is readily apparent that no effective personnel record system exists:

1. There is no form or document to summarize individual personnel histories.

2. There are no reports to summarize personnel activities, employee characteristics, or to serve extensive management needs in reference to manpower planning and allocation.

3. Training records at the Police Academy are not available in the centralized personnel records files.

4. Individual records in personnel jackets are not filed in any order.

5. Personnel reports which are pay-related are not available through the payroll system.

IV. DISCUSSION OF POSSIBLE COURSES OF ACTION

The alternatives for improvements to personnel records, as discussed below, are presented on the basis of the acceptance of a basic concept:

To improve personnel records and related information processing requires a significant improvement in the existing payroll system.

Further, because of the number and complexity of records involved, processing on a manual basis is almost unmanageable and the production of useful management information is virtually impossible. Therefore:

New systems design and development efforts should be directed toward computer-based systems.

Determining the best approach to provide critically needed payroll/personnel data to county departments, and particularly the Police Department with its multiplicity of informational needs, is a major undertaking.

The County, through the County Executive, should have a defined, long-range data processing program which identifies equipment arrangements, operating and systems responsibilities, and interdepartmental relationships as they relate to total county data processing needs. Without such a defined program, it is difficult to make valid decisions concerning developmental computer-oriented systems, such as a unified criminal justice system or an integrated payroll/personnel system.

Within the context of a long-range data processing program, alternative approaches to payroll/personnel information and records should be reviewed and evaluated by the Commissioner of Police and the County Executive, considering the following basic alternatives:

1. A comprehensive County designed payroll/personnel system which will meet the varying needs of operating departments in reference to such matters as:

    *   adherence to personnel contract requirements (the Police Department currently has three complex contracts to administer);

    *   leave and attendance records;

    *   special pay requirements, e.g., clothing and cleaning allowances; and

    *   special employment requirements, e.g., training and education requirements for specific jobs.

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2. A County payroll system which is coordinated and maintained in conjunction with a computer-based Police Personnel Information System, requiring system interface in areas such as pay differentials, leaves of absence, disciplinary actions, and conformance to related personnel rules and regulations.

3. A unified police payroll/personnel system, separate from the County's payroll system, which will fully meet the operational needs of the Police Department.

Regardless of the approach taken in the future to meet such record needs, there are immediate needs to be satisfied. Therefore, action is required by the Commissioner of Police regarding a decision to:

1. Develop limited minimal personnel records to meet immediate problems (mainly to record personnel summaries of military leave taken and training completed), recognizing that such systems will not meet or solve basic personnel records problems or provide any useful management reporting; or

2. Initiate action to develop and install comprehensive computer-based payroll/personnel systems which will satisfy the informational needs of the Department, based on one of the above alternatives; or

3. Initiate short-term manual procedural improvements while initiating a long-range program to develop a comprehensive personnel information system in conjunction with the County Executive.

There is always the danger of becoming too involved with complex systems planning and development which never become operational regardless of how promising or noteworthy. Therefore, there is the need to establish something that really works, that shows tangible benefits, and that can be accomplished in the near future. We, therefore, recommend that a simple Employee Personnel Status Record be developed and installed by the Personnel Division. Documentation of this recommendation is contained in the following chapter.

There is also the critical need to strengthen the Police Liaison Officer's functions by the assignment of systems responsibilities and the hiring of a police civilian staff member with sound background and experience in the area of data processing systems design and development. While present employees of the Police Department might well have such experience, it is extremely important to survey the local job market to insure that the best possible candidate is recruited.

V.   A RECOMMENDED ACTION PROGRAM

From a review and analysis of the existing situation, it is concluded that the development and installation of a modern personnel records system is certainly a worthwhile effort. In fact, it is mandatory if the Police Department is to develop an effective personnel program. Elements of a comprehensive personnel records system include:

1. A computer-based personnel master file maintained on a current basis to provide a series of management-oriented and control reports.

2. Related computer-based, personnel-oriented files which are well-defined and integrated with the personnel master file. Such related computer-based files include:

   - payroll records.
   - leave and attendance records.
   - equipment and related inventory records.
   - position control records.
   - assignment records.

3. Individual personnel history cards, computer-produced, which summarize employee information useful to the Personnel Division, including training, education, awards, equipment issued, and so forth.

4. A performance evaluation and rating system, with records integrated with or as a part of the computer-based personnel master file.

5. A personnel jacket file, organized in a logical fashion and purged of unnecessary records. To organize these files requires adoption by the Commissioner of Police of formal records retention and microfilming programs.

In addition, the need for a computer-based applicant file should be considered and evaluated. Such a file could be used for management evaluations of applicants to produce eligible lists.

It should be recognized that the development and installation of such a system is a significant undertaking, requiring a major commitment on the part of the Police Department and the County Data Processing Center. Further, it cannot be developed on a small scale but requires a total system approach and a unified effort on the part of all participants. It cannot be established quickly but must be planned and carried out over a period of years.

To establish such a comprehensive personnel system requires the following major activities:

1. Preparation of a conceptual systems design, which would identify and discuss:

    o   the basic approach to systems development and areas of responsibilities;

    o   the characteristics of the proposed system;

    o   the reports and documents provided by the system, with descriptions of report distribution and use;

    o   a discussion of the costs and benefits of the system;

    o   the management decisions required to authorize systems development and installation;

    o   a scheduled development and implementation program, showing the level of professional effort required and the source of that effort.

2. Agreement to proceed; approval should be given by the County Executive, the Director of the Data Processing Center, and the Commissioner of Police, based on an evaluation of the initial conceptual system design.

3. Establishment of a Steering Committee to decide policy questions, to resolve problems raised during the course of the systems effort, to provide management review over system characteristics, and to authorize appropriate action at key points of the systems effort.

4. Preparation of the detailed systems design and documentation; activities include but are not limited to:

- determination and description of input/output documents;

- description of processing steps, including audit and control requirements, and interdepartmental relationships;

- identification of administrative requirements, including the organizational and staffing arrangements and the procedures required within the Police Department;

- documentation of computer systems, including program specifications and appropriate flow charts; and

- preparation of a detailed installation time table.

5. Preparation of detailed computer programs; testing and debugging the designed system.

6. Initiation of a phased installation program.

7. Evaluation of the system on a concurrent basis, as it is defined, developed, and installed, and reporting progress on a regular basis to the County Executive and the Commissioner of Police.

Such a development program requires a substantial level of effort by professional staff, both for system analysis and programming activities. There are four alternatives for providing the necessary level of professional effort:

1. Staff of the Data Processing Center.
2. Staff of the Police Department.
3. Outside systems consultants.
4. A combination of the three.

Currently, it appears that the Data Processing Center does not have available staff to initiate such a project. The one professional staff assigned to police applications devotes full time to police statistical information and related matters. The Liaison Officer of the Police Department is also occupied with police statistical information and related police operational matters.

Realistically, therefore, there is no in-house capacity to perform the system analysis required for this undertaking; and outside systems consultants are required if the system is to be initiated in the near future.

It is recommended, therefore, that the Police Department hire an outside consulting firm to develop the conceptual system design as outlined in the preceding section. Further, that part of the report would contain recommendations for developing in-house capacity for systems design within the Police Department.

Based on the evaluation of the consultant's report, the County Executive and the Commissioner of Police would:

1.   Evaluate the report and decide on a course of action.

2.   Establish a Steering Committee, if appropriate, to perform the functions listed above.

3.   Initiate action to implement the recommendations:

     ●   assign systems responsibility,

     ●   define departmental relationships,

     ●   authorize additional staff or reassignment of existing staff,

     ●   fund the project for initial development requirements, and

     ●   authorize the hiring of outside consultants as required to meet identified milestones in the systems development program.

The total resources required to develop and install such a comprehensive system cannot be estimated without first preparing a conceptual systems design which would identify clearly the characteristics, costs, and benefits of such a system. Based on the scope and complexity of existing records and the lack of any defined system, it is estimated that it would require from three to four man-months of professional consulting effort to define and present a report on a conceptual systems design of a comprehensive personnel information system.

Systems Requirements

Outlined below are the major system elements required to develop and install a comprehensive management-oriented personnel system. A "Generalized Personnel Systems Outline" is contained in Appendix C.

System Design Requirements

1. Define computer-based data base requirements, i.e., define clearly the information maintained on a personnel master computer file.

2. Define audit/control requirements to insure accuracy during processing, with particular attention to ensuring consistency with the payroll system, i.e., all payroll records must have a parallel record in the personnel master file.

3. Define input source documents, modifying the PIF (Personnel Information Form) and related documents as required.

4. Identify the reporting outputs of the police personnel system, defining the contents, formats, frequency, and distribution.

5. Identify the processing steps required to establish and maintain the system, including but not limited to: preparation of the original source documents; audit and control of such source documents; creation and maintenance of computer master files; and preparation, distribution, and use of report output documents.

Data Processing Requirements

1. Prepare general systems design for the proposed system.

2. Prepare program specifications to identify necessary programs, data control requirements, source documents, and output requirements.

3. Prepare necessary detailed systems documentation.

4. Prepare programs and sample test data.

5. Test and debug the system.

Police Administration Requirements

1. Determine data requirements for establishing comprehensive personnel information records.

2. Define procedures to research existing employee records, including data-gathering forms, audit and control over data collection, source of data, and so forth.

3. Establish a record retention schedule based on legal requirements. It is anticipated that the County will adopt regulations developed by New York State.

4. Purge existing records to conform to established record retention schedules.

5. In reference to permanent records, identify those records which it is feasible to microfilm, estimating costs and benefits.

6. Establish a system for a personnel jacket organization.

7. Review and purge all existing active personnel jackets in terms of checking data entries for all computer-based print-outs of the personnel master file to insure accuracy of the established files; discard records identified under the record retention system; pull documents to be microfilmed, inserting summary forms to identify and control such documents; reorganize the remaining documents according to established file organization specifications; and establish microfilm retrieval procedures.

Limited Manual Systems

The immediate personnel record needs of the Police Department are to:

1. Establish an individual summary record of military leave taken (the County allows 30 working days a year). Currently, for each request for military leave, the year's prior requests and approvals must be individually researched using the employee's personnel file containing the original source documents. This is a very awkward, time-consuming procedure, without adequate audit controls. It should be noted that this problem is really a payroll problem.

2. Establish an individual summary card to record completed in-service training and outside education programs. Currently, records of training are only maintained at the Training Academy. Generally, such records are not readily available to the Personnel Division, and no record of such training is filed in an employee's file.

3. Improve attendance records which currently are maintained only at the command level and reported centrally, independently of the payroll system. From the standpoint of sound audit and control principles, the existing procedures are very poor and quite inadequate to conform to recognized accountability standards. This also is a payroll-related problem.

4. Provide a simple monthly reporting system for personnel transactions to identify current employees, appointments, resignations, and so forth.

5. Establish a personnel evaluation system.

Proposed Manual Records Systems

A draft form is attached (see Chart X) which should be used to record military leave used and to summarize completed training and educational programs. The form headings and general layout should be revised to meet the particular needs and training programs of the Police Department.

Using existing payroll records, the County Computer Center would print labels containing basic personnel information. Such labels would be affixed to a preprinted card format, the Employee Summary Card. Past records of employees would be researched to obtain current information concerning leave, training, and education, which would be recorded on the Employee Personnel Status Record and filed in a filing cabinet within the Personnel Division.

The purpose of utilizing a separate file for such summary cards is to reduce the number of times referral must be made to the individual personnel jacket.

As training programs are completed, an appropriate document must be transmitted to the Personnel Division to update each Employee Summary Card. Provision must also be made to enter new records and purge the file of terminated employees. The exact procedures, source documents, and forms design should be a project assignment of the Planning Bureau.

Such forms and procedures are only stop-gaps and do not eliminate the critical need to develop an effective computer-based employee history record. With over 3,000 employees, manual systems are extremely awkward and cannot provide any effective or efficient system.

A monthly activities report format should be developed and installed in order to clearly identify the total number of employees and the volume of personnel transactions. Totals for transaction documents processed should be accumulated and reported on a monthly basis. A sample format is shown on Chart XI.

Chart X

(Computer Label Printout)

Name		Address
Job Description		
Birth Date	Date of Printout	S.S. No.	Date Started

EMPLOYEE PERSONNEL
STATUS RECORD
Police Department
Suffolk County, N.Y.

Date	No. of Days	Balance	Date	No. of Days	Balance	Date	No. of Days	Balance

Grade School Completed	Y N	High School Completed	Y N
College Degree	Y N	Graduate	Y N
Total Credits: College		Graduate	
College Credits as of Date:			
Year of College Degree:			
College Majors:			

Subject	No. Classes	Date	Grade

Special Qualifications

Additional Training

Chart XI

MONTHLY PERSONNEL REPORT

Changes in Personnel	This Month	This Year	Last Year
1. Present for duty end of last month			
2. Recruited during month			
3. Reinstated during month Total to account for			

4. Separations from service
  (a) Voluntary resignations
  (b) Retirement on pension
  (c) Resigned with charges pending
  (d) Dropped during probation
  (e) Dismissed for cause
  (f) Killed in line of duty
  (g) Deceased			

5. Present for duty at end of month			

Total Personnel	This Month	This Year	Last Year
1. Commissioners of Police			
2. Deputy Commissioners			
3. Members of the Force			
4. Civilian Members			
5. Crossing Guards			

To develop any leave and attendance reporting, even on a manual basis, is a major undertaking and is beyond the scope of this technical assistance project. However, it is strongly recommended that an effective system, with adequate audit and accounting controls, be developed and installed as soon as possible. Because of the lack of in-house systems staff, this undertaking would require outside consulting services.

Personnel Evaluation

The Police Department does not have any system of performance evaluation. New recruits placed on patrol are seldom evaluated officially by any of the supervisors. It is recommended that a systematic method of evaluation of all departmental personnel be implemented immediately.

This method should include the following elements:

1. The Commissioner of Police should set the tone for the Department by evaluating his immediate subordinates on a quarterly basis. He should privately interview each of the supervisors, discuss the way they are performing, and initiate the recommended evaluation form for their personnel jackets. The Personnel Division should be responsible for maintaining the personnel file on each officer in a specially designated file cabinet. Each officer's file should contain at least the information that was previously recommended.

2. Each supervisor should also be required to follow the same procedure with his subordinates on a quarterly basis. After evaluating each subordinate, he should turn the completed forms over to the Personnel Division for filing. Disciplinary action and citizen complaints should be made a part of each officer's file.

3. Recruits must be evaluated on a monthly basis at the very minimum.

4. Patrolmen should have some input into the evaluation of recruits. After all, the recruits work hand-in-hand with the patrolmen, and the latter's opinions would assist the supervisor's evaluation of new men. This concept might also be extended to allow patrolmen to participate in the oral interview of candidates for selection.

Appendix A
EXISTING FILE ORGANIZATION INDEX
PLANNING BUREAU

Periodical Research Material

Charter——Executive Resolutions

Police Research File (organized by major police functions)

Directories

Informational Research Exchange

Orders: General/Special/Personnel

Teletypes, Meetings, Requisitions

Daily Crime Reports, Bulletins, Training Bulletins, Legal Bulletins, Newsletters, Annual Reports

Internal Correspondence (by organization)

Press Releases

Tickler File

Plans/Projects/Programs/Grants

Statistics

Data Processing

External Correspondence (alphabetically by organization)

Labor Relations, Superior Officers' Association, Patrolmen's Benevolent Association

Suggestions System

PROJECT FORMAT AND PROCEDURE

Planning is exploration that is both irregular and systematic, unorganized and standardized; it follows accepted standards and methods whenever certain types of situations or processes repeat themselves. However, new methods are devised whenever anything new and different is encountered. Because of this unique quality of planning work, the formats described below are designed only to serve as general guidelines and not as rigid criteria.

These formats are not meant to denote a step-by-step formula for carrying out planning projects. It would probably be closer to reality to describe planning as an interweaving of the steps developed below. The formats can be broken into two areas: tactical planning and long-range planning and resource allocation. Most planning conducted in these areas will be directed toward problem-solving situations and will be generally applied to concrete administrative areas.

Assignment of Project

When the project is first assigned, a conference between the supervisor and the staff should be held to:

- Understand the basic purpose for initiating the project.

- Consider the scope and limitations of the project.

- Communicate any information or reference sources that the supervisors may possess about the subject to the staff member.

- Review any special instructions that may apply to the study.

Definition of the Problem—Elements

The staff member should, after careful evaluation of the above considerations, analyze all factors and attempt to identify the major elements in the problem. It is important to remember in this type of study that the most difficult problem is not finding the right answer——it is to find the right question.

The following procedures should be considered when analyzing the elements of the problem:

1. Ascertain that the topic chosen is neither too vague nor too broad in scope for effective analysis.

2. State the problem as a question which requires a definite answer in order to make it clearer and more understandable.

3. State carefully the limits of the problem, eliminating all aspects and factors which will not be considered in the study.

4. Define any special terms that must be used in the statement of the problem.

Operational Definition of the Problem

The second stage of development of a particular problem should be focused on methods of measuring and proving the problem. By defining it operationally at this early stage of development, a plan that lends itself to scientific methods of proof can be developed. These methods could include description of any instruments, manipulations, measurements, or recording procedures used in the process of studying the question, and so forth. An effort should be made to maintain proper control of all variables to ensure a "cause and effect" relationship.

If it is not possible to design a question or develop a problem in such a manner that it can be tested by scientific methods, then other problem designs can be used. These should always lend themselves to some accepted form of proof, such as logic or former successful experiences.

After designing the problem in such a manner that both the operational methods and critical elements are given careful consideration, the final problem should be written out.

The planner should then review the final problem design with his supervisor to ascertain if it correctly defines the problem or assignment. If agreement is reached at this stage of the project, the next step is begun.

Collection of Data

The staff member should develop a plan for classifying all data collected. A preference should be shown for primary source material rather than secondary sources. Primary sources are defined as: (1) the testimony of direct witnesses to an event and (2) actual objects or systems used in the past that can be directly examined. Secondary sources are defined as information provided by a person who did not directly observe the event, object, or condition.

The next step is a careful survey of the following information sources:

- A complete check of the files to ascertain that this problem area has or has not been covered before by a similar study.

- Interviews with all persons possessing expert knowledge which is pertinent to the problem.

- A survey of all books covering the problem area for relevant ideas.

- A search of all documents or material affecting the problem.

- Direct observation of the problem area.

- Descriptive research of existing systems using surveys or questionnaires.

- Use of any other type of information gathering that will produce reliable results.

Findings and Recommendations

A conference should be held at this stage between the staff member and his supervisor. They will select the opinion that reflects the best decision under the circumstances. If alternatives are available, they will also be presented in order of merit. Documentation should then be developed to support the basic findings and recommendations.

Appendix C
GENERALIZED PERSONNEL SYSTEMS OUTLINE

The personnel information system suggested in this report is based on a much broader concept of personnel management than now governs the Police Department's current practices. These practices are geared to the more traditional concept of personnel management as a system of control for insuring that appointments, promotions, and other personnel actions are made in accordance with established civil service regulations and that reporting and record-keeping activities conform with statutory requirements. Although these objectives are legitimate, they fall far short of the information needed to support a broader range of management functions including planning, budgeting, and evaluation.

The suggested system is an integrated one and has two main goals: (a) adequate documentation of all personnel transactions and records; and (b) development of a comprehensive information base for use by police officers and operating officials. Thus, record-keeping requirements have been established to insure that all legal provisions are met and that all personnel records and documents are complete, accurate, and timely. At the same time, provision is made to provide a broad range of management information to:

1. Help police officials manage more effectively the activities for which they are responsible.

2. Improve current budgeting for personnel services and provide the basis for long-term manpower planning.

3. Facilitate better reporting to the County Executive, interested groups, and the general public.

4. Maintain and report personnel information as efficiently as possible, with due regard for the diversified needs of the Police Department.

The information bases necessary to meet these goals and requirements are set forth below.

Information Bases Required

A total personnel information system can be presented from several standpoints. Attention can be focused on the required personnel processes, such as hiring, transferring, or promoting an employee and the supporting records that are required. It can be focused on personnel management responsibilities or functions; for example, budgeting for additional positions, manpower planning, and ascertaining position vacancies and turnover throughout the Department. It can also be focused on the information bases which are required to carry out both the management functions and the personnel processes. As mentioned above, this summary focuses on the information bases which are required to support personnel activities and programs and to produce a wide range of management information as well.

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The requirements for a total personnel information system can be defined most clearly by identifying: (a) the types of information to be maintained; and (b) the potential uses of such information. A total of five informational areas are identified and include:

1. Position information, containing data about each established position.

2. Personnel information, reflecting current employee data.

3. Payroll information, containing data used to prepare payroll records.

4. Executive information, containing background and achievement data about management and professional personnel.

5. Examination information, containing data on current examinations and applicants.

A schematic representation of this total system is given in Chart XII, *General Systems Design for Integrated Payroll/Personnel System*. In summary form, the chart depicts the sources of input, the informational master files maintained, and the output documents and reports. The chart does not indicate many relationships which would exist between the sources of input and the master files.
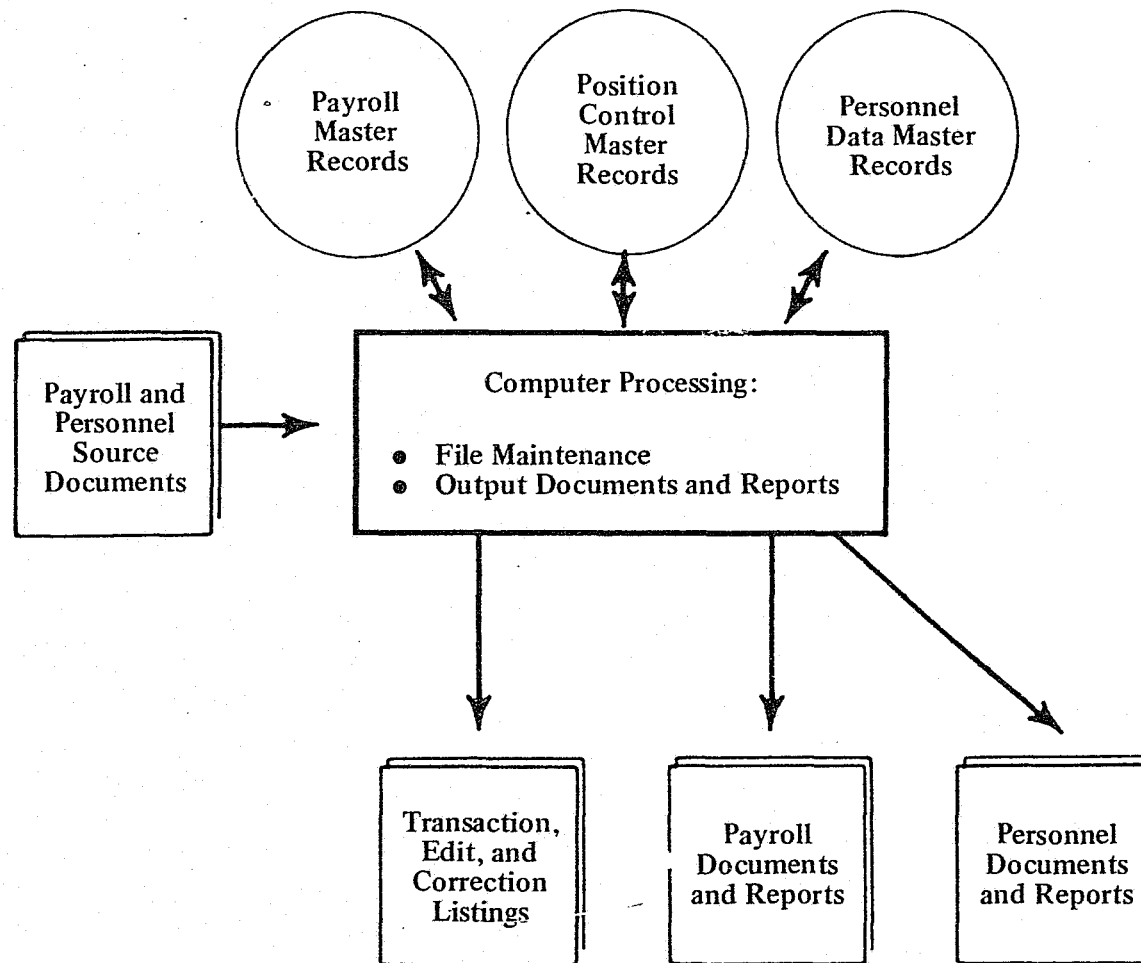
Position Information

It is suggested that a system be installed which contains current information about each authorized position maintained on computer files, organized by position number. File data would include historical information about the number and classification of· positions within the Police Department. The historical section of the file would be organized by department code.

Most of the input to this file would be the Annual Budget Forms, Staffing Plan Change Forms, and Personnel and Position Action Forms. Output would include a current report on authorized positions distributed to Budget, the Personnel Division, and the appropriate organization. Additional reports for management would be produced, using the comprehensive information contained on the master file, concerning position status report and outstanding vacancies.

Personnel Information

It is proposed that a computer-based master personnel file be established. From this file a preprinted Personnel Action Form for each employee would be produced and distributed to the affected organization and the Personnel Division for the processing and

Chart XII

GENERAL SYSTEM DESIGN FOR
INTEGRATED PAYROLL/PERSONNEL SYSTEM

Payroll Master Records

Position Control Master Records

Personnel Data Master Records

Payroll and Personnel Source Documents

Computer Processing:

- File Maintenance
- Output Documents and Reports

Transaction, Edit, and Correction Listings

Payroll Documents and Reports

Personnel Documents and Reports

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reporting of all personnel transactions. Using the constantly updated comprehensive master record, a series of management-oriented reports would also be produced. Among these would be seniority listings, longevity analyses, terminations, appointments, and expirations of appointments.

The master personnel file includes provisions for recording performance ratings and leave records, including accumulated leave, leave taken, and leave balances. Leave records normally are an integral part of a payroll system. This is not the case in the existing County system and it is not now practical to incorporate leave records into the payroll system. Therefore, provision must be made to record and report leave as a separate activity from payroll. On an interim basis, such leave reporting is incorporated as a part of the proposed personnel master file. In the future, leave records should be brought within a unified payroll system.

Payroll Information

It is proposed that, within present payroll program modifications, provision be made for the payroll file to be processed with and related to the computer-based personnel file and the position file as recommended in this report. The payroll file is organized by social security number, and can be processed with the proposed personnel file which is also organized by social security number. Within the individual record layout of both the personnel and payroll files, provision must be made to include the specific position number. These master personnel and payroll files can then be processed with the master position file, which would be organized by position number, in order to update the position file and to produce specified report output.

To supplement this interim procedure, a new payroll system should be developed which specifies: (a) the type of source document required for exception reporting with data expressed in terms of hours; and (b) the master record which would be required. Such a payroll system would provide for centralized maintenance of leave and attendance records as an integral part of the payroll reporting system and would thus eliminate the need for leave records within the master personnel file as described in this report.

Executive Inventory Information

This element of the total system would consist of a computer-based file of current employees, organized by social security number. It would be established for all employees designated as "management," or beyond a specified salary range. It would contain comprehensive statistical information and a skills inventory. A preprinted questionnaire would be produced from the personnel master file and completed by the employee. The completed documents would be used by the Data Processing Unit to update the inventory file. As personnel transactions occur and are processed, the inventory file is updated. Various management reports would be produced from the information contained in the file. These reports would be used to identify employee profiles and to relate them to his performance and advancement, to indicate training needs and the efficacy of training and education, and to project future skills required by the Police Department for use in manpower planning and other personnel management purposes.

Examination Information

A computer-based records system for processing applications and associated processes should possibly be developed. The examination information base provides data for recruitment, the processing of applications, testing, grading, and certifying qualified candidates. File data would include applicant and examination information which would be used to schedule examinations, to calculate and report test results, and to establish an eligible record file. From this record file of eligible applicants, notices and listings could be prepared.

Additional Information Maintained

In the operation of the suggested system, personnel transactions reflecting changes would update all files simultaneously, thereby assuring consistency of internal records. After file update, all such transactions would be accumulated in a computer-based personnel transaction history file. This accumulated transaction record should be maintained for one fiscal year and used to prepare monthly, quarterly, and annual reports, by types of transactions and by agency, in any desired format.

In order to print complete titles, codes, and headings on the series of reports available through the proposed system, a file of all personnel codes, titles, and tables must also be maintained.

END