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INSTALLATION OF COMPREHENSIVE PERSONNEL SERVICE RECORDS



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TABLE OF CONTENTS

	Page
FOREWORD	1
INTRODUCTION	2
THE SPONSOR	4
PROJECT PROCEDURE	
Outline of the Steps Involved	5
Authorization of the Project	6
Personnel for the Project	6
Working Quarters	9
Mimeographing and Printing Forms	10
Collection of Data	11
Entries on the Service History Card	13
Identification and Reference Data	15
Changes in Status	16
Service Ratings	17
Summary of Absence and Overtime	17
Pay Roll Data	18
Commendations	19
Disciplinary Action	19
Filing the Service History Cards	19
The Maintenance of the Service History Cards	20
Project Progress Report	22
Use of Service History Cards in Administration	23
THE COST OF THE PROJECT	26
MATERIALS AND EQUIPMENT NEEDED	28
APPENDIX	
A. Working Procedure	30
B. Form 5 - Progress Report - (Typical Sample) ...	32
C. References	33
FORMS	
No. 1 Personal Data Sheet	Following page 12
No. 2 Service History Card - Face .	" " 14
Service History Card - Back .	" " 14
No. 3 Report of Pay Roll Change ...	" " 22
No. 4 Personnel and Pay Roll Summary	" " 25

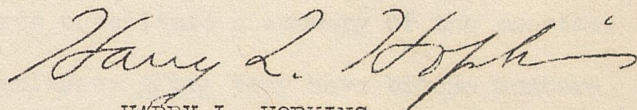
FOREWORD

Sponsors have indicated particular interest in certain projects which provide professional and clerical aid to governmental units. Requests for information concerning the technique of operating certain of these public administration projects have led to the preparation of several circulars in the WPA Technical Series.

It is hoped that this circular will be a guide, to the extent that the suggestions are pertinent, which will assist in securing competent technical supervision and successful project operation.

The procedure suggested herein is not mandatory. Local conditions and legal requirements may necessitate some changes. It has been demonstrated, however, that the procedure and forms shown in this circular are adequate to accomplish the objective of the project.

The procedures contained herein have to do entirely with the technique of project operation and nothing in this circular is to be construed to affect or modify in any way administrative procedures of the Works Progress Administration.



HARRY L. HOPKINS
ADMINISTRATOR

INTRODUCTION

One requirement for the efficient operation of any large organization, public or commercial, is that the managing officers have at hand in usable form the facts needed as a basis for decisions involving policies and administrative actions. In general, approximately half of all governmental operating expenditures are for personal services, so in public administration complete and usable personnel records are obviously of great importance. As a minimum, it is necessary to know the numbers and kinds of positions in the service and in the several units and subdivisions thereof; the amount of the monthly pay roll; the names of the officers and employees holding the several positions; their respective rates of pay; their status in their respective positions and the length and kind of their services. It is also desirable that the managing officers know how satisfactorily each officer or employee is performing his duties; the amount and kind of absenteeism; and any disciplinary actions that have been taken for misconduct or inefficiency and commendations for meritorious performance.

Such personnel service records constitute a summary of the services of the individual officers and employees after they have become members of the organization under consideration. Therefore the records described herein are useful in making promotions, demotions, transfers, and removals, though they may not provide all the facts needed for such decisions.

This circular has been prepared to make available to governmental agencies a detailed procedure for installing and maintaining a simple but adequate record of the important facts concerning the service of

its employees, for the use of its legislative, executive, financial, personnel, and administrative officers. The forms and procedures contained herein are based upon the experience of many large public and commercial organizations and represent what is widely recognized to be the best practice. While local conditions may make minor modifications desirable, it is believed that marked variations from the records described will almost invariably lessen their usefulness.

A project for installing personnel service records may be carried on as a Works Progress Administration project sponsored by a state or local government with carefully selected WPA workers for most of the project personnel. The state or local government must provide the project supervisor. The remainder of the personnel for the project can be secured from the lists of those certified for WPA employment.

THE SPONSOR FOR THE PERSONNEL RECORDS PROJECT

A project for installing personnel service records must have for its sponsor a governmental agency or officer directly concerned with the problems of personnel administration. In this way the effective use of the results of the project is reasonably assured and many legal and controversial problems will be avoided.

For a state personnel records project, the logical sponsor is (1) the governor; (2) the personnel agency, if one exists; or (3) the budget agency or the agency concerned with the total pay roll and the rates of pay for the several occupations.

For a municipal personnel records project, the sponsor may be (1) the mayor or city manager; (2) the personnel agency, if one exists; (3) the budget agency or other financial agency; or (4) the city council or committee thereof.

For a county personnel records project the sponsor may be (1) the board of supervisors or county commissioners; (2) the personnel agency, if one exists; (3) the budget agency or other financial agency or officer; or (4) a joint committee including representatives of the legislative body, the personnel and finance agencies, and possibly some of the larger departments.

A personnel records project for school, township, park district, fire district, or other special district or interstate authority may have for its sponsor any agency, officer, or group of officers corresponding to those mentioned above as proper sponsors.

PROJECT PROCEDURE

Outline of the Steps Involved

The steps involved in operating the Personnel Records Project are as follows:

1. The governmental agency or official designated to supervise the project is formally directed to proceed with the work.
2. The sponsor's employee who acts as supervisor selects qualified workers and trains them thoroughly.
3. Office space requirements are determined on the basis of the scope of the project operation.
4. The project supervisor arranges for the mimeographing of the Personal Data Sheet (if it is decided to use one), the Report of Pay Roll Change, and the Personnel and Pay Roll Summary and for the printing of the Service History Cards.
5. The project staff collects the data needed for the preparation of the Service History Cards of individual officers and employees.
6. A Service History Card is prepared for each officer and employee and the cards are filed in accordance with the standard procedure.
7. Provision is made for securing a Report of Pay Roll Change, on the form provided, whenever any change in the status of any officer or employee occurs.
8. Provision is made for periodical comparison of the Service History Cards with current pay rolls to insure accuracy and completeness.

9. Provision is made for the preparation monthly of a Personnel and Pay Roll Summary in a recommended form, and for the distribution of the reports among legislative and administrative officers and others interested.

In the following sections of this circular the procedures necessary are given in some detail and also the standard forms and instructions for their use.

The Authorization of the Personnel Records Project

Such matters as proposing the project, applying for funds, and securing the allotment of funds to carry on the project are covered by Works Progress Administration procedures, which prospective sponsors may secure from local WPA offices. However, it is necessary for the sponsor representing the state or local government concerned to grant authority to some agency or officer to do the work and to direct that it be done. A formal resolution or authorization in the style of the following is appropriate:

The (insert here the name of the agency or officer that is to direct the personnel records project) is hereby authorized and directed to proceed forthwith (or on some specified date) with the installation of personnel service records of the officers and employees of the (here insert the name of the state, county, city, school district, or other government) in accordance with the terms of (here insert the number and description of the project as determined by the Works Progress Administration).

Project Personnel

The state or local government concerned must provide the supervision for this project. It is desirable that the supervisor be some member of the regular staff of such government, temporarily designated to serve in

this capacity. Unless the personnel for which records are to be established is very large - in excess, say, of ten thousand - not all the supervisor's time need be given to the project. In any case, the supervisor's part-time or full-time services are likely to be needed for a period of approximately three months.

The project supervisor should be able to select, train, and supervise the project personnel; to work in cooperation with and command the respect of the higher officers in departments and other agencies; to deal diplomatically with individual officers and employees from whom data must be secured; to plan and assign tasks and direct the work of typists and other clerical employees; and to make consistent decisions regarding matters not specifically covered in the established procedures. It is desirable that the supervisor be familiar with the various units of the government concerned and know the directing and supervising officers.

The actual typing of the Service History Cards requires the services of one or more typists. The amount of labor involved in typing these cards depends in part upon the decision as to the completeness and form of the data to be recorded. If only the identifying data, the pay data, and one line showing the existing status of each officer and employee are recorded initially, and if the records containing the data are such as to be readily usable, a typist of average ability can type from 250 to 300 Service History Cards in a seven-hour day. If additional information is recorded, if the material is not complete (involving putting some cards into the typewriter a second time), if the questions sure to arise are not promptly answered, or if there are interruptions, the typing is correspondingly retarded.

Checking the typed cards against the records from which they are prepared takes about a quarter as much time as the typing and is best done by two persons. As a rule, 200 complete Service History Cards for each typist-day is a reasonable output, although rapid, accurate typists working from good copy sometimes type more than double that number. If the data is not available in readily usable form, if there are numerous stops to ask questions, and if many mistakes are made in typing and have to be corrected, the output may be as low as 100 Service History Cards per typist-day.

The time involved in the collection of the needed data will vary, depending upon local conditions. Current pay rolls will usually supply the basic data, and the project supervisor can ordinarily arrange to borrow these records. If the date of birth of officers and employees is to be recorded, as is highly desirable, securing the factual data may be a considerable task requiring the equivalent of the services of a clerk for a week for each 300 to 500 officers and employees. As a rule, however, such data is recorded in the records of personnel, financial, or operating officers, so they are readily available and may be entered on the pay roll in pencil in not more than half the time indicated above.

In most instances the service record will meet all requirements if it contains the service history from the date of the beginning of the personnel service record project. Previous service information can be collected as needed from time to time in any individual case. However, if it is decided to install a service record covering the entire period of employment for each employee, then the data must be collected from the officers and employees by means of individual questionnaires. The use of such a form will require the services of one or more data collectors.

Under ordinary circumstances, with reasonable cooperation from officers and employees, a competent data collector can average from 100 to 200 data sheets a day, including checking and editing of the information, and applying to individual officers and employees for missing data and for interpretation of vague and ambiguous items. This, however, requires that the blank Personal Data Sheets be distributed through the usual department channels and, when completed, be collected in the same manner.

Making the pencil entries as to titles and rates of pay on the face of the Service History Cards, making the initial entry on the backs of the cards, filing the cards, preparing the first Personnel and Pay Roll Summary, and other clerical operations require the services of a clerk for one week for each 300 to 500 officers and employees where the total is under 5,000 and for each 600 to 1,000 in organizations having a larger number of employees.

From the data given, the project personnel required for the installation of service records of the personnel of any state or local government can readily be ascertained. Experience shows, however, that in most public jurisdictions some of the data cannot readily be obtained and that an allowance of approximately twenty-five per cent should be made for inevitable delays and unforeseen field work.

Working Quarters

Since the typing of records is tedious work there should be provided a well-lighted and well-ventilated office. As a minimum, space is needed for the desks of the personnel records supervisor and one typist. A minimum of about 40 square feet of floor space, and preferably of 50 square feet, is needed for each additional typist and clerk.

If data collectors are used to collect detailed information from individual officers and employees, space must also be provided for them.

Mimeographing and Printing Forms

At the outset a supply of Service History Cards must be printed. Since changes in personnel are constantly taking place, at least twice as many Service History Cards should be printed as there are officers and employees for whom records are established. These cards should be on a light, tough stock, preferably a good grade of thirteen, fourteen, or sixteen pound bond ledger paper. From time to time additional cards will have to be printed; therefore, the printer should be given exact instructions as to type, form, and stock and the high degree of accuracy required.

The Report of Pay Roll Change may be mimeographed or printed. The latter is more economical and otherwise more satisfactory for a personnel of approximately three thousand or more. For a small organization, mimeographing is more economical and mimeographed forms suffice.

The most satisfactory Personnel and Pay Roll Summary form is provided by mimeographing a sufficient number each month, with all the summarized information included on the form. If desired, however, a supply of blank forms can be mimeographed and the figures can be typed each month, when the report is prepared, for whatever number of copies is distributed.

The Personal Data Sheets should be mimeographed on a good grade of mimeograph paper that takes ink without running.

All standard forms, as shown herein, are prepared for exact duplication, being carefully spaced for typewriter use where such use is probable. The size of the pages in this Circular is 8" x 10 $\frac{1}{2}$ ", so if Forms Nos. 1, 3 and 4 are reproduced in the exact size shown a narrow margin will be

provided if standard size stock ($8\frac{1}{2}$ " x 11") is used. Form No. 2 is 8" x 5" for reproduction on that standard size of record card. The sample forms shown are titled for use in a city. If some other unit of government is involved, the form should be changed to conform.

The Collection of Data

If it is decided to have the initial entries on the Service History Cards consist only of identifying data, the status of the officer or employee at the time the card is prepared, and the rate of pay, the Service History Cards can generally be prepared most satisfactorily from current pay rolls. The personnel records supervisor can make arrangements with department officers or financial officers to obtain a copy of each pay roll for this purpose. This is the best method of assuring completeness and accuracy as to names, titles, and rates of pay. It has the disadvantage, however, that the pay rolls do not show the date of birth of officers and employees and it is highly desirable that this information be entered on the Service History Cards. These facts may be secured from other sources and the dates entered lightly in pencil on the several pay rolls opposite the names of the respective officers and employees. The other sources from which this information can be obtained include department records, personnel records kept by some central agency, and, as a last resort, the officers and employees themselves. The date of birth may be omitted at the time the Service History Cards are initially prepared and entered later as the facts can be conveniently collected, but this plan should be followed only when necessary to avoid delay.

If it is decided to include the complete service record of each officer and employee on the Service History Card, it is nearly always

necessary to collect the needed facts from the individual officers and employees by written questionnaires. The Personal Data Sheet, Form 1, may be used for this purpose. The instructions for distributing, filling in, and collecting the Personal Data Sheet are given on the reverse of this sample form, and it is desirable that these instructions be mimeographed on the reverse of the form. The forms shall be distributed and collected through the usual official channels; a data collector must deliver the forms to the head of each department in other agencies, explain what is wanted, and later collect the forms after they have been completed. After this, the data collector must examine the forms to see that all the information needed has been supplied and take steps to secure any missing information. He must also do any editing needed to enable the typist to make the proper entries on the Service History Cards.

It is recommended that at the outset only the identifying data, the rate of pay, and the entries for one line showing the present status of the officer or employee be entered on the Service History Card, except for a few officers and employees where the data are of particular significance. Securing the facts as to previous service is a considerable task, and, in addition, it is often impossible to secure complete and reliable information. Experience shows, moreover, that while all the facts as to the service history of an individual officer or employee are of value in passing upon proposals affecting that particular person, it is easier to look up needed facts in individual cases than to attempt to secure all the facts at the outset for every officer and employee.

The work to be included in the operation of this project consists of the preparation of a Service History Card for each employee, a Report of Pay Roll Change for each change of status of an officer or employee during the time

Instructions for Distributing, Filling in, and Collecting the
PERSONAL DATA SHEET

This form is used for collecting information from each officer or employee concerning that person's service with the City (County or State), in order to install a comprehensive record. The form is prepared, by the staff working on the project, by typing on the first line the name of the individual as it appears on the current pay roll (surname first) and the unit (department, division, etc.) in which he is employed. The sheets are then distributed through the usual official channels and each officer and employee is expected to fill in the blanks as fully and as accurately as can be done without any unusual effort in searching records. Each blank, thus filled in, should be returned within twenty-four hours to the person from whom received. The sheets are then collected, through the usual official channels, and turned over to the Personnel Records Project staff.

Part of the information for such a personnel service record can be secured from official records, but some must be secured from the individual. Each person receiving this blank is requested to type (preferable), or write in ink, the information indicated. Most of the information wanted is indicated exactly. The following deals with more difficult points.

1. List the positions held, by title used either for working purposes or on the pay rolls.
2. If exact records are not available, approximate dates for periods of employment, leaves, and the like may be given from memory by the officer or employee, indicating month and year.
3. The rates of pay (indicate whether per month, per week, per day or per hour) should be the amounts actually received, plus any deductions on account of pension or retirement funds.
4. It is desirable that, in the larger departments, both the department and a smaller unit be indicated and also the usual place of work.
5. In the column headed "Type of Position" two facts should be indicated,-- on the first line, whether the position was permanent, seasonal, or temporary (a temporary position is usually defined as one expected to be discontinued within six months, but local practice may vary from this rule); and on the second line, whether the officer or employee was elected to the position, chosen under a civil service system, appointed by the department head (or some other responsible officer) on his own responsibility, or chosen otherwise.
6. If employment by the City (State, County) has been intermittent, a brief explanation of breaks in the employment should be given; under "Explanation of other breaks in employment of more than 30 days"; for example, "Laid off in 1926," "Resigned to operate own business in 1928," or "Worked only in the summer of 1929 to 1934."
7. Such disciplinary actions as suspensions and such commendations as formal awards for meritorious service should be listed and briefly explained in the appropriate spaces.

of the operation of the project, and the preparation of a Personnel and Pay Roll Summary at the end of each month during which the project is in operation. When the file of Service History Cards is completed and the Pay Roll Change and Summary have been used sufficiently to demonstrate the procedure for their preparation and use, the work contemplated by the project has been completed. The maintenance of the Service History Card file and the preparation of the Reports of Pay Roll Change and Personnel and Pay Roll Summaries become the obligation of the sponsoring agency. The current maintenance of the records should be carried on in the same way indicated herein for the installation of these records.

Making the Entries on the Service History Cards

Experience shows that the following information is needed when day-to-day operating decisions are to be made regarding individual officers and employees and therefore should be recorded on their respective Service History Cards:

1. The name and date of birth.
2. The title of the position held and its department location.
3. The rate of pay, including any deductions and irregularities in any pay roll period.
4. The nature of changes in status that take place from time to time and the dates when they become effective.
5. Absences due to any cause and the time and nature of each absence.
6. The character of the performance of the officer or employee, as indicated by service ratings in letter, percentage, or other form.
7. Commendations for outstanding service, accomplishments, or actions

and disciplinary actions caused by misconduct, poor attendance, or inefficiency.

8. Temporary separations from the service, with the reasons and the dates, and the time and cause of final separation when that takes place.

9. Any other special action sufficiently significant to warrant recording.

The Service History Card properly records only the facts and events of significance concerning the officer or employee while he is in the service. It does not record the series of events leading to his or her selection for and induction into the service; that is a separate story, as the employee has already met those necessary requirements and is now part of the organization and accordingly should be judged principally on the basis of his performance and record.

Form 2, Service History Card, shown at the end of this section (2 pages showing front and back of form), has been designed to permit the recording of the specific data listed on the previous page and also to provide space for entering some additional facts if now available or later personnel administration practices provide them. This record will supply, in concise form, the facts most frequently needed by the responsible officers when decisions regarding individual officers and employees must be made. Service History Cards in this form, or with only slight modifications, have been used extensively in all sizes of organizations and are known to meet most of the reasonable operating requirements of legislative, executive, administrative, financial, and personnel officers.

This Service History Card form has been designed for use in a visible index or in the regular vertical card file. Therefore, it has the name

at both the bottom and the top of the card. Where the bottom space is used, for a visible index, it is desirable to fill in the top space also, as the inactive cards, when removed from the visible file, are usually filed in a standard vertical file.

The sample Service History Card shows a typical service record, so the headings and the entries indicate the kind of data and the methods of recording. The following detailed instructions are intended for reference purposes and should be referred to whenever necessary by the typist who makes the entries and by the personnel records supervisor directing the work, in order that there may be a reasonable degree of uniformity.

Identification and Reference Data

At the top and bottom of the face of the card one line is used to record certain data needed for identification and quick reference purposes.

These entries are made as follows:

Name: Type in order, at both the top and the bottom of the card, the last name (incapitals), the first name (in small letters except the first letter), and the middle name or initial (also in small letters except the first letter).

Sex: Type M at both the top and the bottom of the card if the officer or employee is a male and F, if female.

Title: Print with pencil at both the top and the bottom of the card the full title of the officer or employee, avoiding abbreviations as far as possible. If the title is changed, erase the old title and print the new one with pencil.

Date of Birth: Type at the top of the card the date of birth of the officer or employee, using numerals; for example, 11-7-06 for November 7, 1906.

Pay: Print with pencil at the bottom of the card the rate of pay of the officer or employee, using the monthly, semi-monthly, weekly, daily, or hourly rate used on the pay roll and normally omitting the symbols that indicate dollars and cents. If necessary to avoid misunderstandings, but not otherwise, use the symbol wk, da, or hr, all without periods, to distinguish weekly, daily, or hourly rates from the normal semi-monthly or monthly rates. If deductions are regularly made at each pay roll for payments to a retirement system or for other purposes, it may be desirable

to record two rates of pay, one above the other -- the lower to show the gross rate of pay for the pay roll period and the upper the net rate of pay for the pay roll period after all regularly occurring deductions are made. When a change in the rate of pay is made, erase the old rate and print the new one with pencil.

Changes in Status

One line is used to record the significant facts whenever the status of the officer or employee is changed. Changes in status include changes in title, changes in the rate of pay, promotions, demotions, transfers from one position or organization unit to another, lay-offs, suspensions, extended leaves (particularly when another person fills the position, either temporarily or permanently), dismissals and retirements. Normally, when a change in status occurs, entries are made only to show the significant facts and not in all the columns. The entries are made as follows:

Classification Title: Type the full official title of the officer or employee, avoiding abbreviations as far as possible. The official title may or may not be that shown in the appropriation ordinance, depending upon how classification matters are handled.

Organization Unit: Type the symbol for the organization unit in which the officer or employee is employed. A scheme of suggestive symbols which avoids the use of periods and which may indicate both the department and any desired smaller unit therein should be worked out for the use of the typist in making entries in this column.

Pay Rate: Type the gross pay rate, omitting the dollar sign and, unless misunderstanding might result, also the cent sign. It is desirable that the rates shown in the appropriation ordinance be entered in this column unless there is a good reason for some other action; the rate appearing on the pay roll is written in the lower right corner. If the officer or employee receives full or partial maintenance, that fact should be indicated by such symbols as M (maintenance for self), FM (maintenance for self and family), 1M (one meal), 2M (two meals), 3M (three meals), La (laundry), and Lo (lodging).

Date Effective: Enter the date on which the change in status as entered in the "Action and Remarks" column takes effect, using numerals; for example, 11-7-35 for November 7, 1935.

Action and Remarks: Type the nature of the change in status (such as original appointment, reclassification, pay increase, pay decrease, transfer, demotion, promotion, annual leave, sick leave, military leave,

special leave without pay, lay-off, suspension, resignation, dismissal, or retirement) and any brief explanation likely to be useful later when future action affecting the officer or employee is under consideration.

There are enough lines to record all the changes in status that normally occur within a period of eight years. Whenever all the lines have been used, however, a new Service History Card should be substituted for the old (the last two or three lines from the old card having been copied on the new one.)

Service Ratings

The card provides space for recording service ratings obtained twice a year for a period of eight years. It is suggested that for each half year the rating, in letter, percentage, numerical or other form, be typed and that the last month of the period covered by the rating be indicated unless there is a standard rating period for all officers and employees in all organization units. In case a letter rating, based upon some numerical score, is obtained, it is suggested that both the letter rating and the numerical score be entered. If service ratings are secured more or less frequently than twice a year, a variation in the form of the card should be made to permit proper entries. Even if service ratings are not secured for all officers and employees, it is suggested that all available ratings be entered. In case no service ratings are being secured, it is suggested that space for them be provided on the assumption that within the eight year period this important personnel work may be undertaken.

Summary of Absence and Overtime

It is desirable to type in summary form the total absence and overtime during any year of each officer and employee. Accordingly, space for such a summary is provided*, including the amount of time taken for annual leave

* For explanation of abbreviations see next page, instructions for using back of Service Record Card.

(including military leave), sick leave with pay, all types of leave without pay, suspensions for disciplinary purposes, tardiness, and overtime. The data for these annual summaries may be obtained from special reports or preferably from data shown on each pay roll and recorded on the back of the Service History Card.

Pay Roll Data (on the back of the card)

There is space on the back of the Service History Card for recording data obtained from the pay rolls or other sources for a period of eight years. The entries on the card are made at the time each pay roll is compared with the cards or when other reports are received. The entries are to be made as follows:

Pay Roll: Enter in ink the gross pay for the pay roll period as the first entry. Thereafter, as long as there is no change in the rate of pay and no deduction (other than any regularly made for contributions to a retirement system or other purpose), enter a check mark in the appropriate space to indicate that the officer or employee has received the regular amount of pay. If, however, in any pay roll period there is any deduction because of lost time or other reason, other than the regular deductions enter in ink the net amount paid the officer or employee. There are five columns in order to provide space when five weekly pay rolls are submitted in one month. In case of monthly or semi-monthly payments, not all the columns need be used.

T: Enter in ink in the appropriate space the number of minutes lost by the officer or employee during the pay roll period because of tardiness, as officially reported on the pay roll or in other form. If there are two pay roll periods in a month, use the upper half of the square for the first period and the lower half for the second.

O: Enter in ink the number of minutes of overtime put in by the officer or employee during the pay roll period, as officially reported on the pay roll or in other form.

Su: Enter in ink the number of days (including fractions thereof) the officer or employee was under suspension without pay during the pay roll period, as officially reported on the pay roll or in other form.

Leave-A: Enter in ink the number of days (including fractions thereof) the officer or employee was absent from duty on annual or military leave with pay during the pay roll period, as officially reported on the pay roll or in other form.

Leave-Si: Enter in ink the number of days (including fractions thereof) the officer or employee was absent with pay during the pay roll period on account of sickness, as officially reported on the pay roll or in other form.

Leave-WOP: Enter in ink the number of days (including fractions thereof) the officer or employee was absent on leave of all kinds without pay during the pay roll period, as officially reported on the pay roll or in other form.

The sample Service History Card indicates the manner in which entries of the type described are frequently made in practice.

Commendations

The card provides space for brief mention of any official commendation given for specially meritorious acts, such as awards for scientific achievements, official mention of bravery, and official letters expressing commendation for unusual services rendered under trying circumstances.

Disciplinary Actions

The card provides space for brief mention of official disciplinary actions, such as suspensions without pay, fines, and formal reprimands.

Filing the Service History Cards

Experience shows that the Service History Cards are most useful, considering all the varied purposes they serve, if filed in the following manner:

1. It is determined what organization units are to be recognized. Normally these are the departments, or bureaus, divisions, and smaller units, specifically mentioned in the appropriation act or ordinance. Sometimes, however, different units may be selected; in particular, it is desirable

to have the card units coincide with the units used in preparing separate pay rolls.

2. The individual cards for each organization unit are segregated.

3. The individual cards for each organization unit are filed alphabetically according to the names of officers and employees. Any other order of filing within an organization unit - such as according to the order of names on the pay roll, according to the seniority of officers and employees, according to the importance of positions, or according to the titles of positions - prevents quick and accurate reference to the cards.

When an officer or employee leaves the service, his Service History Card is removed from the active file. It may (1) be placed in an inactive file of Service History Cards, where the filing is alphabetical according to the names of persons as shown on the cards, without regard to organization units; or (2) if individual folders are maintained for papers relating to individual officers and employees, it may be placed in the appropriate folder.

The Service History Card is so designed that it may be used either with visible equipment or filed vertically in ordinary drawer card cabinets. Visible equipment is desirable for the active file, as it facilitates quick and easy reference to the cards and also gives a comprehensive picture of the positions and personnel in any organization unit. Standard drawer files will serve all purposes for the inactive file, as these cards are referred to only infrequently.

The Maintenance of the Service History Cards

After the Service History Cards have been prepared and filed, many entries have to be made on them to show changes in the status of officers

and employees and also other significant facts. There are three principal sources of information from which these facts are obtained. The first is the Report of Pay Roll Change, Form 3, a sample of which appears at the end of this section. It provides information as to new personnel, separations, changes in pay, reclassifications, and similar matters. The second is the current pay rolls, which provide information as to irregularities in the amount of pay received, deductions for payments to any retirement fund, irregular attendance affecting pay, and similar matters. The third source is special reports relating to such matters as service ratings, leaves of absence, and tardiness and overtime.

In any case, experience shows that the Service History Cards must be compared with current pay rolls at every pay roll period if they are to be accurate and complete. This is the only satisfactory method of maintaining accurate and complete personnel service records. In case there are discrepancies between the Service History Cards and the pay rolls, the facts are ascertained and necessary corrections made in the cards, or pay rolls, or both. Experience shows that one clerk-typist can maintain the Service History Cards, including the comparison with current pay rolls, for 3,000 to 5,000 officers and employees (the number depends upon the amount of labor turn-over, the completeness and accuracy of the personnel reports, and the proportion of the personnel paid weekly or irregularly).

The Service History Card provides space for some information not always available; for example, tardiness, overtime, service ratings, and leaves of various kinds. These spaces may be left blank if the responsible officers decide that the worth of such facts in making personnel decisions would not justify the work involved in securing and recording them. The regular comparison of the cards with current pay rolls is also sometimes

omitted entirely, or comparisons are made only quarterly or semi-annually; but such irregular procedure seriously impairs the usefulness of the service records just as all central personnel records are less useful if not currently posted. Experience in personnel administration indicates that all the information for which space is provided on the cards is needed for the intelligent handling of day-to-day operations affecting the personnel of a government.

Project Progress Report

As an operating record and a means of providing administrative control for the project supervisor, or for the District WPA Office if requested by it, a Progress Report should be prepared periodically. Such report should show the work accomplished during each week or pay roll period, with a cumulative total through the period covered by the report. A typical sample of such a report is shown as Form 5, on Pages 34 and 35 of the Appendix.

City of _____

1	Name of Employee Affected		2	Effective Date of Action
3	Department	4	Bureau or Division	5
				Sub-Division

Check the Change in the Appropriate Square at Right →	<input type="checkbox"/> 6 Employed-Reemployed	<input type="checkbox"/> 10 Transferred out	<input type="checkbox"/> 16 Quit
	<input type="checkbox"/> 7A Title Changed	<input type="checkbox"/> 11 Laid Off	<input type="checkbox"/> 17 Dismissed
Report Details in Appropriate Numbered Section Below ↓	<input type="checkbox"/> 7B Promoted	<input type="checkbox"/> 12 Leave WOP *	<input type="checkbox"/> 18 Died
	<input type="checkbox"/> 7C Demoted	<input type="checkbox"/> 13 Suspended WOP*	<input type="checkbox"/> 19 Injured
	<input type="checkbox"/> 8 Pay Changed	<input type="checkbox"/> 14 Resigned GS*	<input type="checkbox"/> 20 Retired
	<input type="checkbox"/> 9 Transferred in	<input type="checkbox"/> 15 Resigned BS*	<input type="checkbox"/> 21 Other (Specify)
	* Without pay - WOP		Good standing - GS Bad standing - BS

8. Check the appropriate square in each pair and fill the blanks

First employment by the City Reemployed

New position Existing position formerly held by _____

Permanent appointment Temporary appointment for about _____ days

The title of the employee is _____

The rate of pay is _____ per _____

9A-7B-7C Former title of employee _____

New title of employee is _____

Reason for change New duties added Former duties taken away

Incorrect former title Promoted Demoted Transferred (within this unit)

Employee's former rate of pay _____ per _____ New rate of pay _____ per _____

The employee is transferred in from _____

To A new position An existing position formerly held by _____

The employee is transferred out to _____

The position is Not being filled Being filled by _____

10. The important facts regarding the discontinuance of the employee's pay are _____

The Employee (should or should not) be reemployed when a suitable position is to be filled.

Specify here any payroll change not included in items 6-20 _____

The authority for this action is (specify) _____

Remarks and explanations _____

Prepared by _____ Title _____ Date _____

Approved by _____ Title _____ Date _____

Instructions for Preparation and Use of the

REPORT OF PAY ROLL CHANGE

The Report of Pay Roll Change is used by department officers to report any change in the status of an officer or employee which involves a change in the pay roll. The pay roll, it should be noted, must show as a minimum, three principal facts - the name of the person to be paid, the title of the position held by him, and both the rate of pay and the amount of pay for the period covered.

Three copies of the Report of Pay Roll Change are prepared by the immediate superior of the officer or employee affected. Copy 1 is for the officer who prepares the pay roll. Copy 3 is for the officer who maintains the central personnel records. Copy w is for the department files. The immediate superior forwards all three copies to the department head or his designated representative, who signs them and forwards copy 1 and copy 2 to their respective destinations.

The Report of Pay Roll Change is always used to report information concerning only one officer or employee. Usually only one change is reported on a single report. It may be, however, that two changes affecting the same officer or employee are reported at the same time; in the case of a promotion, for example, both the title of the officer or employee and his rate of pay may be changed, in which case both changes are reported on the same copy. It may be that changes affecting a number of officers or employees are effective simultaneously; in such cases a set of reports is prepared for each officer or employee affected.

The filling out and signing of the Report of Pay Roll Change does not authorize the pay roll change reported. Filling a position, changing a title, increasing or decreasing the rate of pay, transferring or dismissing an officer or employee, or any other action reported, must be authorized in advance by the responsible department officer before this report is filled out. The report is simply an official notice that a change previously authorized by the responsible official has actually gone into effect or will go into effect on the date indicated. This does not apply, of course, in the case of an employee who quits his position without notice.

The Use of the Service History Cards in Administration

Personnel records obviously are not an end in themselves.

Only as they are put to use in carrying on day-to-day operations do they have value. A complete file of Service History Cards of the kind described in previous sections has innumerable administrative uses. No attempt is made in this circular to list all the uses. The following are among the more important:

a. Personnel and Pay Roll Summary The first step in determining and putting into effect personnel policies is to know the facts as to the number of officers and employees in the service, their location in departments and other agencies and the units thereof, and the amounts paid for their services. Form 4, Personnel and Pay Roll Summary, shown at the end of this section with directions for its preparation and use, provides such information. It shows, moreover, whether trends are upward or downward and the nature of the additions and separations from the service. Such a summary, prepared monthly and distributed to legislative, executive, administrative, financial, and personnel officers and also to representatives of employees, civic agencies, and the press, provides those interested in such matters with the basic personnel facts in a form quickly and easily understood.

b. Insuring Compliance with Personnel Policies All experience shows that personnel policies, as determined by the responsible legislative and executive officers, are but indifferently observed without some means of assuring compliance. This is true as to the appointment of new employees, fixing rates of pay, hours of work, attendance, leaves of absence, separations from the service, and other types of personnel transactions.

By comparing the Service History Cards with pay rolls and with the reports periodically and irregularly made by operating officers, the facts as to compliance with established personnel policies may be brought to light. It is a fairly common practice, moreover, to enforce compliance by requiring that pay rolls be compared with the Service History Cards before salaries and wages are paid and that payments be made contingent upon compliance with the requirements of the legislative and executive officers as expressed in laws, ordinances, resolutions, orders, rules, and regulations.

c. Determining the Number and Kinds of Positions to be Authorized.

At the time the annual appropriation act or ordinance is under consideration, the Service History Cards, more effectively than any other device, show the number and kinds of positions in each organization unit and their relationships. In particular, if visible equipment is used, a comprehensive picture of the number and titles of positions and the rates of pay is available; comparisons of the existing organization and of the organization as it should be are therefore easily made. Likewise, when any position becomes vacant or when the creation of a new position is proposed, the need for filling the existing position or establishing a new position can be considered in the light of the organization as a whole.

d. Handling Promotions, Demotions, and Transfers The Service History Cards provide the essential facts as to positions and personnel when promotions, demotions, and transfers are involved. This is particularly true when the facts as to attendance, leave, overtime, and character of performance are secured and recorded. In any case, however, titles, places of employment, rates of pay, and length of service - all important factors

in such matters - may be quickly and correctly ascertained for each officer and employee involved.

e. Determining the Order of Lay-Off and Reemployment When forces must be reduced because of lack of work or funds, the three factors that should govern in selecting those to be laid off are:- the nature of work being done (as shown by their titles), the character of past performance (as shown by the service ratings or by special reports), and the length of service of those in the unit where the reduction is to be made (or in the whole service). The Service History Cards contain these significant facts in concise and usable form and therefore make relatively simple the selection of those to be laid off and of those to be retained.

f. Personnel Statistics Mention has been made of the most important type of personnel statistics - that is, monthly summaries of personnel and pay roll expenditures. The Service History Cards contain a multitude of facts from which other useful and significant data can be quickly compiled. Examples are:- labor turn-over by occupational classes; the number of seasonal and short-time employees; pay averages, levels, and trends in the whole service or in selected organization units; the amount of absenteeism of various kinds; and pay, attendance, and length of service of each sex or by department location.

In brief, the Service History Cards provide the basic facts for attempting to solve intelligently most personnel problems. They do not and cannot in themselves provide the answer for any personnel problem; but they do provide essential information for administration.

1	2	PERSONNEL										PAYROLL (To Nearest Dollar)									
		No. Employees		Change		Additions					Separations			Monthly Pay Roll		Change					
		3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22
		End of Previous Month	End of Current Month	Increase (4-3)	Decrease (3-4)	New Employees Taken on	Former Empl. Employed	Transferred in	Other Additions	Total Additions (7-8-9-10)	Laid Off	Transferred out	Resigned or Quit in G.S.	Resigned or Quit in E.S.	Dismissed	Other Separations	Total Separations 12-13-14-15-16-17	For Previous Month	For Current Month	Increase (20-19)	Decrease (19-20)
1	TOTAL FOR CITY																				
2																					
3																					
4																					
5																					
6																					
7																					
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28																					

Notes and Explanations:

Directions for Preparation and Use of

PERSONNEL AND PAY ROLL SUMMARY

The Personnel and Pay Roll Report is a convenient means of informing legislative and executive officers, department heads, the press and others interested, of significant personnel and pay roll conditions at monthly intervals.

The officer in charge of the central personnel records prepares the report from the data in his possession so as to have it complete not later than the fifth day (preferably not later than the third day) following the end of the month which it covers.

The several organization units to be used in column 2 are determined by the responsible officials. In departments with a small personnel, the department itself is the best organization unit. In departments with a large personnel, however, bureaus, divisions, and smaller units should be designated as organization units. In general, the organization units should be those recognized in the appropriation act or ordinance, but departures therefrom should be made if personnel and pay roll data for different units are of significance.

The data for columns 3 and 4 of the initial report are secured from an actual count of the Service History Cards and of the names on current pay rolls (if the two do not agree, any discrepancies must be discovered and corrected). The data for columns 19 and 20 are secured from the pay rolls. All the other columns are left blank in the initial report.

In succeeding reports the data for columns 7, 8, 9, 10, 12, 13, 14, 15, 16, and 17 are secured from copies of the Report of Pay Roll Change sent in during the month. The data for columns 3, 4, 5, 6, 11, and 18 are secured by calculation, and for columns 3 and 4, occasionally at least, by an actual count of the Service History Cards and of the names on current pay rolls. The data for columns 19 and 20 are secured from the pay rolls. The data for columns 21 and 22 are secured by calculation.

The officer in charge of the central personnel records prepares two copies of the report - one for his own files and one for the chief executive. When the latter has approved the report it is mimeographed and distributed to legislative, executive, and administrative officers, the press, civic agencies and others to whom it is desired the information be available.

If desired, the Personnel and Pay Roll Summary can be simplified by including only columns 2, 3, 4, 5, 6, 19, 20, 21, and 22. It is desirable, however, that the other columns be included. If the records are properly kept, securing the figures for columns 7 to 18, inclusive, normally requires the time of a clerk for less than one day per month for a service of five thousand positions.

Explanatory footnotes are desirable when unusual conditions cause the personnel and pay roll of any organization unit to be temporarily higher or lower than is normal for that unit.

THE COST OF THE PERSONNEL RECORDS PROJECT

Under normal conditions the only items of cost to a state or local government in operating a personnel service records project are the salaries and wages of the supervisory personnel, the printing and mimeographing of forms, and possibly the rental of typewriters and the purchase of some filing cabinets for the Service History Cards. In rare cases space may have to be rented and possibly some travel expenses incurred; on the other hand, typewriters can often be borrowed from departments and other agencies and unused filing cabinets may be utilized.

The personnel needed is specified in the section on "Project Personnel", Pages 6-9. The rates of pay for WPA workers can be secured from the district Works Progress Administration. With these data the cost for personal services - by far more than half of the total project cost - can be readily calculated.

The material and equipment needed are listed in the following section. Prices for materials, rental costs of equipment, and similar items of expense vary widely in different localities. Any state or local government, however, can easily determine what materials and equipment will have to be purchased or rented and obtain local prices.

In small services with less than a thousand officers and employees, the cost of establishing personnel records of the kind outlined in this circular, aside from the salary of the project supervisor, should not exceed twenty-five cents for each officer and employee; for services with, say, five thousand officers and employees and with no unusual problems, the per capita cost should be less than half that amount.

The cost of maintaining the Service History Cards should also be taken into account, even though this is not a part of the original personnel records project. Experience shows that one intermediate typist-clerk, paid on the average a hundred dollars a month, (this rate will depend on local conditions), can maintain the Service History Cards for three to five thousand officers and employees, including comparisons of the card records with pay rolls before salaries and wages are paid and the preparation of the monthly Personnel and Pay Roll Summary; the number that can be handled by one typist varies according to the labor turnover, the proportion of the officers and employees paid weekly, semi-monthly, and monthly, the number of special pay rolls submitted at irregular times, and the accuracy and completeness of the changes reported on the Report of Pay Roll Change. For smaller numbers the part-time services of a typist may be used; for larger numbers additional record clerks must be employed.

MATERIALS AND EQUIPMENT NEEDED

Only a relatively small amount of materials and equipment is needed for the Personnel Records Project if it is carried on in accordance with the described procedure. A supply of the Service History Card, the Report of Pay Roll Change, the Personnel and Pay Roll Summary, and, if complete data are collected, the Personal Data Sheet is needed. Type-writers are needed for the typing, a telephone to facilitate easy communication, visible filing equipment or a filing cabinet for the Service History Cards, and a small supply of letterheads, envelopes, and other stationery.

About twice as many Service History Cards are needed as there are officers and employees in the service. The necessity for the use of a good stock, of a proper size of type, and of accuracy in dimensions, spacing, and ruling are pointed out above in the section dealing with the Service History Cards.

The Report of Pay Roll Change may be either printed or mimeographed, depending upon the number of copies needed. Normally a year's use requires a somewhat larger number of copies than the number of officers and employees in the service.

The Personal Data Sheet, if used, should be mimeographed. The number of copies needed is from twenty-five to fifty percent larger than the number of officers and employees in the service.

The Pay Roll and Personnel Summary is best handled by mimeographing a supply of these forms each month. The number of copies to be made depends upon the persons to whom they are supplied; normally, not more than a hundred copies a month are needed.

A telephone is needed throughout the life of the project. If the number of officers and employees exceeds approximately five thousand, an extension is desirable.

Each typist must be supplied with a typewriter. Usually machines can be borrowed, but it may be necessary to rent them.

A box of mimeograph stencils of legal size normally suffices for all needs during the life of the project; additional stencils, of course, are needed for the maintenance of the records.

Visible equipment or a filing cabinet to hold the 8" x 5" Service History Cards is necessary. The usefulness of the cards is tremendously enhanced if visible equipment is used. Drawer files will serve, but they impose considerable obstacles in quick and accurate use of the cards.

In carrying on the project, some formal letters have to be written and, in addition, carbons have to be made. Therefore, a small supply of letterheads, envelopes, white sheets, yellow sheets, carbon paper, and postage is necessary.

Normally the mimeograph machine of some department may be utilized for the necessary mimeographing, and the use of an automobile can be arranged for the limited amount of travel involved.

WORKS PROGRESS ADMINISTRATION

WORKING PROCEDURE

INSTALLATION OF COMPREHENSIVE PERSONNEL SERVICE RECORDS

March 12, 1937

DESCRIPTION:

Installation of Comprehensive Personnel Service Records by the preparation of a new personnel record system for (a state or local governmental unit or department thereof), including collection of necessary information and preparation of record, from these data, on standard forms. The work proposed is a new undertaking complete in itself, not of a continuing nature; usual services incident to normal operations are not to be furnished as this is not normal budgetary work and regular employees will not be displaced. (Series No. 634-1)

SPONSOR:

The legislative body, chief executive, budget or personnel authority, or other agency legally authorized to establish or maintain such records.

PLANT AND EQUIPMENT:

Office space, tables and desks, chairs, typewriters, telephone, use of a mimeograph machine, filing equipment, etc.

MATERIALS:

Printed and mimeographed forms, postage, stationery and office supplies, etc.

PERSONNEL:

A personnel records supervisor, data collectors, clerks, stenographers, and typists.

SCHEDULE:

1. The legally authorized officers prescribe the governing policies.
2. The standard or approved forms are prepared.
3. The entries on the SERVICE HISTORY CARDS are typed from data secured from current pay rolls and/or PERSONAL DATA SHEETS and filed in accordance with the standard procedure.
4. Arrange for future maintenance of SERVICE HISTORY CARDS in accordance with the standard procedure. The data is to be obtained from REPORTS OF PAY ROLL CHANGE and special reports.

PRODUCT:

One of the requirements of sound personnel administration is a record showing the principal facts concerning the service of each employee. Such a record is simple in form and easy to maintain. Few governmental agencies however, have an adequate record of this sort. This project provides for the installation of such a record. The project manual contains an approved form and outlines in detail how it is to be used. The results of the installation will be:

1. The legislative, executive, and financial officers will have, in usable form, the information needed to determine the number, kinds, and positions to be authorized.

12036

- 2 -

2. The officer maintaining the personnel records can prepare personnel and pay roll summaries at monthly or other intervals for the information of officials and the public.
3. The administrative, financial, and personnel officials have a concise statement of the significant facts regarding each officer and employee for use in initiating and passing upon such matters as reemployments, promotions, demotions, transfers, pay adjustments, layoffs, suspensions, retirements, and dismissals.

This procedure may be modified to meet local requirements. Suggested alterations should be sent to:

DIVISION OF WOMEN'S AND PROFESSIONAL PROJECTS
WORKS PROGRESS ADMINISTRATION
1734 New York Avenue, N. W.
Washington, D. C.

APPENDIX B

PHYSICAL PROGRESS REPORT

INSTALLATION OF COMPREHENSIVE PERSONNEL SERVICE RECORDS

Report No.* _____

Location _____
 (City or Town) (County) (State)
 Covering Period from _____ to _____ Date Submitted _____
 Official Project No. _____ State No. _____ Work Project No. _____
 Brief Description of Project _____

Physical Progress by Operating Stages	Work Units Completed			Man Hours Worked		
	1 Prior to This Period	2 During This Period	3 Totals (1 plus 2)	4 Prior to This Period	5 During This Period	6 Totals (4 plus 5)
1 Instruction of Personnel						
2 Number of Employees' Birth Data Entered on Current Pay Roll						
3 Number of Service History Cards Entered - Pay Roll Data						
4 Number of Service History Cards Typed						
5 Number of Service History Cards Checked						
6 Number of Personnel and Pay Roll Summaries Prepared as Examples						
7 Number of Pay Roll Change and Summary Reports Prepared as Examples						
8 General Supervision						
9						
10						
11						
12						
13						
14						
15						

Reports should be made out each period (week or pay roll period) and numbered in consecutive order.

12036

	Authorized	Used Previously	Used This Period	Used To Date
Federal Funds	*\$ _____	*\$ _____	*\$ _____	*\$ _____
Man Months	* _____	_____	_____	_____
Man Hours	* _____	_____	_____	_____

*These figures may have to be supplied by the District Office of the Works Progress Administration.

SKILLS, SEX, COLOR AND NUMBERS OF WORKERS				
Occupational Skills	Employed at End of Pay Roll Period			
	Male		Female	
	Certified	Non-Certified	Certified	Non-Certified
Unskilled				
Intermediate				
Skilled				
Prof. & Technical				
Supervisory				
Totals				
White, Male _____		Colored, Male _____		
White, Female _____		Colored, Female _____		
Grand Total _____				

Narrative Report
 (Supervisor's Comments on Operation and Condition of Project)

Grid area for the Narrative Report, consisting of approximately 20 rows and 10 columns of empty boxes for handwritten text.

 Supervisor's Signature

REFERENCES

1. "Public Personnel Administration", by Wm. E. Mosher and J. Donald Kingsley, 1937. Harper & Bros., 44 E. 39th St., New York City. This recent publication thoroughly covers the field of governmental personnel management.
2. "Personnel Management; Principles, Practices and Points of View", by Walter D. Scott, R. C. Clothier and Stanley B. Mathewson. Rev. 1931. McGraw Hill Book Co., 330 W. 42nd St., New York City. This book is a good treatise of personnel management in all its phases.
3. "Essential Personnel Records", Report of Committee on Personnel Technique, 1925, American Management Association. American Society of Mechanical Engineers, 29 W. 39th St., New York City.
4. "Employee Records and Reports", by Wm. H. Rossi and I. P. Diana. (In their Personnel Administration; a bibliography-1925.) Williams and Wilkins, Baltimore, Md.
5. "Payroll Administration", by H. M. Jefferson. American Management Association, 1925. American Society of Mechanical Engineers, 29 W. 39th St., New York City.
6. "Service Ratings for Office Employees", by Fred Telford. American Management Association, 1926. American Society of Mechanical Engineers, 29 W. 39th St., New York City.

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