

OMF Policies and Procedures

Updated October 2015

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Message from the Chief Administrative Officer

To all OMF employees,

The bureaus and divisions in OMF provide a wide range of services and programs for City bureaus and external customers. However – in the end – we are one organization and so it is fitting that OMF managers provide clear direction to all OMF employees to ensure fair and consistent practices throughout our organization.

To help achieve that goal, in 2011 OMF developed a written set of policies and procedures specific to OMF bureaus and divisions. That was the first time OMF had put into place consistent bureau-wide policies about work place procedures, practices and expectations.

Now, in 2015, we have completed a review and update of the OMF Policies and Procedures. The changes help ensure the policies and procedures reflect current practices in OMF and implement best practices overall.

OMF employees are responsible for complying with these policies. OMF supervisors are responsible for implementing these policies and procedures, as well as understanding the relevant documents, such as City Code, and the HR Administrative Rules.

Thank you.



Fred Miller
Chief Administrative Officer
October 2015

Chapter 1 – Administration

1.01 Office of Management and Finance (OMF) Policies and Procedures

Purpose of OMF Policies and Procedures

OMF-wide policies and procedures are designed to identify the additional work place requirements that apply to all OMF employees. OMF Policies and Procedures must be consistent and cannot conflict with City policies and rules. OMF Policies and Procedures are not simply re-statements of Citywide policies and rules, but instead they identify more restrictive or specific requirements. Similarly, OMF bureaus and divisions may establish policies and procedures for a specific bureau, division, and/or work unit to identify requirements applicable to those respective groups.

OMF Employees' Responsibility

Like all City employees, OMF employees are responsible for complying with City Charter, City Code, City policies, and Citywide administrative rules. Additionally, OMF employees are responsible for complying with established OMF policies, procedures, bureau work rules, and work unit work rules.

Development and Management of OMF Policies and Procedures

The Policy Team of the Office of the Chief Administrative Officer (CAO) shall be responsible for coordinating the development, management, and periodic review and update of OMF Policies and Procedures.

The CAO is responsible for approving and adopting OMF Policies and Procedures.

1.02 Filing Documents for City Council

Office of Management and Finance (OMF) staff shall communicate and coordinate with the CAO's Executive Assistant or designee in the development and filing of documents to be submitted to City Council for action. This coordination will help ensure the CAO is aware and supportive of all such actions taken by any OMF bureau and division and that the actions reflect and support an OMF-wide perspective. Staff are responsible for providing the information in a timely manner so OMF can meet all filing requirements and deadlines set by the Mayor (as Commissioner-in-Charge) and the City Auditor's Office.

Amending or Adding to City Code and Citywide Administrative Rules

If the OMF bureau or division action for Council adds or amends City Code, binding City policy or Citywide administrative rules, OMF staff are responsible for communicating and coordinating with the CAO's Policy Team in advance of preparing such documents for filing with Council.

Reference: [OMF 1.03](#) Developing and Managing Citywide Policies and Administrative Rules

1.03 Developing and Managing Citywide Policies and Administrative Rules

As needed, staff in OMF bureaus and divisions develop or amend Citywide policies and administrative rules that govern the actions of other City bureaus or the public. This OMF policy 1.03 is designed to ensure that OMF staff effectively develop and maintain the Citywide policies and administrative rules they establish.

Effective policy development and maintenance relies on these fundamental steps:

1. Establish the Citywide policy or administrative rule.
2. Make the policy or administrative rule known and accessible to the impacted stakeholders.
3. Review the policy or administrative rule at least every three years or when a significant change takes place to ensure it is accurate, current and relevant.

Policies and Administrative Rulemaking

OMF staff that plan to develop or amend City Code, binding City policy, and/or Citywide administrative rules should notify the CAO's Policy Team. The Policy Team is available for consultation and assistance with the policy development and any Council documents that would be needed. Staff will need to follow the rulemaking procedures applicable to the specific policy or administrative rule. *Note:* If no rulemaking process exists, staff in the bureau with rulemaking authority should consider creating one. Having an established rulemaking procedure that is known greatly increases the transparency of the bureau's work.

Policy and Administrative Rules Management

OMF staff should work with the Policy Team to identify the following information about the Citywide policy or administrative rule:

- Title of policy and number (if any)
- Policy type (e.g., City Code, binding City policy, Citywide administrative rule)
- Owner of the policy (i.e., the bureau responsible for managing the policy)
- Date the policy was adopted
- Date when the policy should be reviewed
- Location where the policy document is housed (online, servers)

This information will allow OMF to record and track its cumulative policies and administrative rules centrally and consistently. This will help ensure timely review and update of the Citywide policies and administrative rules.

Chapter 2 – Communications

2.01 Media Communications

Employees will communicate with their manager, then contact the OMF Public Information Officer (PIO) as soon as possible after receiving a request for information from a member of the media. If the request is for information that has already been widely distributed or is available online, employees should respond promptly and then inform the OMF PIO of the request and how it was handled. Examples of this type of request are a report handed out at a public meeting or information available on the City's website. Employees should confer with their manager and the OMF PIO on other requests to determine the appropriate response. The OMF PIO will determine and handle follow-up responses to the media regarding corrections, misquotes or misinformation. The OMF PIO will issue all OMF news releases.

Some OMF work units have additional procedures regarding communication with the media. Employees in these work units will comply with their work unit specific policies as well as the OMF policy.

2.02 Website

All OMF public and internal web pages will be managed using the standard City content management system tools and will follow the standard City content posting guidance.

The OMF Communications Manager housed in Business Operations will be responsible for managing OMF main web pages and coordinating the overall website and content managers. The Communications Manager will manage category level permissions in accordance with BTS guidelines and practices.

Each OMF bureau and division will designate an employee to serve as their content manager. The bureau content managers are responsible for tracking viewer permissions and maintaining their site content to ensure it is accurate and timely.

Reference: [BTS 3.02 Web Publishing](#)

2.03 Public Records Requests

All public and media records requests will be handled by the OMF Public Information Officer (PIO) with the following exceptions:

- All requests for information regarding personnel issues, personnel records, and bargaining or other labor issues will be directed to the Bureau of Human Resources.
- All requests for information regarding litigation will be directed to the City Attorney's Office.
- All requests for business license records will be directed to the Revenue Division.

- Some requests for procurement-related documents will be handled directly by the Procurement Services Division; these include requests subject to the solicitation and/or evaluation protest period as well as contractual documents resulting from Procurement solicitations.

Supervisors and employees authorized to release confidential information will also comply with bureau or division work rules regarding the release of such information. With any media request, the OMF PIO should be informed of the request.

Reference: [HR 1.03 Public Record Information, Access and Retention](#); [HR 1.04 Personnel Records](#); HR 4.08 Information Technologies; City [Public Records Request form](#)

Chapter 3 – Working Environment

3.01 Work Schedules

OMF supervisors are responsible for approving their employees' work schedules and ensuring these schedules fit within the core operating hours of the work unit or division. If an employee wants a different work schedule, he/she must first get his/her supervisor's approval for the new work schedule. Supervisors are responsible for ensuring the approved work schedule meets operational needs and that for Fair Labor Standards Act (FLSA) covered employees it is a schedule that has already been configured in SAP and is permissible under City rules and labor contract provisions. A copy of the approved work schedule form will be sent to the employee's Operating Bureau Personnel Administrator, who will enter the updated schedule into SAP and communicate to the timekeeper, and a copy will be placed in the employee's personnel file in the bureau.

Reference: [Work Week Schedule Form](#)

3.02 Management Leave

Employees who are eligible to receive management leave will receive any applicable leave through a written award of leave from their bureau director. A copy of the management leave award form will be sent to the OMF Bureau or Division Operating Bureau Personnel Administrator for processing in SAP. A copy will also be placed in the employee's personnel file in the bureau and in the employee's official personnel file maintained by the Bureau of Human Resources. Employees who have been awarded management leave must obtain prior approval before taking the leave.

Reference: [HR 8.03 Hours of Work, Overtime Compensation and Management Leave: FLSA Exempt Employees; Management Leave Award form](#)

3.03 Overtime and Compensatory Time Use and Approval

Non-represented employees eligible for overtime who wish to receive compensatory time off in lieu of overtime pay must sign a form or memo providing their consent to earn compensatory time. A copy of the form or memo must be included in the employee's bureau personnel file. Employees who are eligible to accrue overtime or compensatory time will obtain approval from their supervisor prior to working the overtime. Employees will obtain approval prior to taking compensatory time off.

Reference: [HR 8.02 Hours of Work and Overtime Compensation: FLSA Covered Employees](#); [HR 8.03 Hours of Work, Overtime Compensation, and Management Leave: FLSA Exempt Employees](#)
Bargaining unit contracts

3.04 Leave Notification

Employees must report an unforeseen absence due to their own or a family member's illness to their supervisor prior to the start of their work day, if reasonably possible. Employees must notify their supervisor of an unforeseen absence due to their own or a family member's illness during their shift which requires that the employee leave his/her place of work. Upon return to work from an unforeseen absence which will result in the use of leave, employees must submit a leave request for approval in order to document the absence.

Employees must obtain approval from their supervisor prior to taking vacation leave.

Reference: [HR 6.03](#) Vacation; [HR 6.04](#) Sick Leave

3.05 Workplace Equity

OMF will establish and maintain an OMF-wide equity committee appointed by the CAO. OMF Leadership Team members will nominate employees for membership. Each OMF bureau will be represented on the committee. The committee will report to the CAO. In addition, OMF bureaus and divisions may also develop and maintain equity committees or programs to encourage cultural competency and diversity awareness.

3.06 Critical Human Resources Administrative Rules

All employees are expected to comply with the Human Resources Administrative Rules (HRAR). All new OMF employees will review a set of the critical Human Resources Administrative rules and sign a confirmation of receipt form. Additionally, the Bureau of Human Resources may periodically update the critical rules and require employees to sign an updated confirmation form. A copy of this form will be placed in the appropriate bureau personnel file and in the City personnel file kept by the Bureau of Human Resources.

Reference: [Critical HR Administrative Rules Confirmation of Receipt Form](#)

3.07 Confidentiality

As a result of employment with OMF, employees may work with confidential and/or sensitive information including, but not limited to, payroll records, employee records, medical information, benefits information, and workers' compensation records. Employees may also work with confidential and/or sensitive information including, but not limited to, account information, audit compliance records, tax information, and other account data for vendors and our customers.

All OMF employees will receive and sign a Records Security Form. A copy of this form will be placed on file in the appropriate bureau personnel file and in the City personnel file kept by the Bureau of Human Resources.

Some OMF bureaus and work units may require additional confidentiality forms.

Reference: [OMF Records Security Form](#)

3.08 Pre-employment Checks

As a result of their employment, OMF employees may work with or come in contact with confidential and/or sensitive information. Additionally many are responsible for financial management of public funds. OMF managers are responsible for ensuring that pre-employment checks of potential employees are conducted and considered so as to provide reasonable assurance that the information provided by job applicants is factual and that the applicants' backgrounds do not present a risk to OMF or the City.

Reference Checks

All OMF hiring managers will conduct reference checks prior to making a job offer or as a condition of hire for new and promoted employees.

Criminal History Checks

At a minimum, all OMF hiring managers will conduct and review a criminal history check prior to making a job offer or as a condition of hire for new and promoted employees. Unless otherwise allowed by City policy, the focus of such a check is limited to criminal convictions.

For positions that require a physical capacity examination, the sequencing of the criminal history check, the physical capacity exam, and the job offer is important. OMF hiring managers should consult with their BHR business partners in these situations.

Other Pre-employment Checks

OMF hiring managers are encouraged to consider doing other pre-employment checks as are warranted given the nature of the duties of the position being filled.

- Educational Attainment
- Licensing and Certification
- Credit History *
- Background Checks *

OMF hiring managers must comply with all relevant City policies including HRAR when conducting any pre-employment checks and considering the information obtained through such checks. Those checks noted with an asterisk can only be performed under specific circumstances and conditions.

Consultation with HR Business Partners

OMF hiring managers should consult with their HR business partners to determine which types of pre-employment checks are appropriate to conduct and for advice on the proper means by which to conduct those checks.

If information obtained through any of the pre-employment checks raises concerns, the hiring manager will confer with their HR business partner on next steps. For example, a criminal history check may determine that an applicant has a prior criminal conviction. However, in and of itself, a conviction may not be sufficient reason to eliminate a candidate from consideration.

Criminal History Checks of Contract Employees and Consultants

OMF managers who supervise contract employees or consultants with access to City of Portland confidential information or financial systems will ensure that criminal history checks or comparable security checks of those contract employees and consultants are conducted prior to providing access to the individuals.

Reference: [HRAR 3.11 Criminal History Checks](#); [HRAR 3.12 Reference Checks and Employment Verification](#); [HRAR 3.16 Background Investigations](#)

Chapter 4 – Finance

4.01 Financial Reporting

All employees are encouraged to be familiar with the budget status of their bureau and division in order to plan the expenses that support their service area. Managers and financial analysts will comply with the OMF procedures for financial reporting.

The purpose of the OMF financial policies is to clarify the specific application of these policies to OMF-managed funds or business groups or to establish additional standards or practices.

Business Operations staff are responsible for the production of three main types of financial reports:

- Accounting Period Reports
- Budget Monitoring Process (BMP) Reports
- Annual Reports

Reference: [FIN 2.03 Financial Planning](#); [FIN 2.04 Budget](#); [FIN 2.05 Financial Reporting](#); [OMF 4.01.01 Financial Reporting Procedures](#)

4.02 Budget Development

OMF is required to create a budget request each year for submission to the City Council by the Mayor. All employees are encouraged to be familiar with the OMF budget and decision packages. All OMF managers and financial analysts will comply with the procedures for producing financial plans, interagency agreements and capital improvement plans.

OMF will develop and implement its budget in order to:

- Inform Council, customer bureaus, and other stakeholders about the services and finances of OMF.
- Identify financial issues and risks.
- Forecast the changes in rates, budgets, and fund balances resulting from assumptions made regarding each fund's business and operating environment.
- Integrate individual business plans with the budget process and OMF strategic planning process.
- Provide a forum for discussing and receiving direction from the City Council.
- Involve employees, bargaining unit representatives, and the OMF Advisory Committee.

OMF is required to prepare and submit an annual budget and ancillary plans and reports in accordance with the instructions issued by the City Budget Office.

Reference: [FIN 2.04 Budget](#); [OMF 4.02.01 Budget Development Procedures](#)

4.03 Internal Services Fund Reserves

OMF bureau managers and fund managers will comply with OMF procedures for managing OMF internal service funds reserves.

The OMF internal service funds maintain the following types of reserves/accounts:

- Operating Reserves
- Capital Reserves
- Actuarial Reserves
- Equipment Replacement Accounts
- Major maintenance accounts
- Money dedicated to special projects

Specific procedures determine the level for each of these reserves.

Reference: [OMF 4.03.01 Internal Services Fund Reserves Procedures](#)

4.04 Decision Packages

OMF managers and financial analysts will comply with the City guidelines and the Mayor's budget direction for developing budget decision packages. All OMF employees will be familiar with the budget request guidelines as they work with customers and other employees to generate ideas for budget changes. OMF decision packages will be reviewed by the OMF Leadership Team and discussed with the OMF Advisory Committee. Impacts of the decision packages will be communicated to customers as soon as is feasible.

Reference: [FIN 2.04 Budget; OMF 4.04.01 Decision Package Procedures](#)

4.05 Replacement of Internal Service Funds' Assets

OMF bureau managers and fund managers will comply with OMF procedures for managing the replacement of OMF internal service funds' assets. The OMF internal service funds of BTS, P&D, CityFleet and EBS include a replacement component in certain rates to replace assets at the end of their useful life.

Reference: [OMF 4.05.01 Replacement of Internal Service Funds' Assets Procedures](#)

4.06 Disposition of Used Turf from City-owned Spectator Facilities

Purpose and Scope of this Policy

This administrative rule outlines the process the Office of Management and Finance (OMF) will use to dispose of used artificial turf from City-owned spectator facilities. This rule reflects the City's desire to dispose of the turf in a socially responsible and environmentally sound manner and to agencies and organizations prioritized by the City.

Responsibility

The Chief Administrative Officer (CAO) has the authority and discretion to dispose of artificial turf being replaced in City-owned spectator facilities, regardless of current market value, in accordance with the guidance provided by this rule.

Policy

Donation. Per City Council direction, donation to other public agencies or non-profit community organizations is the preferred method of used turf disposal.

a. Eligible Recipients

OMF will consider potential recipients of used turf according to the following general priority. However, the CAO has the authority to deviate from this priority based on the additional considerations included in this rule.

1. City of Portland bureaus and agencies
2. Public agencies based in Portland
3. Non-profit youth-oriented organizations based in Portland
4. Public agencies based outside Portland
5. Non-profit youth-oriented organizations based outside Portland

b. Eligibility Criteria

To be considered for receiving used turf, applicants must:

1. Demonstrate a reasonable likelihood they will be able to install and use the turf within a reasonable period. This includes financial capability and confirmed location availability.
2. Demonstrate the ability to arrange and pay for transport of donated turf from the project or storage location to the installation site or storage location on schedule as required by the turf replacement project at the City's spectator facility.
3. Agree to hold harmless, defend and indemnify the City from any claims arising from the use or receipt of the turf or other materials.

In addition, the CAO may consider the amount of turf requested by various organizations and, depending on their needs, award all the re-usable turf to a single entity or any number of individual entities.

Recycling.

a. Appropriateness for Recycling

The CAO is authorized to arrange for recycling of some or all the turf if any of the following situations occur:

1. The material is damaged and not re-usable.
2. Qualified recipients cannot be identified for available turf within a reasonable amount of time.
3. The net environmental, social, economic, and energy benefit of recycling the turf is greater than benefits of re-using it.

Process of Notifying and Disposing of Used Turf.

- a. Prior to a turf replacement project, the Office of the CAO will advertise the opportunity to apply for a used turf donation to City and community agencies and non-profit organizations.
- b. Applicants must complete an application to indicate their interest and explain their proposals.
- c. Using the criteria established above, the CAO will determine the best donation/disposal strategy.
- d. The Office of the CAO will notify successful recipients in advance of the spectator facility turf replacement project.
- e. The Office of the CAO will provide a summary of any turf disposition process to the City Council within 12 months of the replacement project.

Reference: [Portland City Code 5.36.010 Disposition of Surplus Property](#)

Chapter 5 – Safety

5.01 Continuity of Operations Plan

OMF's Continuity of Operations Plan (COOP) provides important information about the bureau's essential functions, essential employees, critical systems, and more. The purpose of a COOP is to prepare the bureau to ensure continuity of operations in the event of minor and major service disruptions and emergencies.

The Policy Team will ensure that the most recent version of OMF's COOP document is posted on the OMF intranet site.

All OMF employees must be familiar with the OMF COOP, their bureau's sections, and their roles in performing essential functions.

OMF supervisors must review the OMF COOP with new employees during their orientation.

On an ongoing basis, OMF supervisors are responsible for identifying which of their employees are in "essential positions". These employees are considered "essential employees" for purposes of emergency preparedness and response.

OMF employees are responsible for knowing if they are considered "essential employees" for purposes of emergency preparedness and response.

All OMF employees are responsible for providing their contact information and keeping the information current, to help ensure OMF management has the most up-to-date information available should it be necessary to contact employees. The employee's contact information includes not only personal contact information (address, phone, cell, etc.) but also contact information for one or more emergency contacts. For most OMF bureaus and divisions, it is preferable that the contact information be entered and maintained in SAP, the City's official system of record.

Reference: OMF's [Continuity of Operations Plan](#)