HANDBOOK

FOR THE

STUDY OF

STATE GOVERNMENT ADMINISTRATION

Minnesota
Efficiency in Government Commission

State Capitol
St. Paul 1

TABLE OF CONTENTS

Table of Contents - - - - - - - - - - - - - - - - 1

Foreword- 2

Preface - 3

Acknowledgements- - - - - - - - - - - - - - - - - 4

Some "Principles" of Public Administration- - - 5

CHECK-LIST:

Executive Management - - - - - - - - - - - 7

Internal Management & Office Practices - - 16

Relations with Executive Staff Agencies- - 26

Personnel - - - - - - - - - - - - - - - - - 28

Finance- - - - - - - - - - - - - - - - - - - 38

Public Relations - - - - - - - - - - - - - - 41

Planning - - - - - - - - - - - - - - - - - - 43

Inspectional Services- - - - - - - - - - - - 45

Law Enforcement- - - - - - - - - - - - - - - 47

Public Health- - - - - - - - - - - - - - - - 52

Public Welfare - - - - - - - - - - - - - - - 53

Public Works - - - - - - - - - - - - - - - - 54

Parks and Recreation - - - - - - - - - - - - 57

Libraries- - - - - - - - - - - - - - - - - - 59

Appendix - Definitions of Terms - - - - - - - - 61

State of Minnesota

Efficiency in Government Commission

ROOM 236 STATE CAPITOL
St. Paul 1

LeRoy F. Harlow
Director

FOREWORD

This handbook has been prepared by LeRoy F. Harlow, Director of the Minnesota Efficiency in Government Commission, for the use of the members of the Commission and persons assisting them in the study of the organization and operations of the State Government. It contains:

1. Brief statements of generally accepted "principles" of public administration, and of standard practices recognized by authorities in public administration;

2. A check-list of practical suggestions, in question form, aimed to promote increased efficiency and economy in State Government operations.

In addition, for use of those who may be unfamiliar with public administration terminology, the appendix contains definitions of terms commonly used in public administration.

Very little of the material in this handbook is here presented for the first time. Generous use has been made of books, magazine articles, etc., of which acknowledgement is made. This is simply an attempt to "boil down" the volumes of written material on State Government organization and operations to facilitate the Commission's intensive study of the more than 100 State agencies in Minnesota.

Bradshaw Mintener
Chairman

Minneapolis, Minnesota

May, 1950

PREFACE

The use to which this handbook can be put will be most quickly shown by a step-by-step outline of anticipated procedures of the committees.

First, the committees will hear administrative personnel, and others, who know the state government from the management level --- the Commissioner of Administration, the Director of Civil Service, etc.

Second, agency heads will be asked to appear and orally describe and discuss the information contained in the agency reports on file with the Commission, having to do with

1. Major functions and activities of their agencies, changes in functions and activities since 1939, performance position of Minnesota among the 48 states, and changes in amounts of money available to the agency in the past five years:

2. The organization of the agency, whether by purpose, process (technical skills), area, or clientele; the number of subordinates reporting directly to the agency head; recent changes in the organization of the agency;

3. Any matter of organization, operations, transfer of functions, duplication and overlapping, inter-agency relations within or without the state government, and any other matter which would help to achieve greater efficiency and economy in state government administration.

Third, committees will make on-the-site studies within the agencies;

Fourth, the work of preparing tentative reports will begin;

Fifth, after review of tentative reports by the whole Commission in order to coordinate information and recommendations, any additional studies still needed will be made;

Sixth, the final report will be prepared for delivery to the Governor and the Legislature not later than January 1, 1951.

It is hoped that the Commission and its committees will be assisted in their work by the brief statements of some generally accepted "principles" of organization and practice, and pertinent questions which may be had in mind when hearings are held or first hand observations are made, which statements and questions are contained herein.

LeRoy F. Harlow

ACKNOWLEDGEMENTS

Grateful acknowledgement is made to the following for permission to use material from the publications listed below. Without this permission, this handbook would be of little value.

HARPER AND BROTHERS
Arthur W. Bromage, State Government and Administration in the United States. Copyright 1936 by Harper & Brothers, New York.

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Carl H. Chatters and Irving Tenner, Municipal and Governmental Accounting, second edition. Copyright 1940, 1947 by Prentice-Hall, Inc., New York.

THE COUNCIL OF STATE GOVERNMENTS
Luther W. Gulick, Effective State Government: A Problem of Organization (in "State Government Magazine"). June, 1939.

THE INTERNATIONAL CITY MANAGERS' ASSOCIATION
The International City Managers' Association, Check List on How Cities Can Cut Costs. Copyright 1949 by The International City Managers' Association, Chicago.

The International City Managers' Association, Municipal Finance Administration, third edition. Copyright 1946 by The International City Managers' Association, Chicago.

The International City Managers' Association, The Technique of Municipal Administration, third edition. Copyright 1947 By The International City Managers' Association, Chicago.

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Frederic A. Ogg and P. Orman Ray, Introduction to American Government. Copyright 1942 by Appleton-Century-Crofts, Inc. New York.

AMERICAN UNIVERSITY PRESS
Catheryn Seckler-Hudson, Processes of Organization and Management. Copyright 1948 by The American University, Washington.

SOME "PRINCIPLES" OF PUBLIC ADMINISTRATION

1. Administrative organizations are created to achieve some purpose or object.

2. The steps in creating an administrative organization are: (1) separating into its component parts the job of achieving the purpose or object for which the organization is to be created; (2) assigning the job parts to positions (which are the basic units in any organization); and (3) assembling the positions so that in performing their part of the job they contribute to accomplishment of the purpose or object of the organization.

3. The major subdivisions of administrative organizations are frequently classified as (1) "line"agencies; (2) "auxiliary" agencies, and (3) "staff" agencies. Line agencies are those whose primary function is to serve and/or regulate individuals in accomplishing the primary purposes of government, e.g. Highway Department, Police Department, Social Welfare Department, etc. Auxiliary agencies are those whose primary function is to serve the line agencies by performing certain functions which formerly were common to two or more line agencies within the administrative organization; e.g. a central purchasing agency. Staff agencies are those whose function is to observe, study, plan, and advise, but not command, e.g. a central planning agency.

4. The major characteristics of good administrative organization are efficiency and responsiveness.

5. In order that the executive branch of State Government may attain the maximum of efficiency and responsiveness, authorities seem to agree that the following are both essential and desirable:

a. A chief executive possessing sufficient authority to match his responsibility, and with sufficient staff to aid him in doing those things which he must do;

b. Organizational units grouped under the single headed direction of about 20 or less immediate subordinates to the chief executive responsible to him and through him to the legislative body and the people;

c Election of only the chief executive and the person to succeed him in the event of his inability to complete his term;

d. A continuous chain of responsibility from the chief executive to the lowest level position in the administrative hierarchy, with unity of command and authority commensurate with responsibility resting at every level;

e. The terms of office of the immediate subordinates of the chief executive corresponding to the term of the chief executive;

f. Immediate subordinates of the chief executive serving at his pleasure, and they in turn having power to appoint and remove their subordinates, subject to merit system provisions;

g. The use of boards and commissions to head administrative units only if, and to the extent that, those units perform quasi-legislative and quasi-judicial functions;

h. Provision for an independent post-audit under the direction of the legislative body, to serve as a check on the chief executive and his agency heads to make certain that funds appropriated by the Legislature are spent in accordance with the program it authorized. The auditor should have no connection whatever with the executive branch of the government, because "no man can audit his own books."

CHECK LIST

EXECUTIVE MANAGEMENT

	Yes	No
1. Has the placing of administrative authority in independent boards and commissions been avoided?	___	___
Notes:		
2. Has the number of separate agencies been reduced so that not more than twenty persons report to the chief executive?	___	___
Notes:		
3. Is the chief executive provided with sufficient staff to establish effective management controls, and to carry on a constant search for economies and improvements in methods, organization, procedures, equipment, staffing, and programs?	___	___
Notes:		
4. Does the chief executive have the necessary power to appoint and remove subordinate administrative officials?	___	___
Notes:		
5. Are agency heads required to prepare detailed plans of action before instituting new programs or activities?	___	___
Notes:		
6. Are agency heads required to submit work programs and justifications in support of dollar estimates when submitting their budget requests?	___	___
Notes:		
7. Does the chief executive exercise constant direction and control over all activities through personal inspections, periodical reports, frequent conferences with agency heads, and financial reports?	___	___
Notes:		

	Yes	No
8. Are agency heads required to submit monthly reports to show work performed, work scheduled, and back-log, with comparable data for other periods?	___	___
Notes:		
9. Are agency heads encouraged to keep abreast of new methods through regular reading of pertinent literature, occasional visits to other jurisdictions, and participation in their respective professional organizations?	___	___
Notes:		
10. Can any function or activities presently carried on by the state be delegated to a lower level of government? Discuss.	___	___
Notes:		
11. Are all regular, full-time employees, except agency heads, under civil service?	___	___
Notes:		
12. Does the state have a personnel director who is appointed by the chief executive?	___	___
Notes:		
13. Are agency heads selected for management ability as well as for technical knowledge?	___	___
Notes:		
14. Are the personnel procedures simplified by decentralizing authority to the greatest degree consistent with maintenance of adequate controls? (e.g. Has proper weight been given to the value of centralized control for such matters as sick leaves and vacations as against the saving in paper work and man power which would result from decentralized controls?)	___	___
Notes:		
15. Does the state have a unified department of finance under a chief finance officer who is appointed by the chief executive?	___	___
Notes:		

	Yes	No
16. Do the agencies prepare budgets, and are such budgets reviewed on the basis of analyses of departmental services and work programs using standard work units whenever possible?	___	___
Notes:		
17. Has the preparation of the annual operating budget been integrated with a long-term improvement budget so that the operating budget includes capital projects programmed for commencing during the budget year?	___	___
Notes:		
18. Is there a continuous program of budgetary review and control, including a system of quarterly allotments, to get agencies to analyze and adjust their programs throughout the entire fiscal year?	___	___
Notes:		
19. Is there a system for the control of all expenditures from budget appropriations so that the expenditure program is under constant review and is subject to revision as changes in work-loads and revenue receipts occur within the fiscal period?	___	___
Notes:		
20. Are possible deficits avoided by revising future allotments in case expenditures at any given time exceed the estimates or actual revenues are lower than estimates?	___	___
Notes:		
21. Are agency heads required to report periodically on work units completed so that they will exercise real responsibility for budget control?	___	___
Notes:		
22. Are overdrafts in appropriations and allotments avoided by having all purchase commitments and other encumbering documents cleared as to availability of funds before such orders, contracts, or other documents are released to the vendor?	___	___
Notes:		

	Yes	No
23. Are cost accounting methods in general use and integrated with the general accounting system as a basis for determining unit costs to indicate the degree of efficiency in which service is being rendered?	—	—
Notes:		
24. Does accounting control include rents, buildings, equipment, stores, and other state-owned property?	—	—
Notes:		
25. Is control of accounting practices of all agencies (including independent boards and commissions) centralized under the chief finance officer?	—	—
Notes:		
26. Is there a definite program for reviewing office systems and procedures to eliminate unnecessary operations and to simplify methods of performing work, using the services of private office systems consultants or the state's own specialists?	—	—
Notes:		
27. Is there a definite long-term debt reduction policy based on debt requirements for principal and interest and related to annual and capital budgets?	—	—
Notes:		
28. Is there a centralized purchasing system?	—	—
Notes:		
29. Does the purchasing system have as one of its objectives the use of good specifications to obtain lower unit prices and higher quality of materials and supplies?	—	—
Notes:		
30. Have auxiliary functions of state government been centralized, e.g. purchasing, stores, automotive maintenance, printing and duplicating, messenger service, accounting, and personnel?	—	—
Notes:		

	Yes	No
31. Is effective control maintained over the purchase, storage, issuance, and use of all materials and supplies? Discuss.	___	___
Notes:		
32. Is there a central stores system for control of the use of supplies and materials?	___	___
Notes:		
33. Have procedures been installed for the control of payment of invoices not covered by purchase orders and for emergency purchasing of supplies? Discuss.	___	___
Notes:		
34. Have geographical limitations upon bidders been removed in order to stimulate greater competition among bidders on contract work?	___	___
Notes:		
35. Does the state award contracts to the lowest responsible bidder in all cases, and without exception?	___	___
Notes:		
36. Are studies frequently made to determine the most economical quantities to purchase?	___	___
Notes:		
37. Are bidders requested to quote cash discounts for prompt payment?	___	___
Notes:		
38. Is there an established system which insures that payment is made in time to take advantage of cash discounts?	___	___
Notes:		
39. Are bidders requested to quote quantity trade discounts?	___	___
Notes:		

	Yes	No
40. Is there an established system of pre-qualification of bidders to insure a minimum of delay in deliveries and substitutions? Notes:	—	—
41. Does any agency have the authority to standardize throughout all agencies the use of supplies and equipment to minimize the number of separate purchases, to reduce inventories, and to realize the advantages of bulk buying? Notes:	—	—
42. Have the costs of office supplies been actually reduced by standarization, quantity purchases, and maintenance of a central supply store system? Notes:	—	—
43. Has any progress been made in the last two years in downward revision of specifications for some materials and supplies which may be of higher quality than is needed? Notes:	—	—
44. Does the state purchase cooperatively with other governmental units, including federal and local governmental units, to reduce freight costs and provide price discounts for quantity purchases, (e.g. coal, petroleum products, etc.)? Notes:	—	—
45. Is there an established system for receiving goods and for testing and inspecting deliveries to see if they conform in both quality and quantity to bid specifications and orders? Notes:	—	—
46. Is there a system of securing competitive bids for salvage materials for sale by the state? Notes:	—	—
47. Does the state require payment for salvage material before removal by the buyer? Notes:	—	—

	Yes	No
48. Does the state purchase on a competitive bid basis a blanket fidelity bond required by the state for the faithful performance of their duties by its officers and employees?	___	___
Notes:		
49. Is all state-owned motor and other equipment, and tools, stamped and painted a distinctive color to avoid theft or loss?	___	___
Notes:		
50. Have service recording devices been installed on all motor equipment where appropriate?	___	___
Notes:		
51. Has the state established one or more central motor pools or garages to service and maintain all state-owned automotive equipment and to control the use of trucks and passenger cars?	___	___
Notes:		
52. Is responsibility so fixed as to insure frequent inspection and regular preventive maintenance for all equipment, including not only automobiles, but billing machines, calculators, typewriters, large stationary motors, pumps, generators, etc.?	___	___
Notes:		
53. Has it been determined whether inspection and maintenance service on equipment can be done more cheaply by private firms than by the state?	___	___
Notes:		
54. Where it has been determined that private service is cheaper than the state can provide, have typewriters and other equipment been maintained in good operating condition by regular inspection and servicing through an annual service contract let by competitive bids?	___	___
Notes:		
55. Is space allocation the responsibility of a single agency?	___	___
Notes:		

	Yes	No
56. Are offices combined and unused space put to use wherever economy could be effected by so doing? Notes:	___	___
57. Is the maintenance of all state-owned buildings centralized under one agency? Notes:	___	___
58. Have postage meters been installed in all cases where individual purchasing of stamps might occur? Notes:	___	___
59. Are the operations of the centralized telephone, mail, messenger, and duplicating services reviewed sufficiently often to guarantee maximum efficiency by those services? Notes:	___	___
60. Is maximum use made of machines by interchange of equipment between offices and by channeling work to centralized installations where highly specialized equipment is required? Notes:	___	___
61. Does the state make frequent checks to determine whether particular work can be done more cheaply by state forces or by private contract? Notes:	___	___
62. Are rules and regulations formulated and enforced for the preservation, storage, transfer, and discarding of records? Notes:	___	___
63. Does the state have a central planning agency? Notes:	___	___
64. Is the head of the planning agency appointed by the chief executive? Notes:	___	___

	Yes	No
65. Does the state adopt, revise, and extend annually, a long-term plan for improvements and their financing?	___	___
Notes:		
66. Are future construction projects being balanced with employment trends in the state to avoid as much as possible the high cost of high employment periods and to promote needed construction in times of low level employment?	___	___
Notes:		
67. Has adequate provision been made in the annual operating budget to maintain and staff the facilities contemplated in the capital budget?	___	___
Notes:		
68. Does the chief executive prepare an annual report, or does he provide other informational material, addressed directly to the people of the state to inform them of the needs and progress of the state government?	___	___
Notes:		

INTERNAL MANAGEMENT AND OFFICE PRACTICES

	Yes	No
69. Does the agency head exercise constant direction, control, and supervision over activities of the agency through personal inspections, periodical reports, frequent conferences with subordinate heads, and financial reports?	—	—
Notes:		
70. Has the number of organizational units in the agency been reduced so that not more than twenty persons report directly to the agency head?	—	—
Notes:		
71. Is the agency head provided with monthly statements covering the revenue and expenditures of his agency in such detail as to permit an adequate review of revenue receipts and the effect of the operations of the month on the expenditure program?	—	—
Notes:		
72. Does the agency head have sufficient staff assistance to free him from details in order that his time and energy may be devoted to managing the agency?	—	—
Notes:		
73. Does the agency head have the necessary power of appointment and removal over his subordinates?	—	—
Notes:		
74. Do the heads of subordinate units within the agency appreciate the necessity for planning office work and are they required to reduce plans and schedules to writing in so far as possible?	—	—
Notes:		
75. Does the agency head have frequent staff conferences with key personnel and occasional conferences with all members of the agency?	—	—
Notes:		

	Yes	No
76. Is time saved wherever possible by using inter-office memoranda instead of too-frequent conferences?	___	___
Notes:		
77. Are the duties and responsibilities of all unit heads and supervisory employees defined and their relationship set forth in organizational charts and written instructions?	___	___
Notes:		
78. Have procedures been established which place day-to-day responsibility for control of costs, such as requiring the chief executive or some major administrative official to give approval before agencies are permitted to fill personnel vancancies, to initiate major expenditures, or to proceed with other than routine work?	___	___
Notes:		
79. Are methods used to check and insure that the policies, methods, procedures, and practices established are actually in effect throughout the entire organization? Discuss.	___	___
Notes:		
80. Are division and bureau heads required to report periodically to the agency head the number of work units completed so that they will carry forward the program set forth in the budget?	___	___
Notes:		
81. Are work schedules so prepared as to indicate partial and final completion dates so that progress can be checked periodically?	___	___
Notes:		
82. Does the agency maintain charts showing programmed work schedules and actual performance?	___	___
Notes:		
83. Has every internal report that does not serve a control purpose been eliminated?	___	___
Notes:		

	Yes	No
84. Are division, bureau, and section heads encouraged to keep abreast of developments in their fields through regular reading of pertinent literature, visits to other jurisdictions, and participation in their respective professional organizations?	___	___
Notes:		
85. Are supervisory personnel selected for proven or potential management ability as well as for technical knowledge?	___	___
Notes:		
86. Are qualified office supervisors in charge of all major groups of clerical workers?	___	___
Notes:		
87. Are employee transfers used to broaden employee experience, increase employee satisfaction, and improve the efficiency of the service?	___	___
Notes:		
88. Do office supervisors participate in training programs, the work of such professional associations as the National Office Management Association, read office management publications, and use standard handbooks on office practice, in order to increase their competency?	___	___
Notes:		
89. Are there any formal orientation programs in effect in the agency? Describe.	___	___
Notes:		
90. Are all important procedures and job instructions set forth in writing, preferably in the form of an office manual?	___	___
Notes:		
91. Are there any in-service training programs under way in the agency? Discuss.	___	___
Notes:		

	Yes	No
92. Are high-level administrative positions filled from the ranks when qualified employees are available? Notes:	___	___
93. Are all employees carefully informed of established provisions for vacations, sick leave, and standard working hours? Notes:	___	___
94. Have arrangements been made for adequate emergency medical and nursing facilities either through state agencies or outside agencies? Notes:	___	___
95. Do the employees of the agency have a "sense of belonging" or team spirit, particularly among supervisory employees, resulting from opportunities for frequent contact with higher officials and opportunities to learn of policies, major problems, and accomplishments of the organization? Notes:	___	___
96. Has the agency developed standard units of measurement for as many operations as possible and established standards of performance for each unit? Notes:	___	___
97. Has the agency established and does it now impartially enforce definite rules concerning attendance, working hours, rest periods, and maintenance of orderly work places? Notes:	___	___
98. Has control been centralized over the collection of all moneys within the agency? Notes:	___	___
99. Are taxpayers permitted to pay taxes in installments, where this can be arranged? Notes:	___	___

	Yes	No
100. Within the past two years in your agency, have any work simplification studies been made and changes put into effect? Describe. Notes:	—	—
101. Does your agency constantly compare operating practices with those of other organizations and keep abreast of new methods and machinery which may make cost reductions possible? Notes:	—	—
102. Does the agency have any records showing a comparison of accomplishments between this agency and similar agencies in other states? Discuss. Notes:	—	—
103. Have flow charts of work been traced out on paper and been used to reduce the number of steps necessary to process work? Notes:	—	—
104. After thorough study of procedures and work-loads, does the agency plan new or revised office layouts by using scale drawings and templates so that all furniture, equipment and personnel will be located according to normal flow of work? Notes:	—	—
105. Is the office layout for all units within the agency effective for best results? Notes:	—	—
106. Is the equipment presently in use suitable for the purposes of the agency? Notes:	—	—
107. Has the agency eliminated every form and every extra copy of forms and reports that is not absolutely essential to the functions of the agency? Notes:	—	—

	Yes	No
108. Are employees transferred in and out of this agency, and among the units within this agency, to meet peak loads thus stabilizing and reducing the need for extra help? Notes:	___	___
109. Is provision made for prompt transfer of personnel between units within the agency to meet work peak loads in emergencies? Notes:	___	___
110. Are work loads evenly distributed within the agency? Notes:	___	___
111. Have all bottlenecks within the agency been eliminated? Discuss. Notes:	___	___
112. Are peak loads handled without confusion and disruption of normal operations? Notes:	___	___
113. In so far as possible, are peak loads (such as payroll preparation) eliminated by rescheduling operations and thus avoiding overtime and excessive staffing? Notes:	___	___
114. Has work volume required of individual employees been equalized within clerical groups? Notes:	___	___
115. Are cost accounting records kept wherever practical? Notes:	___	___
116. Have work routines been analyzed to establish simple methods for counting and reporting units of work, methods that can be used for setting performance standards and judging personnel requirements on a factual basis? Notes:	___	___

	Yes	No
117. Are devices used to check out-put in field operations? Discuss. Notes:	___	___
118. Are supervisors of field operations required to submit daily or weekly reports on amounts of work performed? Notes:	___	___
119. Are cost accounting records used to determine unit costs on which to compare performance and base budget requests? Notes:	___	___
120. Are payroll procedures modernized by standardizing timekeeping methods, certifying of employment and payrolls by the central personnel agency, reporting of attendance and leaves of absence, and mechanizing preparation? Notes:	___	___
121. Does the agency maintain close control over materials and supplies by the use of modern storage, issuance, and inventory procedures? Notes:	___	___
122. Is one person in each office responsible for requisitioning supplies, maintaining an orderly stationery and forms cabinet, and encouraging rank and file employees to be "cost conscious" in the use of supplies? Notes:	___	___
123. Is one official or office responsible for cataloging and reviewing all printed stationery and forms to insure that unnecessary forms are eliminated, that forms are properly designed and economically printed and distributed, and that the systems of which the forms are a part are as simple and efficient as possible? Notes:	___	___

	Yes	No
124. Are forms and stationery reproduced by offset methods to reduce costs? Notes:	—	—
125. Are drivers of state-owned vehicles examined and certified before being permitted to operate state-owned equipment? Notes:	—	—
126. Is mechanical equipment used wherever work can be done more rapidly and effectively than manually? Notes:	—	—
127. Has the agency installed such labor saving devices as mail opening, dictating, photograph recording, billing, accounting, tabulating, and bookkeeping machines, where volume justifies installation? Notes:	—	—
128. Are old records that should be retained microfilmed to reduce the need for storage space? Notes:	—	—
129. Is mechanical equipment used in the preparation of tax rolls, etc., and in handling collections? Notes:	—	—
130. Does the agency use window envelopes for correspondence and forms where appropriate, and are self-addressed return envelopes provided with license applications, tax bills, and other items warranting prompt response in order to reduce follow-up cost and to provide customer convenience? Notes:	—	—
131. Is use made of specialized forms, such as continuous feed or snap-out carbons with special mechanical holding or feed devices when fully justified by saving in clerical time? Notes:	—	—

	Yes	No
132. Are all types of maintenance programmed on a preventive basis rather than waiting until complaints are filed or breakdowns or serious deterioration of equipment and facilities occur?		___
Notes:		
133. Have rentals been reduced (if office space is rented) by combining certain offices?	___	___
Notes:		
134. Are rules established and enforced regarding the use of departmental equipment, material and supplies?	___	___
Notes:		
135. Have rigid controls been provided over the use of motor vehicles to curtail unnecessary or poorly scheduled driving and to eliminate personal use?	___	___
Notes:		
136. Has travel between the field offices and the central office been reduced to the very minimum?	___	___
Notes:		
137. Is the travel expense allowance adequate?	___	___
Notes:		
138. Do all employees, including labor, receive their pay in the form of checks rather than in cash?	___	___
Notes:		
139. Does a representative of the finance department distribute paychecks individually on test occasions?	___	___
Notes:		

	Yes	No
140. Are offices adequately illuminated through installation of modern lighting fixtures and careful planning of colors of ceilings, floors, walls, furniture, and other equipment?	___	___
Notes:		
141. Have posture chairs and other special seating equipment been provided where needed and is such equipment regularly checked to see that it is properly adjusted for the person regularly using it?	___	___
Notes:		
142. Have analyses been made of physical facilities and working areas to provide the best possible physical conditions for the joint purpose of safeguarding employees' health and reducing accidents?	___	___
Notes:		
143. Has the agency reduced accidents among employees by developing broad accident prevention programs with emphasis on safety training?	___	___
Notes:		
144. Does the agency provide for prompt and frequent payments on construction contracts to engender lower bids by reducing the amount of capital a contractor needs to run a job?	___	___
Notes:		
145. Are analyses regularly made of services performed by private contract to determine possible savings through changes in contract specifications?	___	___
Notes:		

RELATIONS WITH EXECUTIVE STAFF AGENCIES

	Yes	No
146. Have difficulties between the agency and the Department of Administration with respect to budgets and allotments been resolved to the satisfaction of both agencies in every instance?	___	___
Notes:		
147. Is the agency head satisfied that the purchasing procedure is of assistance to the agency and provides greater savings than would result if the agency did its own purchasing?	___	___
Notes:		
148. Does the central store room facilitate the work of the agency?	___	___
Notes:		
149. Does the Department of Administration press for elimination of waste, lower unit costs, and other efficiency and economy measures? Discuss.	___	___
Notes:		
150. Does the central personel agency handle personnel problems sufficiently promptly to meet the needs of the agency?	___	___
Notes:		
151. Does the agency head feel that the central personnel agency can provide better personnel service than the agency could provide for itself?	___	___
Notes:		
152. Is the classification plan kept up to date?	___	___
Notes:		
153. Are service rating forms for employees adequate and well handled?	___	___
Notes:		

	Yes	No
154. Have all difficulties and differences between the agency and the State Auditor's Office been eliminated to the complete satisfaction of both agencies?	___	___
Notes:		
155. Has the agency and the Auditor's Office coordinated their accounting activities so as to completely eliminate duplication of accounting records?	___	___
Notes:		
156. Is the relationship between the agency and the Attorney General's Office completely satisfactory?	___	___
Notes:		
157. Does the agency prefer having their legal adviser within the office of the Attorney General rather than being a part of their own agency?	___	___
Notes:		
158. Does the agency head feel that if greater control over promotions, vacations, and merit increases rested in the agency that efficiency would be increased?	___	___
Notes:		

PERSONNEL

	Yes	No
159. Has there been formulated a comprehensive personnel program based on the merit system?	___	___
Notes:		
160. Has the central personnel agency delegated to operating agencies the authority to classify positions, and to recruit and select personnel, subject to standards fixed by the personnel agency and subject to final approval of the personnel agency?	___	___
Notes:		
161. Do the operating departments accept responsibility for many personnel activities with the support and assistance of the personnel officer?	___	___
Notes:		
162. Does the central personnel agency analyze all requests for personnel additions or replacements in relation to work load and other factors?	___	___
Notes:		
163. Are all regular, full time employees, except agency heads, under Civil Service?	___	___
Notes:		
164. Are tests used to determine the relative qualifications and abilities of applicants and to establish employment lists?	___	___
Notes:		
165. Does the central personnel agency, by cooperative agreement or contract, use outside services to provide joint examinations, by surveys, training programs, and test validation studies?	___	___
Notes:		

	Yes	No
166. Are applicants for supervisory positions certified to eligibility lists on the basis of management ability as well as technical knowledge?	—	—
Notes:		
167. Have there been established desirable education, experience, and health standards in the examining program for filling all positions under Civil Service?	—	—
Notes:		
168. Does the central personnel agency use the testing and referral facilities of other governmental agencies in the recruitment of personnel?	—	—
Notes:		
169. Is wide publicity given to existing or contemplated vacancies to encourage competition?	—	—
Notes:		
170. Is a re-employment list maintained to encourage the return of former employees who have left the service while in good standing?	—	—
Notes:		
171. Have "spoils" appointments been eliminated, and are appointments made solely on the basis of ability, training and experience?	—	—
Notes:		
172 Are high level administrative positions filled from the ranks when qualified employees are available?	—	—
Notes:		
173. Does the State recruit qualified personnel without regard to residence?	—	—
Notes:		

	Yes	No
174. Do employees have a greater loyalty to the head of their agency than they do to "Civil Service"?	—	—
Notes:		
175. Are salaries at all levels adequate to attract people of the competency necessary for the position?	—	—
Notes:		
176. Have studies been made within the past two years to determine what positions are needed to carry on the functions assigned to agencies by the legislature; what tasks must be assigned to each position; and what relationships, supervisory and otherwise, should exist between encumbents?	—	—
Notes:		
177. Are positions eliminated and consolidated whenever possible and when consistent with service requirements?	—	—
Notes:		
178. Is organizational analysis a part of regular classification review actions so that all possible consolidations may be brought to the attention of operating agency heads?	—	—
Notes:		
179. Is the pay plan so instituted as to permit pay rates to conform with current economic conditions and prevailing rates for comparable work in the area?	—	—
Notes:		
180. Have salaries been standardized in all cases so that persons doing the same kind of work receive like pay?	—	—
Notes:		
181. Have salaries been substituted for the fee system in all cases?	—	—
Notes:		

	Yes	No
182. Are the salaries paid to all craft and trade employees who are hired on a year around basis for maintenance work, based on maintenance rates rather than construction rates?	—	—
Notes:		
183. Is provision made for within-grade, periodical salary increases based on merit and ability?	—	—
Notes:		
184. Is provision made for a probationary period for all new employees?	—	—
Notes:		
185. Is the probationary period actually used for careful appraisal of new employees and for the removal of other than promising employees?	—	—
Notes:		
186. Is there in effect a prohibition against solicitation for contributions by employees to party campaign funds?	—	—
Notes:		
187. Is there a specific program for promoting career employees and for opening up promotional opportunities across agency lines?	—	—
Notes:		
188. Are employees informed about the promotional policy in effect and are they advised promptly of changes in such policy?	—	—
Notes:		
189. Are promotional opportunities brought to the attention of all employees and are employees permitted to compete for advancements?	—	—
Notes:		
190. Is there a "seniority rule" which governs promotions and lay-offs?	—	—
Notes:		

	Yes	No
191. Has the application of the seniority rule reduced the efficiency of the agency? Discuss. Notes:	___	___
192. Has use been made of disciplinary committees to investigate disciplinary matters for the agency head and to make recommendations to him? Notes:	___	___
193. Is selection for retention rather than elimination used when reductions in force are necessary? Notes:	___	___
194. Are reductions in force based on merit principles? Notes:	___	___
195. Is there in effect a published, clearly understood, brief, straightforward statement of policy regarding the procedures to be followed in dismissing incompetent employees? Notes:	___	___
196. When dismissals must be made is the published policy made available to all employees in order that they may be made familiar with it? Notes:	___	___
197. Are orientation courses available to each new employee in every agency? Notes:	___	___
198. Are on-the-job training programs used regularly in all agencies? Discuss. Notes:	___	___

	Yes	No
199. Are any in-service training programs in management problems and techniques available to top administrative personnel? Notes:	___	___
200. Are any in-service training programs for supervisors and other employees underway at the present time? Discuss. Notes:	___	___
201. Do the in-service training programs include job instruction, telephone and counter courtesy? Notes:	___	___
202. Are the training facilities of schools, colleges and national professional organizations and agencies used? Notes:	___	___
203. Is the rate of turnover of employees below that in private industry for similar types of employment? Discuss. Notes:	___	___
204. Are monthly and cumulative records of turnover by agency and classification maintained? Notes:	___	___
205. Are turnover records analyzed periodically for causes and possible correction? Notes:	___	___
206. Are financial and non-financial incentives used to increase employee output? Notes:	___	___
207. Is there a system for rewarding employees for suggestions as to improvements or economy? Notes:	___	___

	Yes	No
208. Does the legislature appropriate a sum of money specifically for the purpose of providing rewards for suggestions?	___	___
Notes:		
209. Are salary increases used as rewards for valuable suggestions?	___	___
Notes:		
210. Is there a system for receiving and following up criticisms and complaints of the agency's work? Describe.	___	___
Notes:		
211. Are complaints and criticisms used to measure efficiency of the agency?	___	___
Notes:		
212. Is a system established and regularly used for rating performance of employees?	___	___
Notes:		
213. Is there an established counseling, grievance, and appeal procedure designed to aid employees in solving work and personal problems and to protect them from unjust treatment?	___	___
Notes:		
214. Are employee transfers used to broaden employee experience, increase employee satisfaction, and improve the efficiency of the service?	___	___
Notes:		
215. Has the State prepared a clear and understandable statement of personnel policies and procedures?	___	___
Notes:		

	Yes	No
216. Is a copy of a printed statement of personnel policies and procedures given to each employee without his asking? Notes:	___	___
217. Does the statement of personnel policies and procedures clearly describe established provisions for vacations, sick leave, and standard working hours? Notes:	___	___
218. Are provisions regarding vacation, sick leave, etc. uniformly applied to all employees? Notes:	___	___
219. If exceptions to the rules are made for particular employees because of special conditions are the other employees within the agency satisfactorily informed of the reason therefor? Notes:	___	___
220. Are supervisors and employees encouraged and given an opportunity to participate in the formulation and improvement of personnel policies and practices? Notes:	___	___
221. Are the employees of the agency organized so that they have a representative who appears for them in dealings with the management? Notes:	___	___
222. Are employee representatives dealt with fairly and frankly when they approach management for discussion of employee problems or grievances? Notes:	___	___
223. Is there an established policy of both the legislature and the principal administrative officials regarding employee organization? Notes:	___	___

	Yes	No
224. Are employees informed of current policies regarding employee organizations and are they immediately advised of changes in policy? Notes:	—	—
225. Are a number of the people within the agency members of their respective national professional organizations? Describe. Notes:	—	—
226. Has the morale of the employees been raised the publication of an employee newspaper or newsletter, service awards for long or meritorious service, the encouragement of recreational and welfare activities, and similar activities? Describe. Notes:	—	—
227. Is provision made for group employee health, accident, and hospital insurance coverage? Notes:	—	—
228. Has there been a reduction in accidents among State employees because of an established accident prevention program with emphasis on safety training? Describe. Notes:	—	—
229. Are all employees informed of established arrangements for medical and nursing facilities for use in emergencies? Describe. Notes:	—	—
230. Within the last three years have analyses been made of physical facilities and working areas to provide the best possible physical conditions in order to safeguard employee health and reduce accidents? Notes:	—	—
231. Is there an established compensation policy for the protection of employees who suffer from work-connected injuries? Notes:	—	—

	Yes	No
232. Is there one over-all retirement system for all State employees?	—	—
Notes:		
233. Is the State employee retirement system (or systems) actuarially sound?	—	—
Notes:		
234. Has the legislature created legislation permitting State employees to be covered by the national Social Security program if and when such coverage becomes available?	—	—
Notes:		

FINANCE

	Yes	No
235. Is there a plan for partial or full pay-as-you-go for capital improvements? Notes:	___	___
236. Where pay-as-you-go plans are instituted, are they introduced gradually as outstanding debt is retired? Notes:	___	___
237. Are complete reports on the State's financial condition sent to prospective investors and financial institutions as a means of reducing interest costs? Notes:	___	___
238. Is the necessity for short-term borrowing held to an absolute minimum by prompt collection of revenues and by coordinating the revenue calendar with the expenditure calendar? Notes:	___	___
239. Is the borrowing program so planned as to guarantee a maximum net return on investments when the State has the choice of borrowing from its own surpluses or borrowing on the open market and keeping its surpluses invested? Notes:	___	___
240. Is surplus or idle cash kept in investments so that it may be returning, safely, an income to the State? Notes:	___	___
241. Does the State borrow from its own surpluses, when borrowing is necessary, in order that interest payments may operate to reduce tax levies regardless of the funds for which tax levies are made? Discuss. Notes:	___	___

	Yes	No
242. Are accounts of expenditures kept on an accrual basis and revenues on a cash basis?	___	___
Notes:		
243. Are agency heads provided with monthly statements covering revenue and expenditures, in such detail and sufficiently promptly, to permit adequate review of revenue receipts and the effect of the operations of the month on the expenditure program?	___	___
Notes:		
244. Are forecasts of the State's cash position made regularly and is such information put to use? Describe.	___	___
Notes:		
245. Are the accounts so set up that expenditures cannot exceed appropriations except by legal authorization?	___	___
Notes:		
246. Does the chief finance officer make a pre-audit of all expenditures?	___	___
Notes:		
247. Is an independent annual post-audit made of all accounts by qualified public accountants or by other qualified persons employed by the legislature?	___	___
Notes:		
248. Are all funds of every agency disbursed only through the treasurer or order of the properly authorized official using a voucher-warrant-check system?	___	___
Notes:		
249. Are depositories of State funds required to deposit corporate surety bonds or full-faith governmental securities of high grade in order to protect the State funds?	___	___
Notes:		

	Yes	No
250. Are petty cash accounts for purchase of small items not ordinarily stocked, payment of postage due mail, etc. adequately controlled? Describe. Notes:	—	—
251. Are fees or service charges made for departmental services? Notes:	—	—
252. Are fees and service charges sufficient to cover costs? Notes:	—	—
253. Are all legal means being applied for the prompt collection of delinquent real and personal property taxes, overdue license fees, utility service charges, fees, etc.? Notes:	—	—
254. For such property as the State assesses (or reviews the assessments on) is a scientific system for assessing established and kept up to date? Notes:	—	—
255. Does the agency supervise any State aids? Describe and discuss. Notes:	—	—
256. Does the Federal Government aid the agency financially in any way? Describe. Notes:	—	—
257. Does the Federal government maintain control over these grants? Notes:	—	—
258. Does the agency supervise Federal grants to local units of government? Describe. Notes:	—	—

PUBLIC RELATIONS

	Yes	No
259. Does the agency constantly inform the citizens of the State of its activities by press, radio, and easily understood published reports?	___	___
Notes:		
260. Has the public information program of the agency improved the cooperation and understanding of the citizens?	___	___
Notes:		
261. Do any pressure groups affect the work of the agency? Discuss.	___	___
Notes:		
262. Does the agency use advisory committees of private citizens to assist in arriving at administrative policies and procedures which affect the public?	___	___
Notes:		
263. Do representatives of the agency make public appearances to present accurate information regarding the activities of the agencies to various citizen groups?	___	___
Notes:		
264. Does the agency promulgate rules and regulations having the effect of law? Describe.	___	___
Notes:		
265. Does the agency maintain an up-to-date mailing list of persons interested in the work of the agency in order that they may be kept informed of the agency's activities?	___	___
Notes:		
266. Is every publication of the agency necessary in the performance of its functions? Discuss.	___	___
Notes:		

	Yes	No
267. Does the agency's annual report minimize statistics and use pictures, graphs, charts, cartoons, exhibits, and other modern informational devices?	___	___
Notes:		
268. Within the past two years has the agency carried on any programs for training their employees in public relations techniques?	___	___
Notes:		
269. Does the agency avoid using the lowest paid positions as the point of contact between the public and the agency?	___	___
Notes:		

PLANNING

	Yes	No
270. Does the State have a central planning agency?	___	___
Notes:		
271. Is the planning agency headed by a director appointed by the chief executive?	___	___
Notes:		
272. Are the duties and functions of the planning agency sufficiently limited that it can do a proper and adequate job of planning?	___	___
Notes:		
273. Does the planning agency use draftsmen and technical assistants from other state agencies to supplement the work of its own staff?	___	___
Notes:		
274. Does the State have one or more master plans so that day-by-day expenditures for physical maintenance and improvement will contribute to the accomplishment of a desired ultimate development of the State and its facilities?	___	___
Notes:		
275. Has the planning agency prepared a capital improvement budget related to the master plans for capital improvements and supported by sound methods of financing?	___	___
Notes:		
276. Have the capital improvement budget and the master plans been approved by the Legislature and the chief administrative officials?	___	___
Notes:		
277. Are plans and budgets re-studied and brought up to date annually?	___	___
Notes:		

	Yes	No
278. Does the State take and hold tax delinquent land, wherever practical, as sites for parks, experimental plots and other public uses?	—	—
Notes:		
279. Does the planning agency use citizen groups to make population surveys, traffic surveys, economic surveys, etc., with the dual objective of encouraging citizen participation and reducing costs of surveys?	—	—
Notes:		
280. Have studies been made and conclusions reached regarding the potentialities of the whole State for various economic activities?	—	—
Notes:		
281. Does the State concentrate its resources in various parts of the State where to do so will increase economic activity and thus benefit the entire economy of the State? Discuss.	—	—
Notes:		
282. Have thorough studies been made of methods of developing unproductive land, in which the State has large investments, in order to discover methods of salvaging the State's investment in such properties? Discuss.	—	—
Notes:		
283. Does the State government act to encourage diversification of the economic base of the State so as to reduce excessive fluctuation in employment? Discuss.	—	—
Notes:		

INSPECTIONAL SERVICES

	Yes	No
284. Has the agency recommended to the legislature or the chief executive the transfer of any inspectional activity it now performs to another State agency which can more properly perform this activity? Discuss.	___	___
Notes:		
285. Are the inspectional and licensing programs of the State agencies coordinated with those of other governmental units in order to eliminate inter-governmental overlapping and duplication?	___	___
Notes:		
286. Do the various agencies mutually exchange information on joint problems and cooperate on overall inspection programs in order to reduce the number of individual inspectors?	___	___
Notes:		
287. Have joint training programs been instituted to eliminate or avoid overlapping inspections?	___	___
Notes:		
288. Are specialized inspectional units combined so as to increase the number of inspections of each employee within a smaller area?	___	___
Notes:		
289. Has the agency reduced to a minimum the time that field inspectors must spend in the office securing assignments and preparing records of a previous day's work?	___	___
Notes:		
290. Do employees of lower grade accompany inspectors on jobs requiring the physical effort of more than one person where assistance is not locally obtainable?	___	___
Notes:		

	Yes	No
291. Have studies been made to determine what types of transportation are best suited for inspections within each individual inspection district?	___	___
Notes:		
292. Do inspectors fill out violation notices and issue them, wherever possible, at the time of initial contact?	___	___
Notes:		
293. Are permit applications tabulated by machine to eliminate hand entry of data into different ledgers?	___	___
Notes:		
294. Are original applications, plans, notices of violation, etc., microfilmed in order to save storage and file space?	___	___
Notes:		

LAW ENFORCEMENT

	Yes	No
295. Do all of the law enforcement activities come under the jurisdiction and direction of one major law enforcement agency?	___	___
Notes:		
296. Is the head of the law enforcement agency appointed by the chief executive? Discuss.	___	___
Notes:		
297. Do the law enforcement agencies conform to recognized principles of administration, including adequate and coordinated supervision, regular staff conferences, and a minimum of specialization?	___	___
Notes:		
298. Are the State's law enforcement activities coordinated with the police work of other governmental units within the region?	___	___
Notes:		
299. Do the State's law enforcement agencies meet regularly with appropriate public agencies in order to coordinate work and effectuate juvenile control programs?	___	___
Notes:		
300. Do the law enforcement agencies report to other State agencies conditions which need correction?	___	___
Notes:		
301. Are the hourly and geographical assignments of personnel based upon actual need as indicated by analyses of records of crime, hazards, traffic accidents, area, populations, racial characteristics, juvenile problems, etc.?	___	___
Notes:		

	Yes	No
302. Are high training standards maintained for employees of the agency and are employees selected on a merit basis without regard to residence?	___	___
Notes:		
303. Does the law enforcement agency periodically review all services which it provides for other agencies in order to determine whether they can be reduced or eliminated?	___	___
Notes:		
304. Have special and temporary details, such as special guard, escort work, and other activities not in the nature of regular public police functions been eliminated?	___	___
Notes:		
305. Have duty manuals and procedure manuals for law enforcement personnel been prepared and issued to assist personnel in the conduct of their work?	___	___
Notes:		
306. Are daily bulletins prepared and posted to keep law enforcement officers informed of crime and agency orders?	___	___
Notes:		
307. Is two-or-three-way radio equipment used in police cars?	___	___
Notes:		
308. Where feasible, is one man used instead of two in patrol cars?	___	___
Notes:		
309. Have mechanical devices and equipment been substituted for manpower wherever possible?	___	___
Notes:		

	Yes	No
310. Do the law enforcement agencies use such special techniques as police laboratories, lie detectors, chemical tests of intoxication, etc.?	—	—
Notes:		
311. Is full use made of scientific facilities within the area, such as college and commercial laboratories?	—	—
Notes:		
312. Is there a central records bureau employing a modern police records system and adhering to the rules of uniform crime reporting?	—	—
Notes:		
313. Is a follow-up system maintained in the records bureau to make certain that all police matters are properly investigated and satisfactorily concluded?	—	—
Notes:		
314. Does the central records bureau have a complete record of all offenses known, offenses cleared, convictions obtained, and other information conducive to better planning and control?	—	—
Notes:		
315. Do the agency's files include administrative correspondence and vice records, not necessarily in the central records bureau?	—	—
Notes:		
316. Have there been developed strong motorized forces which are deployed according to need, trained in suitable procedures, and charged with performance of all police tasks?	—	—
Notes:		
317. Do civil employees rather than law enforcement officers provide special services and perform office work?	—	—
Notes:		

	Yes	No
318. Have districts been consolidated as far as practical to increase the number of officers available for patrol duty and to cut overhead expenses? Notes:	—	—
319. Are days off and vacations staggered so as to maintain adequate police protection, every day of the year? Notes:	—	—
320. Are cost records kept in sufficient detail to determine what motor equipment is most economical and when new equipment should be purchased? Notes:	—	—
321. Is there a definite program for improving press and public relations of the law enforcement agencies? Describe. Notes:	—	—
322. Is the probationary period for new employees adequate to test their qualifications? Notes:	—	—
323. Is the discharge authority properly and courageously used during probation to eliminate incompetent personnel? Notes:	—	—
324. Are progressively larger fines assessed on repeat violators? Notes:	—	—
325. Is there either an official or semi-official group to coordinate the traffic efforts of police, traffic engineers, and other agencies? Notes:	—	—
326. Has responsibility for traffic engineering work been centralized? Notes:	—	—

	Yes	No
327. Is there a strong safety organization in the State which supports the official traffic program? Notes:	___	___
328. Are superannuates required to retire in order that the savings may be used for recruiting and training of younger personnel? Notes:	___	___

PUBLIC HEALTH

	Yes	No
329. Are all of the public health activities of the State government performed by a single agency? Notes:	—	—
330. Is the public health agency under a director who is appointed by the chief executive? Notes:	—	—
331. Have studies been made to determine what district organization or central organization can most efficiently serve the public health needs of the State? Notes:	—	—
332. Is the administration of public health laws decentralized so that many lay people in local communities are familiar with, and participate in, public health matters? Notes:	—	—
333. Does the public health agency clear its proposed regulations with other agencies performing similar functions to avoid overlapping and conflicting regulations? Notes:	—	—
334. Where possible, does the public health agency use private persons to perform certain public health activities of a temporary nature? Notes:	—	—
335. Has there been reduced to the very minimum the overlapping in the inspection of water supplies, sewage disposal, refuse and garbage disposal, milk plants, housing inspection, etc.? Notes:	—	—

PUBLIC WELFARE

	Yes	No
336. Are all State welfare activities combined within a single agency? Notes:	___	___
337. Is the agency head appointed by the chief executive? Notes:	___	___
338. Are all relief agencies in the State, whether publicly or privately financed, coordinated into one program with general assistance administered by the State welfare agency? Notes:	___	___
339. Does the classification of expenditures by the welfare agency follow generally accepted standards in order that comparisons with other states may be made? Notes:	___	___
340. Are time studies conducted to ascertain the amount of time spent on different types of cases as a basis for re-districting, improvement in office procedure, accounting for administrative costs, and for public interpretation? Notes:	___	___
341. Is there an established system to indicate when re-investigation of active welfare cases should be made? Notes:	___	___
342. Is the State's population of incarcerated persons reduced by an effective probation and parole service? Notes:	___	___
343. Is there an established and strictly controlled procedure governing repayments and refunds? Notes:	___	___

PUBLIC WORKS

	Yes	No
344. Is there a public works agency within which has been placed responsibility for all public works functions?	___	___
Notes:		
345. Is the head of the public works agency appointed by the chief executive?	___	___
Notes:		
346. Have districts been established on the basis of economy and efficiency or on the basis of political consideration?	___	___
Notes:		
347. Have borderline activities performed in the public works agency been examined to determine if they could better be administered in other agencies?	___	___
Notes:		
348. Are costly mistakes avoided by the preparation and adoption of long range (5 or 6 years) public works construction programs which are reviewed and revised annually?	___	___
Notes:		
349. Are bids on public works construction examined and checked closely for unbalanced bidding?	___	___
Notes:		
350. Has a thorough study been made of the advisability of manufacturing materials needed for public works construction?	___	___
Notes:		
351. Has the use of various makes of cars, trucks, graders, compressors, etc., been standardized in order to reduce maintenance costs?	___	___
Notes:		

	Yes	No
352. Is mechanized equipment transferred when necessary to make full use of it? Notes:	—	—
353. Have specific studies been made within the past two years to determine whether expensive hand labor could be reduced by the purchase of additional mechanized equipment such as traffic line painters, mechanical loading equipment, weed mowers and sprayers, snow loaders, air tools, etc.? Notes:	—	—
354. Is there an established system whereby law enforcement personnel will notify the public works agency of pavement defects and other such hazards and that such matters will be given prompt attention by the public works agency? Notes:	—	—
355. Does the agency have a complete and modern public works records and accounting system? Notes:	—	—
356. Are construction work cost records used to determine what work can be done more cheaply by private contract than with State employees? Notes:	—	—
357. Are time records so kept that when men are hired to meet peak workloads and emergencies, their time is charged against proper accounts? Notes:	—	—
358. Are all employees in the public works agency trained in first aid? Notes:	—	—
359. Is any official responsible for the establishment and maintenance of the orderly scheduling of projects that have been approved for construction? Notes:	—	—

	Yes	No
360. Are necessary utility installations or replacements made in highways before they are hard surfaced? Notes:	—	—
361. Is a complete and detailed program for snow plowing and removal, with which the effected personnel are completely familiar, laid out before the snow falls? Notes:	—	—
362. Does the State make every reasonable effort to follow up and collect damages from persons who are at fault for destruction of public property? Notes:	—	—
363. Is the payment of royalties on patented pavements avoided by using unpatented types? Notes:	—	—
364. Are traffic needs an important factor in determining the type and methods of construction and maintenance to be used on highways? Notes:	—	—

PARKS AND RECREATION

	Yes	No
365. Is there a single agency responsible for all recreation activities and facilities?	___	___
Notes:		
366. Is the agency head appointed by the chief executive?	___	___
Notes:		
367. Are the recreation programs of various agencies, both private and public, coordinated so as to make full use of areas and facilities?	___	___
Notes:		
368. Are national professional standards used in selecting recreational leaders?	___	___
Notes:		
369. Are recreation staffs rescheduled to serve when participation is greatest and unit costs lowest, and are recreation facilities closed when the use is slight and per capita cost is high?	___	___
Notes:		
370. Are volunteers recruited and effectively supervised to expand services and to multiply the usefulness of paid leaders?	___	___
Notes:		
371. Have badly located and inadequate recreation areas, where unit costs are high, been replaced with properties suitable in size, location, and development?	___	___
Notes:		
372. Have studies been made of the use of indoor and outdoor publicly-owned facilities with a view to preventing overlapping and of securing maximum use?	___	___
Notes:		

	Yes	No
373. Is the principle of multiple use used in design and development of indoor and outdoor recreational areas and facilities?	—	—
Notes:		
374. Are cost records on the construction and maintenance of recreation and park facilities maintained to show what kinds of equipment and materials to use?	—	—
Notes:		
375. Have certain publicly-owned facilities been studied with a view to making charges for the use of such facilities in order to make them partially or wholly self-supporting?	—	—
Notes:		
376. Is careful consideration given to possible gifts, dedications, and transfers as alternative methods of acquisition of land and facilities needed for recreation uses?	—	—
Notes:		

LIBRARIES

	Yes	No
377. Have State-owned library facilities been consolidated to provide maximum efficiency and economy? Notes:	___	___
378. Have steps been taken to provide for cooperation between libraries and the coordination of library resources within the State? Notes:	___	___
379. Do the several public libraries in the area cooperate in cataloging, rapid inter-library loan service, and book selection and ordering? Notes:	___	___
380. Do the libraries make full use of the services available from various State agencies and other governmental agencies? Notes:	___	___
381. Has careful consideration been given to the demand before deciding to put periodicals and newspapers in permanent bindings? Notes:	___	___
382. Has consideration been given to the use of microfilming by two or more libraries? Notes:	___	___
383. Do the libraries purchase materials and supplies through the central purchasing office? Notes:	___	___

	Yes	No
384. Is the order and catalog routine and charging operation simplified and made more economical by the use of self-charging or mechanical charging devices? Notes:	—	—
385. Do trained librarians pass on to lower-paid clerical employees work that can be done equally well by them? Notes:	—	—
386. Are time studies made of routine jobs such as charging out books, handling orders, etc., to ascertain whether certain records can be discarded or routines eliminated? Notes:	—	—
387. Do the libraries have a single loan period instead of variable loan periods such as 3 days, 2 weeks, 3 weeks, 1 month, etc.? Notes:	—	—
388. Have rules been adopted regarding overdue, lost and damaged books, including arrangements with the necessary officers for action in case the books are not returned? Notes:	—	—
389. Are outdated and little used material discarded to save storage space and eliminate the cost of handling? Notes:	—	—
390. Have arrangements been made with other library facilities in the area whereby one library would eliminate what the other could supply? Notes:	—	—
391. Are fees charged for special services such as reserves, lost cards, and extended research for non-residents (especially on commercial problems)? Notes:	—	—

APPENDIX

DEFINITIONS OF TERMS COMMONLY USED IN PUBLIC ADMINISTRATION.

(Note: Some of these terms, although in common use, have particular meanings when used in public administration and may have different meanings in different governmental jurisdictions.)

1. ACCOUNTABILITY: The liability of a public official for the rendering of effective reports of performance of the functions for which he is responsible.

2. ACTIVITY: A specific line of work carried on by a governmental unit in order to perform its functions.

3. ADMINISTRATIVE AUDIT: Examination of vouchers and claims by an administrative officer before they are forwarded from the spending unit to the treasurer for payment.

4. ALLOCATION OF POSITIONS: The assignment of a particular position to a predetermined class of positions.

5. ALLOCATION OF WORK: The assignment of duties to organizational units.

6. ALLOTMENT: A portion of an appropriation or special fund set aside to cover expenditures and encumbrances for a certain period or purpose.

7. APPORTIONMENT: (See Allotment) The term apportionment is used in the Federal service primarily.

8. AUDIT: An examination and certification as to the correctness and propriety of governmental expenditures. (A governmental audit is usually more than a mere verification; it is used to determine whether amounts paid or claimed were legal and regularly subject to disbursement, and the validation of the audit is the ultimate authorization to pay.)

9. AUTHORITY: The power to give orders and see that they are obeyed; the capacity to make decisions that are accepted by a subordinate as a guide to his behavior, irrespective of his own judgment as to the merits of those decisions.

10. AUXILIARY AGENCY: An agency of government whose function is to perform a common activity, enabling the line agencies to maintain themselves as working organizations, e.g., a central purchasing department.

11. BUDGET: An estimate of proposed expenditures for a given period or purpose and the proposed means of financing them.

12. BUDGETARY CONTROL: A system for controlling expenditures, composed of allotment of expenditures from appropriations, appropriation and encumbrance accounting, reports on receipts and expenditures, and work programs of operating units.

13. CENTRALIZATION: Transfer of administrative authority from a lower to a higher level of government, e.g., from state government to national government.

14. CERTIFICATION: The process of sending to an appointing officer the names of those who are eligible for appointment.

15. CHAIN OF COMMAND: The route by which orders flow from a superior to a subordinate and through which response flows from a subordinate to a superior.

16. CHARACTER CLASSIFICATION: A term applied to expenditures and referring to the relationship of expenditures to prior, current or future fiscal periods.

17. CLASS OF POSITIONS: A group of positions similar in duties and responsibilities, requiring substantially the same education, experience, knowledge, ability, and tests of fitness of incumbents, and providing the same schedule of compensation under substantially the same employment conditions.

18. CLASS SPECIFICATION: A formal statement of the duties and responsibilities of the positions in one class, illustrated by examples of work performed and of the qualifications and requirements of the positions in the class.

19. CONSOLIDATION: Reorganizing numerous administrative offices into a few coordinated departments under direction of single individuals appointed by the chief executive or chief administrator and responsible to him.

20. CONTROL: The examination of results. Making sure that all operations at all times are carried out in accordance with the plan adopted, with the orders given, and with the principles laid down.

21. COORDINATION: Adjusting the various segments of the organization to make a smooth-working machine, keeping principal objectives foremost and reducing to a minimum conflicts of purpose and activity.

22. COST ACCOUNTING: The process of searching out and recording all of the elements of expense incurred to attain a purpose, to carry on an activity or operation, to complete a unit of work, or to do a specific job.

23. COST UNIT: The quantity or amount which is selected to form a yardstick by means of which the cost of a given piece of work may be compared with a standard cost or with the cost of similar work, e.g., a cubic yard of pavement or sidewalk.

24. DECENTRALIZATION: The transfer of administrative authority from a higher to a lower level of government, e.g., from the state to a municipality.

25. DELEGATION OF AUTHORITY: The conferring of a certain specified authority by a higher authority.

26. DELEGATION OF WORK: Seeing that laws are executed by giving to others responsibility for the actual performance of the work.

27. DIRECTION: To command, coordinate, and control.

28. DISBURSEMENT: The paying out of public funds by a disbursing officer even though payment may be made as a refund, internal transfer, etc., and may not be a current expense, capital outlay, or debt retirement item. (Total disbursements are usually greater than total costs of government because they include movements of credits within the administrative organization.)

29. ENCUMBRANCE: Obligations in the form of purchase orders or contracts which are to be met from an appropriation and for which a part of the appropriation is reserved. They cease to be encumbrances when paid or approved for payment.

30. EXPENDITURES: Amounts paid or incurred for all purposes, including expenses, provisions for retirement of debt, and capital outlay. (Expenditures are the net costs of government and do not include internal transfers.)

31. EXPENDITURE CONTROL: Surveillance or control over the expenditure of funds already duly authorized by the legislative body.

32. FISCAL MANAGEMENT: Those operations designed to make funds available to officials and to insure their lawful and efficient use, including budget making, executive supervision of expenditures (called budget execution), control of the accounting and reporting system, treasury management, and revenue collection, and audit.

33. FUNCTION: A group of services aimed at accomplishing a certain purpose or end and including one or more activities.

34. FUNCTIONAL ORGANIZATION: Arranging personnel and facilities for the accomplishment of an agreed purpose based upon the function to be performed by the organizational unit.

35. FUND: A sum of money or other resources set aside for the purpose of carrying on specific activities or attaining certain objectives in accordance with special regulations, restrictions, or limitations; a fund is a distinct financial or fiscal entity.

36. GRADE: A subdivision of a service, including one or more classes of positions for which comparable basic qualifications and compensation are prescribed, the distinction between grades being based upon differences in the importance, difficulty, responsibility, and value of the work.

37. GRANTS IN AID: A sum of money assigned by a superior to an inferior governmental authority. It may be outright or it may be conditional, and the general purpose is to improve the quality or quantity of governmental service by transferring public funds from more wealthy to less wealthy regions.

38. HIERARCHY: The arrangement of positions so that every position in the organization finds a place, which place is designated by a distinctive title and the incumbent of which position possesses authority to give orders to subordinates and bears responsibility for receiving and obeying orders from superiors.

39. IN-SERVICE TRAINING: Training of employees presently in the service in order that they may better perform their present work or become prepared for a position of greater responsibility.

40. INTEGRATION: An administrative system in which authority is vested by law in the chief executive, as contrasted with a disintegrated system in which authority is vested in a number of independent offices and commissions.

41. INTERNAL CONTROL: The exercise of control to assure that the entire organization will adhere to department policy, that there shall be harmony and consistency of action, that satisfactory standards of efficiency shall be maintained, and to prevent development of stresses and strains among personnel.

42. JOB SPECIFICATION: An enumeration of the duties of a position and a statement of desirable minimum qualifications.

43. LINE ITEM BUDGET: A term used in connection with budget allotments, budgets, and appropriations in which objects of expenditure are closely described and defined.

44. LINE DEPARTMENT: An agency of government which performs services for, or regulates the conduct of, individuals and is concerned with the primary purposes for which government exists.

45. LINES OF AUTHORITY: The channels through which authority and responsibility flow so that each person in the organization knows his superiors and his proper relation to them - to whom he may go for advice and counsel, look for supervision, and turn if necessary to find access to still higher authority.

46. LUMP SUM APPROPRIATION: The wording of appropriations in general terms, stating the purpose or agency for which the appropriation is made but not specifying the objects for which amounts may be spent.

47. OBJECT CLASSIFICATION: A classification of expenditureswhich applies to the article purchased or the service obtained as distinguished from the results obtained from expenditure, e.g., personal services, materials, equipment, etc.

48. ORGANIZATION: The arrangement of personnel for facilitating the accomplishment of some agreed purpose through the allocation of functions and responsibilities.

49. PAY LEVEL: The rates of compensation prevailing in particular jurisdictions as compared with compensation rates for similar work in other jurisdictions.

50. PAY PLAN: A formalized schedule establishing minimum entrance salaries for a class of positions, maximum salaries for a class of positions, and increments for advancement from minimum to maximum designed to provide fairness and equitability.

51. PAY RANGE: (Salary Range) The difference between the minimum and maximum pay for a class of positions established by a pay plan.

52. POSITION: A specific civilian office, employment or job whether occupied or vacant, calling for the performance of certain duties and the carrying of certain responsibilities by one individual, either on a full time or part time basis.

53. POSITION CLASSIFICATION PLAN: A grouping of classes of positions in sufficient number to enable a place to be found for each existing position, arranged in orderly fashion with respect to each other, and supplemented by a set of rules and regulations for their administration, interpretation and amendment.

54. POST-AUDIT: An independent audit of the accounts of the administrative organization performed by an officer or agent acting strictly in the capacity of an auditor outside the control of the chief executive or chief administrator and obtained or selected by the legislative body.

55. PRE-AUDIT: A current audit performed by administrative personnel prior to the payment of any claims. (See administrative audit).

56. PURCHASE ORDER: A document executed by an administrative official authorizing a vendor to deliver specified merchandise and to make a charge therefor.

57. REQUISITION: A demand or request, generally from one department to the purchasing officer or another department for specified articles or services.

58. RESERVE FOR ENCUMBRANCES: A reserve set up out of appropriations to provide for unliquidated encumbrances.

59. RESPONSIBILITY: A system which is the sum total of the constitutional, statutory, administrative, and judicial rules and precedents and the established practice by means of which public officials may be held accountable for their official actions.

60. REVENUE: Additions to cash or other current assets which do not increase any liability or reserve nor represent the recovery of an expenditure.

61. RULE MAKING POWER: The legal authority of administrative officers or agencies of government to prescribe discretionary or interpretative rules and regulations of general applicability and legal effect, or to determine the existence of conditions under which contingent statutes are to become operative.

62. SERVICE: A term used in the national government meaning the broadest division of related classes of positions. The term refers to classes of positions in more than one agency.

63. SPAN OF CONTROL: The limits of coordination and supervision which one individual can satisfactorily exercise.

64. SPECIALIZATION: The delegation of particular tasks to particular parts of the organization.

65. STAFF AGENCY: An organizational unit established to study administrative problems, to plan, to advise responsible officials, to observe, but not to act.

66. STANDARD COST: The cost of performing an operation or producing a product when labor, materials, and equipment are utilized effectively under normal and reasonable conditions.

67. SYSTEM: The existence of order and method throughout the whole of an organization.

68. TENURE: (of office) The right of a person, with certain specified legal safeguards, to hold a public position for either a limited or unlimited period.

69. UNAPPROPRIATED SURPLUS: That portion of a given fund which is available for appropriation, as indicated by the amount by which its resources exceed its obligations, reserves, and unencumbered appropriations.

70. UNENCUMBERED APPROPRIATION: (See Unencumbered Balance)

71. UNENCUMBERED BALANCE: That portion of an appropriation or allotment not yet expended or encumbered.

72. UNEXPENDED APPROPRIATION: (See Unexpended Balance)

73. UNEXPENDED BALANCE: That portion of an appropriation or allotment which has not been expended.

74. UNIT COST: The cost of a unit of product or service, e.g. the cost of a ton of asphalt.

75. UNITY OF COMMAND: The condition in which each member of an organization has one, and only one, immediate superior.

76. UNLIQUIDATED ENCUMBRANCES: Encumbrances which have not yet been paid or been approved for payment.

77. VETERANS' PREFERENCE: An advantage given to veterans (and certain dependents of veterans) of Military Service over persons without veterans' status in matters of appointment, promotion, and retention in the public service.

78. VOUCHER: A document certifying a certain transaction, especially a written form attesting the propriety of the payment of money.

79. WAGE DIFFERENTIALS: A term used with reference to differences between compensation schedules in effect in different regions of the nation presumed to reflect differences in costs of living between one region and another.

80. WARRANT: A draft upon the treasurer for the payment of money. It may be payable upon demand, in which case it usually circulates like a bank check; or it may be payable only out of certain revenues when and if received, in which case it is a short term obligation and a part of the floating debt. The term also denotes an order for the treasurer to accept or receive money.

81. WORK COUNT: A measure of the number of work units (cost units) performed by an individual or an organizational unit.

82. WORK ORDER: A form issued to one responsible for the performance of a particular job, indicating the nature and location of the job, specifications of the work to be performed, and a job number, which is referred to in reporting the amount of labor, materials, and equipment used.

83. WORK PROGRAM: A statement of work to be performed in justification of an appropriation. It may be a brief written explanation or it may be very detailed and stated in terms of work units, unit costs, etc.

84. WORK SIMPLIFICATION: A method of attacking the procedural problems of an organization by equipping supervisory employees with the skills necessary to analyze and improve procedures plus the making of improvements based upon the analyses.



MICROGRAPHIC SERVICES UNIT
DEPARTMENT OF ADMINISTRATION

STATE OF MINNESOTA

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