

I am still trying to sort out our articulated elbow truck bids. I came in on the tail end of the discussion on this equipment purchase and it seems that a number of questions were not asked or answered. They are now surfacing and I am not really sure which way to go. I talked to the Superintendent of the Water and Light plant who wants the equipment. Among other things, some of his employees seem to want a different truck. I decided to meet with all of them tomorrow. The one thing that gets me about this situation is that some of the employees are talking to Councilmen about their gripes. This is one thing that I want to straighten out.

January 26 - Tuesday

The City Engineer, City Clerk and I went to the Capital to discuss with state and federal agency representatives our application for airport development funds. We spent about two and one half hours with them clarifying what we want to submit. This is a new program and we received the impression that they would like to approve any application they can, so they can spend their

money before the 1970-71 fiscal year ends. We plan to oblige them.

When I got back, I hustled out an agenda and supporting information since the Council meeting was moved up to Wednesday.

I then met with a couple of Water and Light men to discuss the need for a \$12,000 truck which will be voted on at the meeting tomorrow. It seems that there is now some question about the need and advisability of this piece of equipment. I think I have resolved my own mind in favor of it and will meet some more of the employees tomorrow morning to finish it up.

January 27 - Wednesday

I met with the employees and we spent about two hours discussing the truck purchase and the fact that I do not want anybody going to Councilmen with complaints. I told them that if they disagree with something they should talk to the Superintendent first. If they cannot work it out with him, they should all come to me. They said they would gladly oblige but had done otherwise

because they could never talk to the previous Manager.

Some of us went to a neighboring community to see the same piece of equipment we would like to buy. Some misconceptions they had were clarified and they decided they did wish the new equipment. I then spent a couple of hours writing a memo to the Council recommending going ahead with purchasing the equipment at tonight's meeting.

The meeting was pretty uneventful. They approved a few more salary increases. After some discussion they also approved buying the truck equipment. The Consulting Engineer we hired to study our sewer treatment plant was also at the meeting. He told the Council that we are operating way above capacity at the plant and will have to expand to the tune of \$750,000.

January 28 - Thursday

I cleared up some odds and ends in the morning: answering letters and phone calls.

I want to get the committees going, particularly the Plan Commission. I spent some time reading the ordinances establishing the different committees. I am not

particularly crazy about the system they have, but it should be workable. Personally, I hate committees. They are generally more work than is worth it. However, the Council wants to involve the citizens, so I will try to use them. I called the chairman of the Plan Commission and asked him to come in tomorrow to discuss a few things.

Opened two bids in the afternoon. Nothing too exciting.

January 29 - Friday

Not much work today. Our sixteen month daughter stuck two fingers in her mother's eye and scratched the cornea. Most of the day was spent chauffering to the doctor and babysitting.

CHAPTER II

INTERNAL CONTROL¹

Personnel

The first thing I felt I should do coming on the job was to establish a relationship with the Department Heads who would be under my immediate supervision. For this purpose, the second day I was there, I called all the Department Heads together, introduced myself and told them a little bit about my method of operation, specifically that I would not be making wholesale changes. If I did feel some changes should be made, I would discuss them with the people involved. I also stressed that any problems they have should be brought to me and not to any of the Council.

One thing that surprised me coming into the position

¹Harold Stein develops the concept of internal processes and external politics in the introduction to Public Administration and Policy Development (New York: Harcourt, Brace & World, Inc., 1952), pp. xiii--xvii.

was the ease with which directives could be issued to and accepted by the employees. Part of it, I am sure, was the employees' desire to make a good impression. The other part was simply the authority of the job asserting itself. Being twenty-eight years old and younger than all the Department Heads, in fact, most of the employees, I thought that this might cause a problem.

My first job out of college at twenty-three was as a production foreman in a foundry. One of the most difficult problems I faced in that situation was supervising men twenty and thirty years my senior who had been doing their job for that period of time. I was treated as a green kid intruding into their world, trying to upset their established routines and work habits. The problem was a continuing one that always surfaced whenever a question or unacceptable directive arose.

This did not occur in this job, although I was well aware of the possibility. I found out that it is very true that people want to be told what to do in most cases, rather than being left on their own. They welcome direction, find it uncomfortable not to have it, and that

they were glad in many instances that I had to make a decision rather than them. I found also that if I acted decisively, even in many instances when a decision is made that is not clear cut and without its drawbacks, they were accepted readily and carried out by the employees with more dispatch.

Since the organization is relatively small, my main concern at the outset was to establish confidence in my leadership. To this end I found two qualities most important: to listen and to be decisive. I was in contact with most of the employees every day or every few days. Personnel administration was not a technical problem but a human problem that could only be handled by effective leadership.

Fiscal

The financial control system that existed when I came on the job was adequate, but had some drawbacks. A new budget system was installed under the previous City Manager which necessitated a new system of accounts and an overhauling of the accounting procedures.

Those involved in the financial operations of the City are: the City Clerk, Bookkeeper, City Manager, City Treasurer (a part time employee) and the Mayor and Council. The work of the City Treasurer, City Clerk and Bookkeeper are clerical. Mine is to make decisions about expenditures and sign the checks which are also signed by the City Treasurer.

There is a somewhat different requirement by the City Charter² which requires the City Council at each of its meetings to receive a list of all claims to be paid by the City. This list includes the check number, a brief

²City Charter, Sec. 7.10.

description of the item or service paid for, and the amount of payment. This list of claims is sent to the Council prior to each Council meeting, is reviewed by them, and approved as a whole at each Council meeting.

This process created the first problem for me regarding financial control. Purchases were made by the various Department Heads or employees without my official approval. There were no purchase orders in use. And even though on almost all occasions the Department Heads would come in for approval before purchasing any major item; they would frequently purchase smaller items on their own because they had always done it in the past.

As the Council meetings, which are every two weeks, approached, the Bookkeeper would prepare a series of checks and the claim sheet giving a brief description of each payment. These would usually number about sixty or seventy claims. In addition there would be payroll checks, claims from the Water and Light Department as well as claims and payroll for the Hospital. Frequently there would be 200 to 300 checks to be signed prior to the Council meeting. And in many cases there was not sufficient information and, in

almost all cases, insufficient time to check over each claim to see that the money was being spent correctly.

When the Council met, they would frequently ask questions about individual claims. I could tell them why or what was purchased. But all too many times I was stymied for an answer, particularly for a five or ten dollar purchase.

A policeman might have a headlight go out and buy one at a gas station at night. The Street Department might have needed a few extra brooms to be used in street patching operations. These purchases would be made, invoices sent to the City, checks made out and the claims approved by the Council without anyone really knowing what was going on.

The situation became a little embarrassing and I decided one step would have to be taken immediately. Consequently, I had the Bookkeeper prepare the checks and submit them to me with the invoices as she received them and made out the checks. Instead of saving sixty or seventy checks for the day or two before the Council meeting, I was able to take ten or fifteen claims at one

time. I could look through them and become familiar with what the claims were for, who approved them, and what the item was being used for.

The second change was to have the Bookkeeper give me the invoice along with the check. Previously I just received the check and the claim sheet which had just a very brief description of the claim. There was no extra work for the Bookkeeper since she prepared the check with the invoice in front of her. Now she just clipped the invoice to the back of the check, sent them up to me for my signature, and then removed them after I had signed them. She then sent the checks to the City Treasurer for his signature.

This procedure enabled me to have a little better control over the spending, although there were still purchases being made without my prior approval. Consequently, after several more months I instituted a purchase order procedure and requisition form. There are two separate procedures: one for purchases over twenty-five dollars and one for purchases under twenty-five dollars.

Purchases over twenty-five dollars are initiated with

a requisition from the Department Head and no one else. These are submitted to me for my approval. If they are approved, the requisition is sent to the bookkeeper who then prepares a three copy purchase order.³ The original is sent to the vendor, the second copy to the Department Head making the requisition, and the third copy is held by the Bookkeeper.

When the goods or services are received, the Department Head indicates on his copy when they were received and that they were received in satisfactory condition or not. He then sends his copy to the Bookkeeper who in turn holds it until the invoice is received. When the invoice is received she makes out a check and attaches both the purchase order and the invoice to the check. She then sends it to me for my signature.

For purchases under twenty-five dollars a requi-

³In developing the forms used for the various fiscal control measures, past experience and consultations with other purchasing agents were the basic sources used. However the International City Manager's Association textbook on Municipal Finance Administration (6th ed.; Chicago: International City Manager's Association, 1962), is a helpful tool in that it presents fiscal control guidelines and techniques. My graduate school paper analyzing the fiscal administration of Park Forest, Illinois was also a great help in instituting the changes.

sition is not needed. A small purchase order book is used for this purpose. A Department Head can come in, indicate what he wants, and a two page purchase order is made out. The original is sent to the vendor. In most cases they are carried by hand, since most of the small purchases are made in town. The second copy is held by the Book-keeper till the invoice is received from the vendor.

The procedure caused quite a stir and complaints from Department Heads about the process being time consuming. However, the procedure has worked just the opposite. Department Heads are no longer running out and buying small items here and there. They are thinking ahead and planning ahead. They are purchasing some items in larger quantities, and they are better able to tell where the money in their particular budget is going.

This use of the requisitions and purchase orders also is having a beneficial effect on the budgeting process, especially in the categories of supplies, printing, and publishing, utility expenditures, etc.

Personnel costs and capital expenditures are always

reviewed individually and received a lot of consideration at budget time. However, about thirty per cent of the budget is made up of expenditures made on a day-to-day basis. Items purchased to keep the organization going. These had never been reviewed carefully and Department Heads, in preparing their budgets, would simply take last year's amount, add five or ten per cent and submit it for this year's budget request.

In preparing the budget the first time through, I had each of the Department Heads try and specify as much as possible what they were spending the money for in each of these categories. For instance, instead of simply having an item in the budget for training for \$250, I asked them to break that \$250 down into whatever components the money would be spent for such as: fire training conference--\$150, a set of manuals to be used by the firemen--\$50, three movies--\$50, etc. By using requisitions and purchase orders, they are now filling in some of these gaps. Next year at budget time they should have some of this information available in order to make more accurate budget estimates.

In line with some of these detailed considerations within the budget and purchasing procedures, some cost accounting has been introduced within the Street Department operations. Hours, equipment, supplies, etc. which can be allotted to a specific Street Department program such as snow removal, storm sewer maintenance, machine shop, etc., are now divided within the accounts so that we can have some information to make better decisions next year on the budget allocations.

In each of these instances they have been small steps taken at various times along the road. The different procedures have been instituted as I was able to determine the need for them based on what was actually happening in the City. I am not an accountant and not particularly well trained in the field. The changes I made were based on the kind of information I needed to do the job. The practical means of implementing a number of the procedures were left to the Bookkeeper or were worked out in conjunction with the City Auditor.

City Council

Discussing relationships with the City Council under the heading of internal control is probably a misnomer to some extent. The day a City Council can be controlled by a City Manager is yet to dawn. Rather than control a Council, the subject should be looked at as establishing an internal relationship between the City Council and the Manager.

The City Council has a relationship with the external environment around it as does the City Manager; but both have to establish an internal relationship between themselves, before they can respond and react adequately to those forces coming from the outside. There are aspects of this relationship that only the Council can contribute to and also aspects that only the City Manager can contribute to.

Councils, once they have hired Managers, start off the relationship by having a certain amount of confidence

in and giving a certain amount of support to the City Manager. They have chosen him out of a number of applicants. Each Councilman probably has his own and differing reason for selecting the City Manager, but as a whole they feel the individual they selected will do a good job for the people who elected them.

At least for a period of time, until the Manager proves otherwise, they will defend the Manager since they did hire him and have their reputations and political futures at stake. In this instance there was even more at stake since almost all of the Council were elected officials at the time the new charter establishing the city manager plan was voted in by a modest margin.

The previous City Manager had been there for less than two years and had resigned under pressure from a number of citizens and Councilmen. Talk of eliminating the manager form of government popped up in a few areas, but the feeling among most who were upset with the previous City Manager was the feeling that he should go and a new man be hired. There was a strong feeling, however, that the new man hired by the Council better succeed at a satisfactory level or maybe the whole Council-Manager plan

should be dropped.

Consequently, upon my arrival as City Manager, the Council had quite a bit at stake in my success. They were ready to give their support to me until I proved I did not deserve it. That is all one can ask of a Council.

For my part, I tried to understand who these men were both as individuals and elected officials. I learned by talking to them and by listening to others talk about them. I felt it was important to know these men as well as I could because it was for them that I had to prepare information, consider alternatives and, when the occasion arose, persuade them to take a different course of action.

In any of the above activities, cold, objective information will not always get the job done. Councilmen, like other people in some instances, do not want to be confused with the facts or at the facts as somebody else sees them. Or in some instances they care about the facts that concern them and do not pay attention to the other facts. To get a majority of them to act in unison on some

particular item, the information has to be broad enough to satisfy each of their questions. The more of their questions that can be anticipated, the smoother the business of the City runs and the less reason there is for delay when delay is not called for.

The game is anticipating what they want to know before they really know themselves. Frequently an issue will arise and the Council will tell the Manager to look into the matter and report back to them at the next Council meeting. Between Council meetings they may give the matter some consideration; but, more than likely, they have not. Prior to the next meeting, the Manager will research the question and report in a written memo to the Council how he sees the question, what alternatives there are and, in a number of cases, make a recommendation for a course of action. This will be sent to the Council several days prior to the next meeting for their consideration.

Frequently the Council will not read the memo prior to the next meeting. When the issue comes up for a decision at the meeting, they, for the first time, give the

matter some serious consideration. They begin asking some questions and expect them to be answered. If as Manager you do not know the answer, there are two things to do: (1) bluff it, (2) acknowledge your lack of information, tell them you will get the information by the next meeting and, more than likely, accept a delay in action until that meeting.

Both reactions have their place. If the Manager does not have the information the Council will accept the fact that he is not all-knowing. They will either determine that the information is not vital to making a decision and go ahead and decide anyway; or if they do determine that it is necessary information that must be obtained before a decision is made, then they will table the matter until the next meeting. This, of course, is a logical way to proceed and should be done in most cases.

However, too many instances of insufficient information as far as the Council is concerned can be the seed of some problems between the Council and the Manager. This is where the first alternative comes in to play.

The bluff method should only be used in non-vital areas. A Councilman may think his question and the information to it is of earth shattering importance, and his decision weighs on a concrete answer to it. It is my experience that a firm, straightforward answer to such a question even though I may not be absolutely sure of my information, is sometimes beneficial. Frequently the decision can then be made, and the question settled. If, on further research after the meeting, I find that I was mistaken, I so notify the Council and they may reconsider the question if they want. However, they usually do not as the information is not vital to the determination of the question.

County and state problems of cooperation. The relationship between the city and the state is a complex one. Frequently regulatory and, almost always, financial. The relationship with the federal government is usually strictly financial through grant-in-aid programs. One of the federal programs are made up through the state.

"County and State Administration and Policy Development," pp. 101-102.

CHAPTER III

EXTERNAL RELATIONS

Besides trying to keep itself going internally a city is also affected by what is going on outside of it.⁴ Some of this effect from the outside is in structured form, particularly other units of government. In our case, there is a relationship between the city and the county, the city and the state, and the city and the federal government. The relationship and the problems that arise from it between the city and the county are mainly problems of cooperation. The relationship between the city and the state is sometimes financial, frequently regulatory and, almost always, frustrating. The relationship with the federal government is usually strictly financial through grant-in-aid programs. Some of the federal programs are funneled through the state.

⁴Stein, Public Administration and Policy Development, pp. xvi--xvii.

Others are applied for directly.

The non-structured relationship which the City must react to is the immediate environment of the community, special interest groups, and the decision makers, power structure or whatever term should be used to describe those who have quite a bit to say about decisions of any importance in the community. The following short case studies of various issues and how they developed should illustrate some of the effects this outside environment has on the City, the different problems they create, and the manner in which they affect the decisions which are made.

Intergovernmental Relations

City--County: The Police and the Sheriff

As described earlier in both the diary and under the personnel section of specific problem areas, the City Police were demoralized, ineffective and did not command the respect of the residents. People hesitated to call the City Police who were frequently referred to as the "boy scouts in blue".

Into this void stepped the County Sheriff. He is an elected official and runs for office every four years. The County Sheriff in a small rural area is a powerful man. Legally, his authority under state statutes is broad. His accountability is limited. Besides the voters, who can turn him out every four years if they so desire, no one really has any control over the county sheriff except the governor of the state. And, by some quirk of the law⁵ many years ago, the county coroner also has some authority over the Sheriff.

⁵Minnesota Statutes, Chap. 390.04.

There is also no clear line of jurisdiction which either allows or disallows a County Sheriff and his deputies from operating in municipalities with duly constituted police forces. By custom the Sheriff takes care of the countryside and the Police take care of the City. But if the Sheriff decides to operate within the City there is nothing to prevent him from doing so.

In addition, the Sheriff is a strong willed, aggressive individual who is well aware of his broad authority and the limited restrictions on him. Therefore, when the Police Department began to deteriorate, people called the Sheriff's office more and more. Being an elected official he was not going to turn them down. Consequently, more and more of the actual police work within the City was coming under the direction of the County Sheriff. He would either use his own men or call the City Policemen who worked under his direction. For all practical purposes, except for routine traffic matters, a County Police force under the direction of the County Sheriff was beginning to be formed.

Prior to my arrival on the scene, the previous

City Manager demoted the Police Chief who had a drinking problem as well as a number of administrative deficiencies. He and the Council were in the process of looking for a replacement when the City Manager resigned. In addition, the now demoted Police Chief went on disability leave. Consequently, the Police Department was understaffed and without direction for about six months.

In this period of time, the Police looked more and more for their direction to the Sheriff who is knowledgeable of the law and possesses the technical competence and ability to see that it is enforced. At the same time, the County was in the process of building a new Sheriff's office and jail complex which cost about half a million dollars. Work was in progress as I arrived in town. Shortly after my arrival, I was invited to view the construction of the new building. The Sheriff took me on a tour and showed me where some space would be available for the Police Department if we wished to occupy it.

Not knowing the background or history behind the proposal at the time, I said I would bring it up to the Council. Shortly thereafter the Sheriff invited the Council

to a lunch meeting to discuss the consolidation of the police forces. My initial reaction was to favor the idea. The City Police facilities were limited and barely adequate. In addition, there would be no duplication of services; and it would be a move toward consolidation of the two forces which would probably be a lot cheaper for both the City and County taxpayers.

As drawbacks, the Police would be a little bit beyond my immediate supervision and control. But most important from some of the Councilmen's view and mine as I became more aware of the situation, was the necessity to keep the City Police Department as a separate entity, and build it toward an efficient and respectable group. The main reason, in my opinion, was the Sheriff himself.

In casual conversation with the City Managers outside the County, our County Sheriff was referred to as "the outlaw". If a youngster hung around with the right bunch of kids, he did not get in trouble no matter what he did. But if he wore long hair and looked somewhat disreputable, he was in trouble. The previous VISTA

volunteer under the poverty program was run out of town by the Sheriff under questionable circumstances. There were stories of mistreatment of prisoners in some instances. The County Attorney usually bowed to his wishes as did the County Judge. He got involved in the prosecution and in the sentencing procedures. More than anything, he was a law unto himself.

There was nobody to challenge him in an election and no way to change him. I decided I was not going to put the Police under his control, and lose the influence I would have over their training and activities. The Council decided not to move the Police into the Sheriff's building, and we proceeded to hire our own Chief.

From then on we have been in competition with the Sheriff who has pulled a series of one-upmanship type acts. He has tried to bypass the City Chief on several occasions, most notably a drug raid which was performed within the City without the knowledge of the Chief. The City Police participated in the raid but nobody notified the Chief that this was going to take place. The police officer in charge had not informed the Police Chief that

night or the next day until he came on duty. For this the Chief recommended suspending the individual and I agreed.

The policeman then went down to the Sheriff and told him what the situation was. Both of them came storming back to the City Hall. The Sheriff threatened to take complete control of the City Police functions and take the Chief to court on some unspecified grounds. After considerable discussion, shouting, and name calling, we made the point clear that our people would be under our direction. There would be no hesitancy to assist the Sheriff when he needed help, but in matters of major importance, the Chief should be notified and worked with. The individual policeman was suspended for one day without pay.

In the meantime, under the direction of the new Chief, the Police Department began to develop into a more efficient work force. They received more regular training in police methods and courtroom procedures and presentation. The Chief set up meetings with the Municipal Judge, the County Judge, County Attorney and City

Attorney to discuss the law, rules of evidence, police procedures, etc.

Since we could not exclude the Sheriff from jurisdiction within the City, we felt the only way to make inroads into his power was to have the City Police do a good job on the calls to which they responded. Over a period of time we felt we could reduce the trend towards calling the Sheriff. In turn, particularly in a small town, the work done by the Police in various matters would spread, and they would be called more and more. This has been the case. However, the progress is slow. The Police are not referred to as the "boy scouts in blue" any longer. They have become a more professional group.

Meanwhile the battle between the Sheriff and the Chief goes on. In the arrest of an alleged rapist in which the City played the dominant role and actually apprehended the man, the Sheriff took most of the credit for the work with minor reference to the Police. The Sheriff also took the major credit for the arrest of a shop lifting group which had been operating in town over

a period of time.

His retaliation became more subtle as time went on. In a federal grant which the County submitted to the regional planning agency for a new radio system for the County to be tied in with the State Police radio system, the City's need for radio equipment was practically left out of the application. We specifically asked the Sheriff that four mobile units plus a base station and two hand radios be included in the application for the City. We found out after the announcement of the grant that the City was in for only one mobile unit, though there are additional units within the grant which can be allocated to the City, if the Sheriff so decides.

An item which has added fuel to the flame was my recommendation that the City stop paying for dispatching service from the County Sheriff's office. A number of years ago it was felt that the wisest and cheapest solution would be for the City to pay the equivalent of one man's salary to the Sheriff's Department as a contribution to twenty-four hour dispatching through the

Sheriff's Department. The City paid this for a number of years; but in the meantime, the Sheriff's Department grew. They began providing twenty-four hour dispatching service for the other towns within the County and not charging any money for the service.

This seemed to me to be unfair and I told the Council so. We met with the County Commissioners and the Sheriff and discussed the matter. Our point was that the taxpayers of the City were already paying forty per cent of the Sheriff's budget through their real estate taxes. Since the City had its own Police force to take care of its public safety needs, there was really little need of the Sheriff's Department to provide them. Consequently, it seemed absurd to have an additional fee to pay to the County for twenty-four hour dispatching service.

The Sheriff in turn said that if we continued paying the one man equivalent salary, we would not be charged for prisoner care if we brought someone down to the County jail; nor would we be charged for medical and hospital expenses for patients brought into the City

hospital by the Police, usually in cases where the patient was under the influence of alcohol.

However, it seemed a poor trade. The equivalent salary was about \$10,000 including fringe benefits. We were averaging fifty dollars per month in prisoner care. The cost we would be expected to pay regarding hospitalization was around \$1,000 in an average year.

I told them we would pay for the prisoner care and any legitimate hospital expenses that should be charged to the City. We would not pay, however, for the dispatching service; though, of course, we would continue to expect to receive it as did the other towns within the County.

This did nothing to endear us to the Sheriff. The problem will probably continue until the present Sheriff either retires or is defeated in an election. Both possibilities are remote as the Sheriff has a number of years before he would have to retire, and there doesn't seem to be anybody within the area capable of defeating him in an election.

My objective is to keep the conflict between the County and the City in the matter of Police enforcement at a minimum so that it doesn't effect the level of services which the citizens should be receiving.

City--State: Pollution Control Standards

The State authorizes cities to exist. They also set the limits within which the city may operate on its own by authorizing various municipal charters within the State.⁶ The State still controls a number of municipal activities through the use of regulatory agencies and it has some say over the purse strings. In this instance, the Pollution Control Agency (PCA) of the State is the determining factor in what action the City will take regarding a new sewer treatment plant.

Prior to my arrival, the City had hired a Consulting Engineer to make a study and recommendation regarding the sewer treatment plant of the City. The old plant was completed twenty years ago, and it was obvious that a larger plant would have to be built. The Consulting Engineer performed the study and submitted

⁶ Minnesota Statutes, Chap. 410.01 et. seq.

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his report to the City Council recommending an expansion of the present sewer treatment plant at a cost of about eight hundred thousand dollars.

The present plant has a capacity of half a million gallons a day. The results of this study indicated that on many occasions the flow through the plant was averaging 700,000 to 900,000 gallons per day. The design, therefore, included a capacity of one and one half million gallons per day which should meet the City's needs for the next twenty years.

One other major factor that has to be taken into account in any sewer treatment plant design is the quality of the effluent which will leave the sewer treatment plant. A number of factors must be considered in measuring the effluent, but two of the major factors that have to be dealt with is the biological oxygen demand (BOD) and suspended solids. What the BOD and the suspended solid content should be is a debatable point. The federal government has set some standards for inter-state bodies of water such as the Great Lakes, Mississippi River, Missouri River, etc. The states, in turn, are left to

determine levels of effluent quality for the intra-state water system. This is where the problem developed between the City and the State.

The Consulting Engineer proposed a plan which would have an effluent of about ten to fifteen parts per million (ppm) of BOD and the same for suspended solids. The State requirement at the time was 25 ppm of BOD and 30 ppm of suspended solids. The plant proposed would not always reach 10 ppm. Sometimes it would be a little bit higher; sometimes a little lower depending on the quality of the influent.

Enter the PCA. While the City was having the report prepared, the PCA was busy developing a new set of water quality standards for the State.⁷ In turn they were sending out stipulations to all the communities in the State regarding the future of their sewer treatment plants. These stipulations were concerned with two main points. The first was the quality of effluent which

⁷ Minnesota Pollution Control Agency, Regulation WPC-14 and WPC-23, 1971 ed.

the City was expected to obtain. The second part was a time schedule in which the City should obtain this quality of effluent.

In our case the level of effluent was to be 5 ppm of BOD and suspended solids. The time for completion was the Fall of 1973, two years hence. My first reaction was that we should go up and talk to the PCA about it, find out what their reasoning was, and if there was any possibility of modifying it as to both the effluent quality and the time schedule.

Consequently the Consulting Engineer, City Engineer and myself went to the PCA asking for an explanation of their stipulation and to find out if there were any grounds for changing it. Being in a period of ecological consciousness, the meeting with the PCA was a waste of time regarding any possible modifications. The environment and pollution control is a hot political issue, and the PCA had its share of zealots to see that the law and the standards would be upheld. We came away understanding why they set the 5 ppm as the standard for the City's effluent, but we found it difficult to accept as being

reasonable. In practical terms, obtaining 5 ppm effluent of BOD and suspended solids is the same as adding a water filtration plant to the end of the sewer treatment plant. The water coming out of the plant would be drinkable.

After the meeting and discussing the question with the Council, I sent the stipulation back to the PCA saying that we would not sign it under the present requirements and offered several pages of alternatives as to both effluent quality and the time schedule. We offered to meet with the PCA again and discuss our suggestions with them. We heard back from the PCA and scheduled another meeting. This time the City Attorney and Mayor joined the original group.

After several hours of discussion, there was no budging on the part of the PCA regarding effluent standards. They did, however, agree to a one year extension which to us seemed only reasonable. The original time schedule proposed by the PCA was much too tight. Our main objection was the time they had designated for preparing specifications and taking bids. They suggested taking bids in the late summer or early fall of 1972 and beginning construction right before the winter season.

Our objection to this was based on two factors. Because of the adverse weather conditions in the area such a production schedule would raise the cost. During the winter months the temperature has been known to drop to 30 degrees below zero quite frequently.

The second factor was the timing of the bids. Generally, the best time to take bids is in the first several months of the year. This is when the contractors are lining up their work for the following year, and the prices are usually right. At this time of the year the contractor is usually interested in getting enough work to keep his crews together. After he does this at a lower price in his first bids of the year, he can then pick up his profit making jobs later on in the year as they become available.

The PCA accepted our reasoning on both of these items and agreed to an extension until September of 1974. On the matter of effluent standards, however, they refused to budge; and we decided to go back and take another look at it.

I discussed the matter with the Council again and

it seemed that as far as the 5 ppm standard was concerned, we would not be able to change the mind of the PCA. The alternative was to return the stipulation unsigned or agree to the stipulation with that standard and try to find some way around the 5 ppm standard after the stipulation was signed.

The first alternative of sending the stipulation back unsigned had the beneficial effect of striking back at the PCA and venting some of our anger and frustration. However, such a move had limited value. The PCA could enforce their stipulation by issuing an order and going through the Administrative Procedures Act.⁸ They could impose a fine against the City for each day the violation of the standards occurred. The battle would probably eventually get down to a court hearing and a determination of the validity of the PCA's standards.

Little hope was held out for us in such a course of action. Even though we disagreed with the PCA's standards, they had theoretical validity behind them, and more

⁸Minnesota Statutes, Chap. 15.0411 to 15.0422.

than likely, the court would uphold their standards. At the same time, in order to get approval for State and Federal funds for building the sewer treatment plant, we had to have the approval of the State. Since the combination of the State and Federal funding of such a program is about 75 per cent of the cost, discretion was the better part of valor in this case. The thought of giving up \$600,000 to \$800,000 worth of State and Federal money for the principle of the thing did not seem to be the wisest course to take.

However, we felt that signing the stipulation to reach 5 ppm was still an impractical approach to the problem, mainly because the technology to reduce effluent to such a low level was in the experimental stage and very costly. Our argument was that we would build a plant to reach 10 ppm, and in five years, add an additional treatment to the end of the facility to bring it down to 5 ppm.

This reasoning was based mainly on the fact that the technology was not developed. It was our feeling that within the next five years, the ways of treating the effluent

would be increased tremendously and the cost would probably decrease. It was our contention that to build something to reach 5 ppm at this time would cost an additional \$220,000 and probably be obsolete by the time the plant was built.

We sent a letter to the PCA to this effect and met with them again. After another lengthy discussion, they told us that they could not agree to such a two phase building program and that we would have to go ahead as the stipulation called for. We discussed the item again with the City Council. It was decided that since we had to build the treatment plant, we might as well sign the stipulation, be eligible for the Federal and State funding, and hope that within the next two years, as the technology develops in the area of sewer treatment plant facilities, we might come up with an additional treatment which would not be as costly, and not be obsolete by the time we build it.

Consequently, the stipulation was signed by the Mayor and myself. Though it galled me to do it, I sent it to the PCA. We buckled under to the power of the

much more restrictive than the Federal standards. One of the grants that the City had been going after for several years prior to my arrival is a good example of the City, State and Federal governments in their relationship regarding funding of a project.

About two years prior to my arrival, the City Council decided to develop a municipal airport. At that time they applied to the State for a graded, grass runway as the initial development. The land was purchased by the City for about \$180,000 from surplus funds in the Water and Light account. Aid from the State was obtained in the amount of about \$15,000.

It became obvious, however, that a grass runway at the airport would be inadequate because of heavier planes and also because of the weather conditions which prevail in this area. Also, because the runway is not lighted, the airport would be limited to daytime use only. This, again, during the winter months, severely limited the use of the airport.

Consequently, prior to my arrival, the City made an application to the State and Federal government for

State and the practical necessities of money.

City--State--Federal: Municipal Airport

The City's relationship with the Federal government is generally a financial one, through various grant programs. One of the reasons the City hired a manager was to have someone who could put in more time applying for Federal funds and following the applications along the road.

Some grants are direct Federal participation with the State not involved. One such program, a housing project for the elderly, was started before the first City Manager was hired. It was carried through while he was the Manager, but was never funded during his tenure. This was still pending when I arrived. Through the work of a number of people, it has finally been funded.

I have already described one of the Federal grants which we are in the process of making application for through a State agency regarding the waste water treatment plant. In that grant program the State is the determining factor when making an application for funds. Their criteria has to be met because their criteria is

funds to lengthen the runway to 3400 feet from the present 2650 feet. The project also called for paving the runway with blacktop and lighting it. There was also the possibility of getting reimbursement for some of the land purchased, and this was included in the project. The total cost was about \$360,000. The Federal government would pay fifty per cent of it and the State twenty-five per cent.

The original application was sent in to the State and there was a meeting between the City, State and Federal officials. Some inadequacies of the application were pointed out by the State and Federal officials and some additional work had to be done by the City. At this point the previous City Manager left and I arrived.

At the first opportunity, the City Engineer, City Clerk and myself met with the State and Federal officials. At that time we were told our application was inadequate, and it was returned to us. We were told we would have to make a new application and meet some of the criteria which both the State and Federal government had set up in the

interim.

We took the application back. After several months of drawing plans and filling out the application, we made another appointment and had another meeting. Our application was complete. However, again during the interim, the State made more changes in their requirements which the Federal government did not agree to. The State requirements which were more demanding took precedence.

The main area of concern was that of clear zones at the end of the runways. Besides having land purchased for a runway, one of the requirements for an airport is sufficient open space at each end of the runway to be kept clear of any buildings, trees or high farm crops such as corn. The old requirements called for a twenty to one slope for the first 1000 feet at the end of the runway. The new requirements were forty to one. For all practical purposes, it doubled the amount of open space for a clear zone which would be needed if the project was to be approved.

This caused some problems for the City because we had purchased a substantial amount of land several years

ago, thinking it would be adequate for any type of airport development. Now, if we wanted to proceed in the project, we would have to obtain additional land. When we came back to the City, we discussed the problem and decided that the additional land we would have to purchase would not be too costly in view of the large amount of money that had already been sunk into the project. It would be better to show in our plan that we would acquire this additional land so we would be eligible for the Federal and State funding. Consequently, we redrew the plans with this additional space included and again went up and met with the State and Federal officials.

Prior to this, however, we tried getting around the new clear zone requirements since we started our project under other requirements. One of the Airport Commissioners was a good friend of one of the Aides of the Governor. He suggested we write to him asking his assistance in getting a variance granted from the State Department of Aeronautics for our project. I sent a several page letter to the Governor's Aide asking him to check into the possibilities for us. After several

weeks we received an answer saying they had discussed our problem with the Department of Aeronautics but that it would not be possible to change the requirements. However, there was money available from some new legislation passed by the State that would pick up an additional portion of the cost of land for clear zone areas. We should include the reimbursement for lands under this legislation in our application.

When we met with the Federal and State officials again, we had all the requirements in our application. When we sat down to discuss it, we found there was another requirement which had been changed by the State. Under the old requirements, no buildings were allowed within 300 feet of the runway. This included hangers of which the City had two at the time. Under the new State rules, no buildings could be closer than 425 feet. Since we already had some buildings erected under the old rules, they did give us a waiver as long as we stipulated that all new buildings would be built beyond the new requirement of 425 feet.

At that point the State accepted our application and, after review, sent it on to the Federal government. They required some additional minor information which we submitted, and an environmental impact statement which is now a requirement on almost all Federal funding for any type of physical facility which has the remotest chance of affecting the environment.

There was considerable correspondence on the environmental impact statement. The questions raised by the Federal government were really not applicable to our situation. A good number of the questions asked and pieces of information required are applicable to a large metropolitan area where space is limited and the environmental impact can be much greater.

This type of problem I have found to be interwoven through all our experiences with the State and Federal government. The guidelines and requirements are written by urban people living in an urban environment. The information required from our City is not applicable. Standards which may serve the metropolitan area very well are much too restrictive for a rural area.

At this point our application is complete, and we are awaiting funding of our project. We have kept in contact with the State officials, who have assured us that we will receive funding within the next several months.

Community Relations

A municipality, besides dealing with other units of government which act on it from outside and affect the kinds of decisions that are made, is also very much affected by its constituency and the other decision makers within the community.

Solidifying the Position of Manager

Since the Manager form had only been in effect for two years, and the previous Manager left under pressure, I felt one of the main jobs to be accomplished early was to solidify the position of the City Manager in the community. This I tried to do in several ways.

One, of course, was to run an efficient organization that was as responsive as possible to the needs of the people. Second was to create an atmosphere of openness to the public and a concern for their problems.

I have already discussed some of the steps I took to reorganize the administration of the City. I also

took several steps to change the image of the City to one open to the concerns and responsive to the needs of the people.

The first thing I did was to try and set aside some time each day for visiting with the people in the community, particularly in the business area of town. Many afternoons in the first several months on the job, I simply went down the street, business by business, introduced myself and spent time talking to each of the individuals.

The previous City Manager had a number of problems with the business community which were by no means all of his own making. The question of the City providing parking in the downtown area, rather than the merchants doing so, was a hotly debated issue. The previous City Manager took the position that the businesses themselves should provide the parking. The Council overruled him in several instances and provided some off-street parking in the downtown area. He created some enemies in the process.

In the opinion of the Mayor, one of the problems that the previous City Manager had was the formality with

which he ran his office. People needed appointments to see him. They were always addressed by their surnames and he in turned expected to be called by his. This did not sit well with a number of the people in town. In a small community relationships are more informal and everyone is called on a first name basis.

When I visited the businessmen up and down the street, I invited them to stop into the office whenever they had anything on their mind. I also made it a point to get out of the City Hall into some of the restaurants around town so that people could get to know me. I spent considerable time simply listening to people. At times I felt I was spending too much time doing this; however, in the long run I think it has paid off.

People felt they had a voice in what was going on even though what they were asking about or complaining about was not always approved of or corrected to their satisfaction. At the same time I learned a wealth of information about the problems that a number of them felt were important. After several months of this I

developed cauliflower ears and an ongoing relationship with several of the people up and down main street.

If a problem was developing or an issue arising, I would walk down to their place of business and talk to them about it. Some I used as a sounding board. In cases where I knew people were opposed to what the City intended to do, a fifteen minute discussion of the matter in the back of the store at least gave them the City's reasons for doing something. Even though they might not agree, they felt we were taking an action based on good reasons.

There was another effect in these exchanges with various people in town. I began to build up some credits⁹ with each of them. If they had something they wanted done, and it was within my power and reasonable, I saw that it was done. If they had a viewpoint that was justifiable and could be taken into account in arriving at a decision, I did so. I let them know I appreciated

⁹Edward C. Banfield discusses power and influence as a capital item "invested" but never "consumed" with "credits" and "debits" earned and lost in Political Influence (New York: Free Press, 1961) pp 312--323.

their participation.

As indicated in one of the episodes in the diary, the AA group in town included in its membership some of the most powerful and influential people in the City. I have assisted the group in their attempts to set up a half-way house. I have cooperated with them in the use of the Hospital as a detoxification center; and I have talked to some individuals who have a drinking problem but do not recognize it.

In one instance I was called by one of the AA members suggesting that I phone an individual, tell him that some complaints have been received regarding his drinking, and since he was licensed by the City to perform his work within the City, that it would be most unfortunate if the City had to revoke his license if people came to the Council and made these complaints public.

I talked to the individual. He denied that he was drinking but was glad I had talked with him ahead of time. He told me that drinking while performing his work would never be a problem. I do not know what effect the conver-

sation has had upon the individual; but it was something that I did that did not have to be done. It built up a credit with this group that I may have to call on some-time for assistance.

There are numerous examples of such activities that could be stated. The point is, they were activities that I did not have to perform. I could have easily stayed out of the situation and not be considered as not performing my job.

I also tried some publicity to the newspaper. An annual report was put out in January indicating what each of the departments had accomplished and planned to accomplish in the coming year as well as what the budget was being allocated for in the coming year. I have also tried to send out news releases of various activities of the City trying to indicate to the public at large that the City is doing something. That it is making an attempt to solve some of the problems that exist. And that their tax money is not going down some huge whole with no results ever seen.

I think all of these steps have been successful in

changing the image of the City government and to solidify the position of the City Manager. As I found out some time after taking the job, one of the reasons the Council hired me over some of the other applicants was that they felt I would make a good politician. They were aware of this lack in the City government, and they felt that I could have some effect in changing the image. They are well aware that it would have to be done on an individual basis because that is the way the town operates.

A person has to meet the people, talk to the people, give them a sense of participation and a voice in what effects them. Other towns may be different and require different approaches to the problem. But in this town the personal approach is one that is successful. After a year and a half I think the situation has improved tremendously. At least they have not warmed up the tar and taken out the feathers--yet!

Defining the Powers

A person does not have to be in the town long to find out who some of the powers in the community are. The first one they probably run into is the County Attorney,

a fifty year old lawyer who has practiced in town for over twenty years. He was City Attorney for a number of years. He has a successful practice. He is a hard working Republican, is an officer in the local Rotary club, and active in other organizations.

The next individual is the owner of the local nursing home. He is about forty. He has some money, having inherited the nursing home from his father. He attended Ivy League schools and traveled around for several years before he returned to town to take up his responsibilities. He is Chairman of the Republican Party and an officer in the Rotary club. Like the County Attorney, he is a Catholic.

The next individual is the County Sheriff who has already been described at length. He is around fifty years old. He has a large family. He is publicly non-political but is affiliated with the Republican party. He is an officer and past president of the Rotary club. He is also a Catholic.

A fourth individual is the newspaper publisher, a man in his mid-seventies. Despite a heart attack and

minor stroke, he is still a very active man in the community. He is a staunch Republican and extremely conservative. He is not a member of any club, mainly because of his age. He belongs to a Protestant Church. He and his family have been in town for a number of years. His son has developed one of the largest industries in town.

A newcomer to town also associated with the newspaper is the managing editor, a man in his late thirties. He is also very active in the Republican Party and the Rotary club. He is a Protestant and is very conservative in his political leanings. Since the publisher of the paper is getting a little older, for all practical purposes this man is the editor. He has a strong voice on what position the paper takes, and how it will be used within the community.

Suprisingly, none of the large industries in town have any strong influence on the municipal decision making process. Each of the home grown industries which employ between 400 and 700 people had developed their manufacturing and warehouse facilities outside the City limits. They

operated and grew outside the control of the City and for years never had any direct affiliation with the City government. They have all been recently annexed to the City, but none of them have shown any great interest in municipal affairs. Also, the large canning factory which employs over 500 people and has been in the community for about twenty years does not take an active part in the City government.

Also, somewhat suprisingly, the largest real estate man and land developer in town is not actively involved in any municipal affairs except those items concerning his own subdivisions. The town reportedly has seven or eight millionaires and none of them are active in municipal decision making, except in an occasional role as an advisor in some particular matter where their prestige or expertise is of benefit.

Excluded from this list are any Councilmen or the Mayor. The Council is generally a housekeeping group. They make small decisions on various matters but they initiate nothing and bow to almost any strong showing of community pressure. Except for one individual,

the Council is Republican through and through. The one man who would be considered a Democrat is retired and probably more conservative than most of the Republicans.

The elections, however, are non-partisan.

Having been through two of the elections, politics as far as party labels go has had no place in the campaign or in the election results. The community is a conservative one, and the Council reflects this conservatism.

The Mayor has been in office for ten years. Prior to that he was a Councilman for several terms. He has many good qualities, but he has not been a strong leader in my tenure. None of the Council, in fact, has taken a leadership role in any question of major importance.

The Council is tough and demanding when dealing with outside companies, for instance, someone seeking a franchise within the City or requesting a raise of utility rates. They have also been hard nosed and taken strong positions in dealing with the large electric utility from which the City buys its power wholesale.

Another example is the cable TV franchise which was applied for by several companies outside of town two

years ago. After some discussion with the Council, the City proposed tough ordinances and eventually the franchise seekers were rejected. Now, just recently, the newspaper publisher and the managing editor formed a company with one of the other large companies in town which produces radio equipment. They have come to the Council requesting a franchise and though the Council has studied the ordinance, they have raised no serious questions about granting the franchise.

I have had to raise all the questions in a memo which I sent to the Council when it was considered at one of the Council meetings. I am sure that if I did not raise a number of questions regarding the franchise fee, or the term of the franchise, and a number of other technicalities, which in my opinion protect the City over a long period of time, none of the Council would have raised a question. The franchise has not been granted, but public hearings are being scheduled. I am quite sure that unless there is a strong turnout of anti cable TV people in town, the Council will approve and award the franchise to this group.

Summing up this section, the one dominant factor in each of the individuals, who usually act as individuals but combine with others of this group on various issues, is that they are, almost to a man, active members of the Republican Party. To my knowledge, the Republican Party has never entered specifically into municipal government except in the sense that the people of any importance are all members of it.

But where the Republican Party influence really comes into effect is that each of the Councilmen and the Mayor are Republicans, though somewhat lower on the totem pole of the organization. The ones who really run the County organization are the owner of the nursing home, the County Attorney and the newspaper. They simply have to make phone calls to the Council suggesting that a course of action be taken, not because they are Republicans but because it is a reasonable position to take.

The Republican Party within the County is well organized and meets frequently. It is a social as well as a political organization. Therefore, the influence on

the Council is not really political, but social. If an individual has any type of position in management or the professions in town, it is almost taken for granted that he will join the Republican Party, just as he will join the country club.

It is for this reason that I think the Republican Party is such a dominant force within the community. It has political overtones, but its basic strength is the strength of social acceptance as well as a relatively high degree of affluence which is an additional binding force among the people.

I will give two examples to illustrate the two aspects of the power structure operating within the community. The first will illustrate how individuals listed in the previous section act as individuals but will unite with one or two others in that group to accomplish a particular end. The example is not, strictly speaking, related to municipal government, but it had an effect on the City as a whole.

This small town is fortunate in the amount of industry that it has within its boundaries. It is also for-

tunate that a good deal of its industry is homegrown. There is not the fear that there is in many small towns that IBM or some other conglomerate will some day pack up and move, leaving 400 or 500 of its work force unemployed. Such a blow to a small community is sometimes fatal and always extremely painful.

A number of small towns, and ours in particular, are always searching for new industry, as well as actively supporting its own industry. To this end a number of people within town bought a forty acre tract of land as Industrial Development Park.

After several years, the Industrial Park was not being developed as it should be. One of the reasons given was inadequate sewer facilities as well as roads into the area. In addition, some of the people felt that if the Industrial Development Corporation could erect some type of a building and have it available to any company which would like to locate within the City, this would be a great asset in development of the park.

Consequently, the newspaper decided to make an all out effort to raise money to pay off the debt on the

land and have money available for a building. They enlisted the help of the County Attorney, the Mayor, and a number of the large businesses in town. Within two months, they raised \$30,000 from the citizens of the town who, in most cases, bought \$100 shares in the Development Corporation on a time payment plan.

The newspaper was used to its fullest extent to publicize the raising of the funds. Once the campaign got under way almost \$1,000 per day was added to the kitty. All of this was detailed on the front page. People who purchased shares were listed. Each day the thermometer indicating the amount of money collected continued to creep up on the front page.

It was an unbelievable fund raising campaign which illustrated the power of several individuals within the community using their tools extremely effectively to persuade the community to follow their lead. Even though the citizens bought \$100 shares in the Development Corporation, for all practical purposes, the \$100 shares were donations to the future growth of the community. The return on their investment in monetary form will be nill,

but they convinced the people that this was good for the community.

This fund raising activity had important consequences for the City because, with all the money collected for paying off the debt and to build the building, the only thing holding up progress was running a sewer line to the Industrial Park. This would involve a \$50,000 expenditure with about half of the cost being picked up on special assessments to the Development Corporation and other industries in the area. When budget approached shortly after the campaign drive, this expenditure was requested and was included in the budget without much debate.

An example of the social and political effect of the Republican Party is evidenced in the following illustration. The City has two lakes within its boundaries. On one of the lakes is a hill rising from the shore. The hill is covered with trees and is undeveloped except for a pavilion at the top of the hill and several small cabins.

In the nineteenth century, the area was the site

of a large resort hotel and the meeting place for the Chataqua. The hotel burned down before the turn of the century and since then had been owned by the Boy Scouts and the State as a camping area. Several years ago, the City purchased the land and, with a grant from HUD, ran a sewer up the hill to connect with the City lines.

At the time of submitting the plan to HUD the proposed site was to be used as a camping ground for both vehicles and tent campers. The area at the bottom of the hill was to be cleaned out and made into a picnic area and swimming beach with a boat landing on one side. There was not much opposition to this use of the land. It was approved by the City and County Park Boards as well as the Plan Commission and the City Council.

When it came time to implement the plan, a hue and cry was raised. The main argument was that the City, in this age of environmental awareness, was going to turn this beautiful site into an overly used recreation spot. The owner of the nursing home, the County

Attorney, the School Superintendent and one or two others called me and asked what the City had planned to do during this coming year regarding the development of Maplewood Park. I told them what the plan called for. They said they would like to discuss it with the Council, and see if some other type of development which would not have such a great effect on the environment might be implemented.

I brought the matter to the attention of the Council, and they felt we should go ahead with what we had planned. This group then appeared before the Council and said they would like to submit a plan. They asked that any development be held off until their plan could be considered. They then formed the Maplewood Park Committee which included the people already mentioned as well as some women in town such as the County Chairwoman of the Republican Party, the wife of the County Attorney, and several other prominent social figures in the Republican Party.

They developed a plan which called for the major portion of the top of the hill being set aside as a nature

park to be developed under the direction of the people from their committee. It would include nature trails, small museums of displays, etc. They agreed to use the bottom of the hill as a picnic area but they asked that no cars be allowed to the top of the hill. There is a road running to the top of the hill that had just been paved by the City in conjunction with the County. Their idea was to prevent any type of motorized vehicle on the top part of the hill and to instead erect some type of turnstyle so only people walking up the hill could go through the nature area.

They took their plan before the City and County Park Boards. They received the approval of both and brought it to the Council for their consideration. Before bringing it to the Council, however, members of the committee called individually on each of the Councilmen, explained their proposal, and asked for their support.

When the Council met to consider the change in plan, there was no opposition except from the retired ex-telephone lineman who sits on the Council.

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