

CITY OF SAN DIEGO  
ADMINISTRATIVE REGULATION

SUBJECT	Number 1.00	Issue 5	Page 1 of 6
ADMINISTRATIVE REGULATION AND DEPARTMENT INSTRUCTION PREPARATION PROCEDURES	Effective Date July 1, 2015		

1. PURPOSE

1.1. To establish directives for the issuance and revision of *Administrative Regulations* and *Department Instructions*. Departments involved in complicated, lengthy, or detailed operations are required to work with the Internal Controls Section of the Office of the City Comptroller to develop and issue Process Narrative and Work Instructions to detail the performance of these operations.

2. SCOPE

2.1. This Administrative Regulation applies to all City Departments.

3. DEFINITIONS

3.1. Administering Department – The City department that is responsible for maintaining and updating the *Administrative Regulation* or *Department Instruction*.

3.2. Administrative Regulations (A.R.) - Citywide administrative policy and procedure directives of a continuing nature issued by the Mayor and/or Chief Operating Officer.

3.3. Department Instructions (D.I.) - Administrative policy and procedure directives of a continuing nature issued by a department head and applicable to the operations of that particular department. For purposes of this A.R., Department Instructions also include Division Instructions.

a. Division Instructions - Policies and procedures specific to a Division within a Department and approved by the department head or Division Deputy Director.

3.4. Internal Controls – A process for assuring achievement of an organization’s objectives in operational effectiveness and efficiency, reliable financial reporting, and compliance with laws, regulations and policies.

(Supersedes Administrative Regulation 1.00, Issue 4, effective December 1, 2006)

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Authorized

[Signature on File]

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CHIEF OPERATING OFFICER

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4. POLICY

4.1. General

4.1.1. *A.R.s* and *D.I.s* remain in full force and effect until officially revised, superseded or repealed in writing by the Mayor and/or Chief Operating Officer.

4.2. Issuance and Revision of Administrative Regulations and Department Instructions

4.2.1. Format –

- a. All new and revised *A.R.s* must be issued on the Administrative Regulation Template over the signature of the Mayor and/or Chief Operating Officer.
- b. All new and revised *D.I. 's* must be issued on Form BD-4 (Attachment 4) over the signature of the *Administering Department* Director.
- c. All existing *A.R.s* are electronically stored by the Human Resources Department (HR). Departments must request an electronic transfer of the *A.R.s* they wish to revise.
- d. All existing *D.I.s* are electronically stored by the *Administering Department*.
- e. All *A.R.s* and *D.I.s* routing through the review process must be in Word Document format with a “DRAFT” watermark included on both a redlined and a clean copy. The redlined copy shall reflect the proposed changes redlined from the current *A.R.* or *D.I.* The clean copy of the *A.R.* or *D.I.* will reflect the proposed draft version if requested changes are accepted.

4.2.2. Preliminary Review –

- a. Proposed drafts of new or revised *A.R.s* or *D.I.s* must first be approved via e-mail or memorandum by the *Administering Department* Director or designee, before it is submitted to both HR and the Internal Controls Section of the Office of the City Comptroller for preliminary review to determine if there are any impacts to mandatory subjects of bargaining (i.e. wages, hours, and other terms and conditions of employment), and to ensure that internal control requirements are being satisfied.
- b. The *Administering Department* must send an e-mail to HR at

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[HumanResources@saniego.gov](mailto:HumanResources@saniego.gov) with a copy to Internal Controls at [Comptroller@saniego.gov](mailto:Comptroller@saniego.gov) containing the following information:

- i. *Administering Department* Contact Person for the *A.R.* or *D.I.* processing – including the employee’s name, job title, Mail Station, e-mail address and phone number;
  - ii. *Administering Department* Director’s e-mail or memorandum approval for the requested revisions to the *A.R.* or *D.I.*;
  - iii. Word Document copies of the redlined and clean versions of the *A.R.* or *D.I.*; and
  - iv. Attachment B – Cover Memorandum highlighting the proposed additions/revisions or purpose of the new *A.R.* or *D.I.*
- c. For new *A.R.s*, HR will provide the Department with a document number after preliminary review.

4.2.3. Internal Routing –

- a. For *A.R.s* Only - After the *Administering Department* receives preliminary approval via e-mail from HR and Internal Controls to route the *A.R.* internally, the Department must obtain approval via Attachment A – Clearance Memorandum from all Department Directors of the departments that may be impacted by the revisions to the *A.R.* The Clearance Memos may be sent and received via e-mail.
- b. The *Administering Department* is required to provide the following documents to internal reviewers (i.e. Department Director(s), Department’s City Attorney Liaison and their Deputy Chief Operating Officer (DCOO) and/or Chief Financial Officer (CFO)) when requesting their review and approval:
  - i. Attachment B – Cover Memorandum; and
  - ii. Redlined and clean versions of the *A.R.* or *D.I.*
- c. The *Administering Department* must obtain review and approval from their Department’s City Attorney Liaison for both *A.R.s* and *D.I.s* via Attachment A – Clearance Memorandum.
- d. If the *A.R.* or *D.I.* is new or contains significant changes in policy, *Administering Departments* must obtain review and approval from their DCOO/CFO via Attachment A – Clearance Memorandum.
- e. If at any point during the internal routing process, substantive changes are made to what was previously reviewed by the Department Director(s),

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Department’s City Attorney Liaison or DCOO/CFO, the draft revisions must be sent back to them for final review.

- f. Once the *Administering Department* has completed all required internal routing, they should forward the following to both HR at [HumanResources@saniego.gov](mailto:HumanResources@saniego.gov), and Internal Controls at [Comptroller@saniego.gov](mailto:Comptroller@saniego.gov) indicating the internal process is completed:
  - i. All copies Attachment A – Clearance Memorandums reflecting all approvals from the relevant Department Director(s), Department’s City Attorney Liaison, and DCOO/CFO; and
  - ii. Final draft of the redlined and clean Word Document versions of the *A.R.* or *D.I.*

4.2.4. Routing to the Impacted Recognized Employee Organizations –

- a. HR will review the final draft revisions to the *A.R.* or *D.I.* and forward the revised draft version to the impacted recognized employee organizations and meet and confer, if necessary, in order to satisfy the City’s obligations under the Meyers-Milias-Brown Act.
- b. HR will contact the *Administering Department* if meet and confer is requested by an impacted recognized employee organization regarding the requested revisions to the *A.R.* or *D.I.*

4.2.5. Final Approval –

- a. Once the City’s meet and confer obligation has been satisfied, HR will forward the final *A.R.* to the Internal Controls Section for final review and sign-off. Once the sign-off has been obtained, HR will forward the final *A.R.* to the Mayor and/or Chief Operating Officer for final review and signature or the *D.I.* to the *Administering Department* Director for final review and signature.
- b. Once the *A.R.* is signed by the Mayor and/or Chief Operating Officer, HR will post it on *Citynet* and send out an e-mail to Department Directors to disseminate the *A.R.* to employees, volunteers and/or contractors.
- c. Once the *D.I.* is signed by the *Administering Department* Director, the Department should inform employees and post the *D.I.* on the Department bulletin board or where other information is regularly provided to employees, volunteers and/or contractors.

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5. RESPONSIBILITY

5.1. Administering Departments

5.1.1. The *Administering Department* is responsible for reviewing their *A.R.s* and *D.I.s* on an annual basis to ensure current procedures and policies are accurately reflected.

5.2. Department Directors

5.2.1. Department Directors are encouraged to develop *A.R.s* or *D.I.s* for specific policies and procedures that may assist in making the City or their Department more efficient and effective.

5.2.2. Department Directors or designees are responsible for ensuring that employees are informed of revised *A.R.s* and *D.I.s*.

5.2.3. Departments must ensure that the *D.I.s* are available for employees to view and print at any time.

5.3. Human Resources Department

5.3.1. HR is responsible for publishing the new or revised *A.R.* on *Citynet* upon final approval by the Mayor and/or Chief Operating Officer.

5.4. Office of the City Comptroller, Internal Controls Section

5.4.1. The Internal Controls Section is responsible for reviewing the draft *A.R.* or *D.I.* to facilitate the development, implementation and maintenance of internal controls.

APPENDIX

Legal References

City Charter, Section 250 – (Strong Mayor trial Form of Governance)  
City Charter, Section 28 - (Administrative Rules and Regulations)

Forms

Attachment 1 – Clearance Memorandum  
Attachment 2 – Cover Memorandum  
Attachment 3 - Administrative Regulation Template

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Attachment 4 – BD-4 – Department Instruction Template  
Process Narrative XXXX– [TITLE] (As determined by the Office of the Comptroller)

Subject Index

Administrative Procedures  
Administrative Regulations  
Department Instructions

Administering Department

Human Resources Department

**ATTACHMENT 1 – CLEARANCE MEMORANDUM**

**CITY OF SAN DIEGO  
M E M O R A N D U M**

DATE : (Today’s Date)

TO : (Deputy Chief Operating Officer(s) or Chief Financial Officer/Director(s) of department(s) affected by provisions of the Administrative Regulation, Department City Attorney Liaison)

FROM : (Administering Department Director)

SUBJECT : Administrative Regulation Clearance, A. R. # \_\_\_\_\_  
Department Instruction Clearance, D.I. # \_\_\_\_\_

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The attached Administrative Regulation (or Department Instruction) draft is submitted for your review.

Please sign below indicating approval and/or make comments regarding suggested modifications and return to (Administering Department contact person), Mail Station # \_\_\_\_\_ by [DATE].

Administering Department Director

Attachment

APPROVAL:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Department

\_\_\_\_\_  
Date

COMMENTS:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**ATTACHMENT 2 – COVER MEMORANDUM**

**CITY OF SAN DIEGO  
M E M O R A N D U M**

DATE : (Today's Date)

TO : Human Resources Department  
Office of the City Comptroller – Internal Controls Section

FROM : (Originating Department Director)

SUBJECT : (New/Revised) Administrative Regulation or Department Instruction (Number) –  
“(Administrative Regulation or Department Instruction Title)”

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Attached is a draft redlined and clean copies of the Administrative Regulation (A.R.) or Department Instruction (D.I.) (number) entitled “(A.R. or D.I. Title)”. The A.R. or D.I. has been reviewed and approved by (list concerned departments and Deputy Chief Operating Officer or Chief Financial Officer, if applicable).

The draft A.R. or D.I. reflects the following changes:

1. ADDITIONS - List section numbers.
2. REVISIONS - List section numbers.
3. DELETIONS - List section numbers.

(Explain the purpose of a proposed new A.R. or D.I.).

If you have any questions regarding these revisions, please contact\_\_\_\_\_.

**DEPARTMENT DIRECTOR**



**ATTACHMENT 3 – ADMINISTRATIVE REGULATION TEMPLATE**

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1. PURPOSE

1.1. X

2. SCOPE

2.1. X

3. DEFINITIONS

3.1. *Sample:* Text.

4. POLICY

4.1. General

4.1.1. X

4.1.2. X

a. X

i. X

(New (or *Supersedes*) Administrative Regulation XX.XX, Issue 1, effective [DATE])

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Authorized

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CHIEF OPERATING OFFICER

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5. RESPONSIBILITY

5.1. X

APPENDIX

Legal References

X

Forms

X

Subject Index

X

Administering Department

X

**ATTACHMENT 4 – FORM BD-4: DEPARTMENT INSTRUCTION TEMPLATE**

City of San Diego, California DEPARTMENT INSTRUCTION [or if, Division Instruction put DIVISION INSTRUCTION here]	DI Number [Insert #]	Department [INSERT]
Subject [INSERT TITLE]	Page 11 of 6	Effective Date [DATE]
Division Applicability [INDICATE WHICH DIVISIONS DI APPLIES TO]	Supersedes DI [Insert #/Issue]	Dated [DATE]

1. PURPOSE

1.1. X

2. SCOPE

2.1. X

3. DEFINITIONS

3.1. Sample: Text.

4. POLICY

4.1. General

4.1.1. X

a. X  
i. X

4.1.2. X

5. RESPONSIBILITY

5.1. X

APPENDIX

Legal References

X

Forms

X

Subject Index

X

Administering Division

X

Approval:

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*[Department Head/ Appointing Authority]*

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Date