

APPENDIX to Dale Ross' study "The Vietnamese Civil Service System"  
MICHIGAN STATE UNIVERSITY

VIETNAM ADVISORY GROUP

December 19, 1958

Mr. Ton That Trach  
General Director of Civil Service  
233 Tu Do  
Saigon

Dear Mr. Trach:

In order to provide a basis for obtaining a consensus on ultimate objectives by the Committee for Studying the Civil Service System, we have developed an outline of a proposed civil service system for Vietnam. The premises on which this outline is based are that:

There will be a considerable expansion of government activity over the next several years due to the number of additional responsibilities which are being taken on by the government of newly independent Vietnam.

The activities of the government will become increasingly technical, specialized and complex as a result of further development in the fields of industry, agriculture and commerce.

There will be a larger number of persons qualified for public service employment as a result of greater and more diversified educational opportunities and broader work experience in other enterprises.

This outline was not developed as a proposal for a new system to be substituted for the present one, nor as a program for the reform of the present system. It was developed by the American members of the Committee in order to pool their knowledge and experience and to set forth the elements of other civil service systems which they believe should be considered in determining the ultimate objectives for a modern civil service system in Vietnam.

As such, this outline includes most of the present functions of the existing civil service system, many of which may need only minor changes, if any. It also includes a number of objectives to be considered for development only on a very long range basis. In fact, the most effective means of accomplishing some of the long range objectives will be through the implementation of short range measures quite the contrary of the ultimate objectives.

As an illustration, one of the ultimate objectives is the delegation of authority and responsibility for many personnel functions to operating agencies of the government. However, it will probably be necessary to centralize many activities in the General Directorate of Civil Service which are now decentralized until suitable standards have been developed and the personnel in the various agencies have been sufficiently trained to handle them effectively.

The outline is, therefore, not a program for implementation. It includes no details as to how the objectives are to be accomplished. Rather it is a frame of reference providing a basis for discussion and arriving at an understanding as to the ultimate objectives. We wish to emphasize that it is tentative and subject to revision as a result of further discussions. Once an agreement has been reached on the ultimate objectives, the outline will serve as a basis for achieving coherence on a long range basis in the development of new procedures and methods in the various phases of the Committee's study.

For the first two phases of the study, we propose:

Personnel Actions and Reporting. This phase would involve a study of the present procedures, methods and forms used in handling the various types of personnel actions and in the reporting of actions taken. Its objective would be to improve operations and provide the data necessary for planning further development of the civil service system.

Compensation and Standards. This phase would consider the present pay schedules and classifications with a view to standardizing work and qualification requirements. Its objective would be (1) to improve the system of work assignments and pay administration, (2) to provide greater incentives for employees, and (3) to provide the data necessary for planning placement and training activities.

For method of conducting the study, we propose:

Study of basic documents;

Research and analysis of organization and methods through interviews with operating personnel to review existing methods and procedures and to prepare flow charts of operations; and

Consultation to arrive at a consensus on desirable revisions.

We shall be pleased to meet with you to discuss these proposals at your convenience, if you so desire.

Mr. Ton That Trach

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Please accept, Mr. Trach, the expression of our highest consideration and most cordial sentiments.

Sincerely yours,

Dale L. Rose  
For the MSUG  
Members of the Committee  
for Studying the Civil  
Service System

DLR/ep  
Attachment  
Copies to:  
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Members of the Committee

JAN 7 1969

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GLOSSARY

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OUTLINE OF A PROPOSED CIVIL SERVICE SYSTEM FOR THE  
GENERAL DIRECTORATE OF CIVIL SERVICE

"There is no single movement which will net such economy or promote such performance as may be realized through the continued improvement in the quality and the motivation of public personnel."

I. Objectives

The objectives of the civil service system should be to contribute to the development of an effective, efficient, and democratically responsible system of public administration dedicated to public service, by

A. Providing a personnel system in which

1. government employees will be recruited and advanced on the basis of demonstrated merit;
2. incentives and opportunities will be provided for every government employee to develop his abilities and capacity to the fullest;
3. the only limits to the levels to which government employees can rise within the civil service will be their own abilities and capacities;
4. fair and equitable treatment for all government employees will be assured; and
5. loyal and competent service will be rewarded by security of tenure and compensation commensurate with the level of duties and responsibilities of the work performed.

B. Providing a system and philosophy of personnel management in which

1. the principal objective of personnel management will be

increasing the effectiveness of program implementation through constant development of the skills and capacities of government employees, assuring that personnel are placed in positions best suited to their current skills and capacities, and assuring that incentives and working conditions are favorable to their effective performance;

2. the General Directorate of Civil Service will serve as the principal staff arm of the executive in planning, coordinating and directing the government's personnel system, as well as developing and enforcing standards which will assure parity of treatment for employees in all government agencies.
3. the General Directorate of Civil Service will take the leadership in developing a positive and modern approach to personnel management throughout the government by providing stimulation, guidance, assistance and staff services to other agencies in their personnel management functions; 1/
4. the principal and initial responsibility for the personnel management functions in matters of supervision, training and performance rating will be devolved upon supervisors at all levels, with agency personnel offices in a supporting role, and
5. personnel management transactions will be effected rapidly, smoothly, and justly.

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1/ Initially, the General Directorate of Civil Service will have to retain authority for many of the operations which should later be delegated to other agencies.

## II. Basis

The civil service system should be founded on clear statutory authority based specifically on the needs of Vietnam. This statutory basis should provide for regulatory flexibility in the administration of the system by the General Directorate of Civil Service.

There should be an appropriate organizational structure for implementing the statutes and for developing and administering the civil service system.

## III. Scope

### A. Government Employees

The scope of the system should embrace all government positions except those of elected officials, policy determining executives and their personal staffs, and part time and temporary positions.

Government employees work in many diverse departments and agencies. All of them work for the same employer, but under many different supervisors. One of the objectives of the system is to provide fair and equitable treatment for all of the employees regardless of the supervision under which they work. Therefore, the system should embrace practically all who are engaged in administrative activity.

Elected officials and appointed policy determining executives are directly responsible to the people. To them goes the credit or the blame for the policy and its execution. They should be free from any unnecessary restraints in performing their work. They must be free to select their personal staffs because of the confidential

and personal nature of the work.

Other exceptions might include members and employees of special boards and commissions, particularly when such agencies are of a temporary nature.

1. Status Categories

These categories should include all the employees assigned to positions on a merit basis whether as a result of examinations or specific qualification requirements or by promotion or reassignment. All positions for both career and non-career employees should be aligned in appropriate job categories according to the actual work performed.

a. Permanent Status Category (Career Employees)

In general, practically all employees working on positions of a continuing nature should be included in this category of employees.

Cadres should be organized on the basis of primary skills required. They should be nation-wide in all cases in which cadre members are expected to accept positions anywhere in Vietnam. They should be confined to a particular agency only when the skill involved is similarly confined. They should be organized on a geographic basis only for lower-paid cadres (such as plantons) in which the members are not expected to accept positions outside the area of their residence, or for skills which are needed only in particular localities.

Regulations should facilitate transfers and detached service and protect the promotion opportunities of employees who accept such assignments. The General Directorate of Civil Service should be authorized to direct transfers between agencies and to newly established positions, particularly in connection with the establishment of new organizations or the maximum utilization of scarce skills.

A specialist "cadre" should be established to include employees on such highly specialized jobs that there are insufficient positions to warrant the establishment of a separate cadre for each of the specialties (Example: Airport Engineer). There should be special provisions as to class levels, pay increases and promotions applicable to the "cadre" of specialists.

There should be a planned career development program for each cadre through which employees will be given job assignments on a planned basis to give them general experience and to prepare them for more responsible positions.

b. Limited Status Category (Non-Career Employees)

In this category should be only those employees filling positions of a temporary nature which are similar or comparable to permanent positions, and those employed under other than the usual conditions for permanent employees which do not warrant permanent status. Examples: Part-time employees, consultants, advisory staff, special board or commission personnel.

2. Non-Status Category (Non-Career Employees)

In this category should be all employees filling positions the nature of which makes it impracticable to place them in the above categories. This includes those for whom it is not practical or not necessary to require selection on the basis of competitive examinations or other rigid qualification requirements. Examples: Positions of a confidential nature, part-time or temporary positions, and casual or floating labor positions.

B. Autonomous Agencies

Employees of such agencies may or may not be directly employed by the government. Although the nature of their specific duties may vary considerably from regular government administration duties, their status vis-a-vis the government and the public is comparable to that of the regular government employees. They should be accorded comparable employment and working conditions.

The General Directorate of Civil Service should either

1. provide personnel administration services to such agencies on a reimburseable basis, or
2. provide policy guidance as a basis for such agencies to follow in developing their own personnel administration systems.

C. Range of Activities

The civil service system should embrace the entire range of personnel administration activities.

IV. Policy, Regulations and Procedures

A. Broad Policy

The statutory basis should provide the broad policy within the framework of which the General Directorate of Civil Service may select alternative courses of action in matters of specific policy and program objectives.

B. General Directorate of Civil Service Policy, Regulations and Procedures

The General Directorate of Civil Service should develop and interpret the broad policy. It should provide direction and guidance on all aspects of personnel management in all agencies of the government. It should promulgate the appropriate regulations and procedures for implementing established policy, including the delegation of authority and responsibility for personnel administration as desirable and feasible, retaining direction and control.

The General Directorate of Civil Service should codify all statutes, rules and regulations and develop and promulgate standard forms pertaining to civil service administration for use by all who are concerned with such administration. It should also prepare and keep current a manual of procedures for the guidance of all personnel offices, a supervisor's guidebook containing that information about civil service administration which will be helpful to a supervisor, and a similar guide for employees.

C. Agency Policy, Regulations and Procedures

Within the framework of the policies, regulations and procedures prescribed by the General Directorate of Civil Service, the various

agencies should develop specialized policies, regulations, procedures, manuals and handbooks, as appropriate. Such materials should be subject to approval of the General Directorate of Civil Service.

V. Job Categories

The cadre system should be maintained to provide tenure for career employees; but the job assignments of cadre employees should be made on the basis of classification of positions in a manner which will strengthen the incentives for employees to give their best efforts and advance to more responsible positions.

A. Job Descriptions, Analysis and Qualification Requirements

Job descriptions, setting forth the duties and responsibilities of and qualification requirements for positions based on job analysis and evaluation, should be utilized for improving the placement of employees and assuring to the government the maximum utilization of available skills. Such position classification should be introduced initially in connection with establishing new organizations and such personnel actions as recruitment of personnel, screening of applicants, determining training needs, performance evaluation and promotions.

There should be further development of qualification requirements and provisions for lateral entry at each of the class levels of the cadres based upon appropriate qualifications. Within a class level the qualification requirements should be based on those of positions to which career employees are customarily assigned.

They should include not only desirable academic education but pertinent experience and in-service training which may be substituted for portions thereof. There should be suitable protection for cadre members, such as requiring higher qualifications for lateral entry than for cadre members at the same level.

B. System of Categories

Positions established on the basis of job descriptions should have designated personal ranks, and position index numbers, qualification requirements (for new employees) and the cadre and class levels normally assigned to the position (for career employees).

The positions established should be arranged in occupational series. Within each series they should be arranged according to the level of difficulty and responsibility of each position. Generally, the occupational series should correspond to the various cadres, but they should not be restricted to the cadre structures.

VI. Pay Administration

A. Pay Policy

The pay policy should have both internal and external consistency; i.e., positions at the same level of responsibility within the government should be assigned comparable work-connected compensation, and that compensation should be comparable to the pay for similar work in private industry. This pay policy should be based on deliberately determined priorities from among the following factors:

1. Legal Considerations

- a. The constitutional provision that "Pay shall be equal for equal work." 2/
- b. Other statutory provisions currently in effect which pertain to wage administration.

2. Economic Considerations

- a. The available resources for government employees' salaries.
- b. The relationship of civil service pay rates to market rates (prevailing wages paid by other employers, once a significant and realistic pattern has been established in private employment).

3. Social and Ethical Considerations

- a. The level of living conditions and prestige which should be supported by government salaries, and the relative advantage or disadvantage to the government of providing non-monetary benefits, such as free housing, utilities and services.
- b. The range of differentiation which should exist between highest and lowest levels of positions.
- c. The benefits to be provided which are not based on work performance and the standard of living to be provided based on such work, such as family allowances.
- d. The extent to which the government should be a leader in pay policies to raise the standard of living of workers.

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2/ Article 14 of the Constitution of the Republic of Vietnam

- e. The extent to which salary should be used as an incentive for employees.
- f. The extent to which the government should compensate civil servants for any rights and privileges enjoyed by employees in private business which are denied to civil servants.
- g. The extent to which the government should expect civil servants to forego tangible compensation in view of their other advantages not enjoyed by private employees.
- h. The long established custom of determining pay on the basis of the educational level vis-a-vis the long period during which educational opportunities have been restricted.
- i. The extent to which previous experience should be accepted as partial substitution for educational requirements.
- j. The extent to which any changes in the present body of civil service statutes will affect the careers and rights of present civil servants.

B. Compensation Plan

The compensation plan should be as simple as possible. It should distinguish between work-connected and non-work-connected compensation (such as family allowances).

Personal rank compensation rates should be retained for cadre members. In addition, there should be position compensation rates for each position regardless of whether the position is filled by a career or non-career employee. The position compensation rate should be determined on the basis of an appropriate compensation

for the level of difficulty and responsibility of the position, and expressed as a position index number for the position. The position compensation rate should include all work-connected allowances but not non-work-connected allowances, such as family allowances.

A career employee should receive his personal rank compensation plus the difference between such compensation and the position compensation for the position. This difference should be designated as functional allowance. The same position compensation rate should be used for both career and non-career employees, except that the amount of pay for a non-career employee should be less the amount which is deducted from a career employee's pay for retirement purposes. The position compensation rate should be used as the basis for pension deductions for career employees in order to establish adequate benefits for retirement purposes.

The intervening position index numbers between position levels should be used for annual pay increases (as distinguished from promotions); and a non-career employee should be eligible for the same number of such annual pay increases as would a career employee normally assignable to the position. There should be special provisions for the lower general job levels where there are no or insufficient position index numbers between position levels.

Promotions from one cadre class level to the next higher one should be based on comparative ability to perform work normally assigned to the higher class level, according to the judgment of

the promotion panel. Non-career employees should be eligible for such promotion on the basis of transfer to an existing vacancy at a higher level, when no cadre member is available for assignment to the vacancy.

This plan will provide incentives for employees to improve themselves in order to obtain more responsible positions, and consequently higher pay, regardless of their personal rank status; it will materially facilitate planning and budgeting; and it will provide a basis for implementing the provisions of Article 14 of the Constitution prescribing that "Pay shall be equal for equal work."

VII. Determination of Jurisdiction

The General Directorate of Civil Service should recommend to the Superior Council of the Civil Service for approval those classes of positions which are to come under the civil service system (vis-a-vis excepted positions).

The General Directorate of Civil Service should determine the appropriate job categories for employees and which positions are to be filled on a merit basis. In principle, all positions for which it is practicable to do so should be filled on a merit basis.

VIII. Recruitment

This section refers to the recruitment of both career and non-career employees except as specifically stated otherwise.

The recruitment process should aim at securing the best qualified people to serve the government and in securing them with the least possible delay when they are needed.

A. Securing Applications

There should be a positive system for securing applications from the best qualified applicants.

Contacts should be maintained with:

1. Educational institutions - to interest the best students in government service.
2. Professional societies, employee organizations, and other interested groups - to interest qualified persons in government employment.
3. Communications media - to interest other qualified persons in government employment.

There should be provisions for maintaining contact with interested applicants until their application forms have been completed.

B. Processing Applications

An application form should be used to facilitate objective evaluation, reporting, and research (whether or not the government wishes to retain the requirement of a narrative section which will test the applicant's reasoning power and ability to write.) The application form should be standard throughout the government, and should be as simple, clear and concise as possible and still be adequate for its intended uses.

Applications should be screened to determine for which examinations applicants meet the qualification requirements. Applicants should be

considered for each examination for which they meet the requirements.

C. Examinations

Insofar as possible, examinations should be objective and should relate to the types of work to be performed. Both assembled and unassembled examinations should be used as appropriate.

The General Directorate of Civil Service should be responsible for the examination process. It does not necessarily need to prepare and conduct all examinations but it should be the supervising and coordinating agency for them. It should conduct all examinations for national cadres. Under appropriate supervision, agency personnel offices may handle specialized types of examinations; but "agency" cadres should be limited to those requiring skills not utilized in other agencies.

D. Registers

The General Directorate of Civil Service should be responsible for the establishment of registers and the certification of names from them. General registers and geographic registers for categories of employees not expected to move from their areas of residence should be prepared, as appropriate, by the personnel office conducting the examinations. Such registers should be published and the applicants notified of their standings.

E. Request for Personnel

When an agency wants to fill a position, a determination should first be made as to whether it can be filled with a career employee. Normally, permanent positions should be filled with career employees.

Ordinarily, the recruitment of a non-career employee should not be authorized if there is a suitably qualified career employee available.

Whichever type of employee is to be placed in the position, the supervisor should submit a request to the personnel office which includes the duties, responsibilities, qualification requirements and personal rank and position index numbers for the position. If the request is for the filling of a new position, the request should be submitted simultaneously to the General Directorate of Civil Service and to the General Directorate of Budget and Foreign Aid for approval. If the request is for filling a position which has already been approved by the General Directorate of the Budget and Foreign Aid, the assignment of an employee to the position should be reported to the above-named General Directorates. It should not be necessary to obtain prior approval from them for filling the position, provided the General Directorate of Civil Service has and exercises post-audit authority to assure that the person filling the position meets the qualification requirements for the position and provided there are suitable penalties for malfeasance.

If the position is to be filled with a career employee, the personnel action may be either a reassignment or a transfer.

#### F. Referrals

In the case of a request for career personnel, there need not be referrals for interviews and selection.

In the case of requests for non-career personnel, the personnel office will make referrals of applicants from its appropriate registers

or request referrals by the General Directorate of Civil Service (in those instances in which national registers are maintained by it). The responsible supervisor should make the selection with the advice of the personnel office.

G. Interviewing

This paragraph applies to non-career personnel only. The personnel office should conduct screening interviews and complete all personnel records prior to referring applicants for interviews in the selection process.

The supervisor and the selecting authority should interview the applicants referred to them by the personnel office to determine which one is to be selected.

H. Selection

This paragraph applies to non-career personnel only. The supervisor over the position to be filled, based on his evaluation of the applicants' qualifications and the interviews with them, should make his recommendations for selection to the selecting authority. The selecting authority should direct the personnel office to complete the appointment of the applicant selected.

IX. Appointment and Status

A. Appointment

The personnel office should make the official appointment of applicants to both career and non-career status, place them on the payroll, and assign them to the positions which they are to fill.

B. Orientation

The personnel office should give newly appointed employees an orientation on all pertinent personnel policies, procedures and regulations before they are assigned to operating units for work.

The personnel office should arrange for an orientation on the history of the agency to which an employee is being assigned, as well as on its organization and mission.

The supervisor of a newly assigned employee should give him a thorough orientation on office work policies, procedures and regulations as well as specific work duties.

Orientation should be an organized phase of the training program.

C. Assignment

Normal personal rank and position index numbers should be assigned to each type of position. For permanent positions a career employee, having a personal rank index number corresponding to that of the position, should be assigned to it, but one having a personal index number one level higher or lower may be assigned to it for a limited period.

For a position to be filled by a career employee, the personnel office should select the best qualified employee at the appropriate class level for the position, in accordance with the career development plan, and submit his dossier to the supervisor for his opinion. This selection should be based on the annual review of career employees' performances and potentialities, in conjunction with the performance appraisal program. The supervisor should be given an opportunity to advance any cogent objections to the assignment but he

should not have absolute veto power over it.

For a position to be filled by a non-career employee, the personnel office will assign the applicant specifically selected and appointed for the position as outlined above.

D. Probation

All new career employees should serve a probationary period as a performance test prior to being accorded permanent status. This does not apply to non-career employees.

E. Transfers and Reassignments

The General Directorate of Civil Service should have and exercise the authority to reassign career employees of national cadres from position to position between agencies, in accordance with a predetermined employee development plan. Each agency personnel office should have authority to recommend similar reassignments within the agency subject to the approval of the chief of the agency. This should be done in order to develop employees for more responsible jobs and to obtain the maximum effectiveness from their abilities. The General Directorate of Civil Service should also have the authority to transfer an employee from one cadre to another without loss of seniority when such transfer is in the interest of the employee and the government.

Career employees who receive unsatisfactory performance ratings from one supervisor should be reassigned to assure that personality conflicts alone are not the reason for the unsatisfactory work and performance rating.

On the other hand, any career employee desiring to be reassigned from one position to another should be allowed to make a request therefor to the personnel office through supervisory channels. The personnel office should investigate the reasons for the request, give its advice and arrange for an orderly reassignment or reject the request, as appropriate.

In the case of a non-career employee making a similar request, the personnel office should give its advice and arrange for an orderly transfer or reject the request based on the decisions of the operating officials, as in the case of new hires.

F. Pay Increases

Periodic pay increases (as distinguished from promotions) should be given to career employees annually for continuing satisfactory performance on the same level of position. Such pay increases should be from one index number to the next higher index number within the compensation bracket for a position index number, except for outstanding or unusual performance. These pay increases should be started upon the completion of the probationary period.

Periodic pay increases should be given annually to non-career, monthly paid employees for continuing satisfactory performance on the same level of position. Such pay increases should be from one index number to the next higher index number within the compensation bracket for a position index number. Outstanding or unusual performance should be considered as a basis for granting lateral entry into a cadre.

(Further consideration should be given to the length of the period prior to the initial pay increase for each of the categories-- career and non-career employees.)

G. Promotions

Promotions (as distinguished from pay increases) for career status employees should be made from one cadre class level to the next, and for non-career status employees from one position level (within an occupational series) to the next, except in cases of outstanding ability or performance.

Separate promotion rosters for career and non-career employees should be prepared each year on the basis of each employee's performance and ability.

For career employees the rosters should be based on the individual employee's performance and ability as compared with those of other cadre members at his class level. The number of career employee promotions to be made should be determined on the basis of existing and anticipated vacant positions normally assignable to the next higher class, rather than on the basis of a flat percentage or an arbitrarily chosen number. The General Directorate of Civil Service should maintain promotion rosters for members of national cadres and for members of agency or geographic cadres who are on detached service.

For non-career employees the rosters should be based on the individual employee's performance and ability as compared with those of other employees at the same position level in the same occupational series. A non-career employee should be promoted only to fill a vacancy

at a higher position level. If the vacancy is in a permanent position, a non-career employee should be promoted only if there is no career employee available to fill it.

The effective dates of promotions should be set so as to coincide with the availability of funds budgeted for them.

#### H. Disciplinary Action

Disciplinary action should be primarily the responsibility of management. It should be invoked promptly, effectively, and in such a manner as to provide like punishment for like offenses. Disciplinary action should include oral and written reprimand, reassignment or transfer, delay of promotion, demotion, suspension and dismissal. For all but oral and written reprimand, the personnel office should execute the formal personnel action on the advice of the disciplinary council.

#### I. Separations

The personnel office should execute all separations, including the disciplinary separations mentioned above.

##### 1. Resignations

An employee desiring to resign should submit his resignation through supervisory channels to the personnel office for approval.

##### 2. Reduction in force

When a reduction in force is necessary within any job category, non-career employees should be separated before career employees are separated.

For career personnel, should a reduction in force be necessary, there should be special provisions for fair and equitable treatment of the

cadre members affected.

For non-career personnel a reduction in force should be made on the basis of retention of the best qualified employees, taking length of seniority into consideration. Non-career employees should receive the normal separation allowances when their services are terminated.

### 3. Retirement

When a career employee reaches retirement age, the personnel office should automatically execute his separation from government service. Any extension of service should require positive justification by the supervisor and approval by the appointing authority, and should be limited to a one year renewal. When the retirement is executed, the personnel office should assist the employee in filing an application for retirement benefits with the Civil Pension Fund Office attached to the Ministry of Finance. For retirement other than because of longevity (disability, ill health, etc.), either the personnel office or the employee may initiate the request for separation and for retirement benefits.

Non-career employees who retire should be given an ordinary separation with the customary advance notice, and should be paid the customary separation allowances from the agency budget.

### 4. Selection Out

If a career employee is not recommended for promotion for four successive years, the administrative council should be required, in the fifth year, to review his dossier and make a positive recommendation for one of the following:

- a. promotion;
- b. reassignment or transfer, if it is believed that this might result in making him a more satisfactory employee; or
- c. selection out of the service, if such action is believed to be in the best interests of the service. It should be mandatory for career employees recommended for selection out to be reassigned or transferred immediately; and two (or three) successive recommendations for selection out should result in actual separation from the service.

If a non-career employee's performance is satisfactory, he should be considered for lateral entry to a cadre. If it is unsatisfactory he should be recommended for separation.

The personnel office will execute the appropriate personnel action.

#### J. Reinstatement

A former career employee who has not been selected out or removed for disciplinary reasons should have reinstatement rights with career status in his former cadre, or in another cadre for which he meets the qualification requirements, at the level for which he qualifies for lateral entry.

A former non-career employee should not have reinstatement rights, but consideration should be given to his former service in evaluating his qualifications for another position with the government.

#### X. Suggestion Program

The General Directorate of Civil Service should develop and administer the framework for a suggestion program in which employees

are rewarded for having made noteworthy, useable suggestions for work improvement or improvement of working conditions.

XI. Performance Appraisal and Employee Development

A. Performance Appraisal

The General Directorate of Civil Service should develop a performance appraisal and employee development program for all employees. The performance appraisal should be based on as objective an appraisal as possible of the performance of the employee on the job. It should be made in terms of what is expected of the employee on the basis of the job description and his potentialities for the future. For career employees, this should include an evaluation of the employee's value to the cadre. The evaluation of an employee, based largely on the appraisal of his performance, should be the basis for pay increases and promotions.

B. Training

There should be statutory provisions for a government-wide training program with authorities and responsibilities for staff assistance and implementation clearly and definitely assigned. The General Directorate of Civil Service should promote, coordinate and develop the training program in coordination with other agencies responsible for training techniques and course content. It should also have full technical responsibility for providing continuing training to personnel office employees throughout the government.

The government's overall training program should include orientation training, induction training, skills training and such other training as may be required to meet the needs of the various agencies of the government. The performance appraisal and employee development program should be used as one of the means of determining the training needs, in addition to a government-wide system of reporting vacancies to the General Directorate of Civil Service.

Due to the importance of in-service training, it is being made the subject of a separate coordinate study and is covered by a separate paper.

## XII. Working Conditions and Welfare

### A. Hours of Work

The General Directorate of Civil Service should recommend normal hours of work and prescribe rules regarding overtime and unusual working hours in such a manner as to provide equitable treatment for all employees and at the same time accommodate the needs of the operating agencies.

### B. Annual and Sick Leaves

The General Directorate of Civil Service should prescribe regular annual and sick leave regulations applicable under ordinary circumstances and approve agency requests for unusual and exceptional provisions.

### C. Health, Work Environment, Safety and Sanitation

The General Directorate of Civil Service should assure that an adequate health program is provided for the employees. This program

should include pre-entry physical examinations, preventive measures and medical care designed to encourage and assist employees in maintaining good health. The General Directorate of Civil Service should also assure adequate work environment, safety and sanitation conditions.

These programs need not necessarily be carried out by the General Directorate of Civil Service. They might be arranged in conjunction with such other agencies as the Departments of Public Health and Public Works with the General Directorate of Civil Service acting as the coordinating agency.

D. Disability Compensation

There should be a program providing disability compensation for employees disabled as a result of duty-connected accidents and illnesses.

E. Credit Union

There should be credit union organizations for government employees which will encourage them to save money on a profitable basis, and which, at the same time, provide sources from which to obtain loans at reasonable rates when necessary. These may be organized on an agency basis but the General Directorate of Civil Service should coordinate and encourage this type of organization.

F. Pension System

All permanent status employees should be included in the pension system and pension deductions should be based on position compensation in order to assure adequate pension benefits upon retirement.

G. Employee and Public Relations Activities

The General Directorate of Civil Service should

1. engage in a public relations program which will provide an understanding on the part of the public of the role of the civil service system and the civil servants who comprise the system;
2. encourage the organization of personnel officers' associations for promoting personnel professionalism; and
3. cooperate with bona fide welfare and other employee organizations and representation groups.

H. Grievances and Appeals

This civil service system should be administered in such a manner as to prevent grievances from arising insofar as it is possible to do so. For those grievances which do arise, there should be procedures for their orderly presentation and prompt resolution through administrative channels.

There should also be procedures for appeals from administrative decisions to the Administrative Court and the State Council.

XIII. Research, Statistics and Reports

The personnel offices should submit periodic reports on personnel management in the agencies to the General Directorate of Civil Service and that agency should publish periodic overall reports.

The General Directorate of Civil Service should conduct research on personnel administration in the government and elsewhere, and prepare statistics and reports based on research and the reports from the personnel offices for use in planning and making policy decisions.

XIV. Organization and Methods

The General Directorate of Civil Service should coordinate and cooperate with the General Directorate of Budget and Foreign Aid on organization and methods activities, particularly with regard to the establishment of new agencies or units. Both agencies need to be involved, the former to determine the most effective utilization of employees; the latter the most effective distribution of funds between "wages and salaries" and other budget categories.

XV. Surveillance

The General Directorate of Civil Service should maintain constant surveillance over the administration of personnel throughout the government agencies. In particular, this must be done on a regular and routine basis with respect to those agencies to which wide areas of authority and responsibility for personnel administration have been delegated.

The General Directorate of Civil Service will review the copies of personnel actions submitted to it as part of its surveillance program.

XVI. Organizational Structure

The organizational structure for civil service administration should be comprised of an Inter-departmental Committee having advisory powers, the General Directorate of Civil Service and agency personnel office.

A. General Directorate of Civil Service

The General Directorate of Civil Service should be located at the Presidency. It should give leadership in the development of modern

and positive personnel administration throughout the government.

Specifically, it should

1. provide staff advice on personnel matters for the Chief Executive;
2. draft and recommend necessary statutory and other personnel policies requiring the authority of law, ordinances, or decrees;
3. formulate and determine policy, regulations and procedures for all aspects of personnel administration within broad statutory authority;
4. provide personnel management services for employees in those agencies which have not been delegated authority and responsibility therefor; and for employees on detached service; and
5. review personnel administration activities in all agencies.

B. Agency Personnel Offices

Each major agency of the government should have a personnel office. It should be directly responsible to the head of the agency, who should be directly responsible for personnel management in his agency, subject to the standards prescribed by and the necessary approval of the General Directorate of Civil Service.

Larger agencies with adequately trained personnel staffs should be delegated authority and responsibility for certain personnel administration functions, subject to surveillance by the General Directorate of Civil Service.

The agency personnel offices will submit strength reports, personnel status reports and copies of specified types of personnel actions to the General Directorate of Civil Service.

XVII. Records

A. General Directorate of Civil Service

This agency should maintain, on a permanent basis, all records of an administrative nature such as statutes, regulations, procedures, etc. It will also maintain the individual personnel records for the employees of agencies served directly by it and the dead files of former government employees. In addition, it should maintain duplicate copies of the personnel actions of agency personnel offices until such time as adequate documentation, reporting, and inspection procedures are established so that this duplication can be eliminated.

B. Agency Personnel Offices

These offices will maintain, on a current basis, such records of an administrative nature as are necessary for their operations. In addition, they will maintain the individual personnel records for the employees under their jurisdiction for and on behalf of the General Directorate of Civil Service. When an employee leaves an agency, his records should be either transferred to the personnel office of another agency, if the employee is being reassigned or transferred; or to the General Directorate of Civil Service for retention, if he is separating from employment.

## G L O S S A R Y

As used in this Outline:

Agency Personnel Office refers to a personnel office operating within an agency of the government, as distinguished from the office within an agency of the government, as distinguished from the office in the General Directorate of Civil Service serving the same purpose.

Allowances refers to both non-work-connected compensation (allocations de famille) and work-connected compensation (indemnites de risque, de fonction, etc..) unless a specific type of allowance is designated.

Appointing Authority refers to an official who has the authority to hire an employee and place him on the payroll. This outline proposes that the General Directorate of Civil Service or a personnel office delegated authority to act in its behalf should make all appointments.

Appointment refers to the process of employing an individual to work for the government, whether he is being appointed to membership in a cadre or to work under a temporary employment agreement. Since non-career employees are hired for specific positions, appointment and assignment are simultaneous actions for them.

Assembled Examination refers to an examination for which all applicants are called together for the purpose of taking written and/or oral tests of their competence.

Assignment refers to the process of placing an employee in a specific position to perform the duties and responsibilities of that position. (See Appointment)

Cadre refers to a personnel administration framework (established by a particular regulation -- statut particulier) within which a particular classification of employees are recruited, paid, promoted and provided tenure and retirement privileges. The members of one cadre compete with one another for promotions, but not with the members of other cadres. Membership implies career (permanent) status.

Career Employee refers to an employee with cadre or other "permanent" status.

Career Status refers to the status of an employee under which he is assured tenure of employment, promotion, and retirement benefits. At present only cadre members have career status.

Class or Class Level refers to the level of personal rank for cadre members, the various levels in a particular cadre forming the ladder for promotions.

Compensation is a general term used to cover all types of remuneration (non-work connected as well as work-connected) to all types of government employees.

Compensation Bracket refers to the series of index numbers immediately above the position index number which are used for giving pay increases.

Examination refers to the process of determining the competence of an applicant or an employee. (See Assembled Examination, Objective Examination, Subjective Examination and Unassembled Examination).

General Register refers to a list of applicants approved for appointment who as employees may be transferred to positions anywhere in Vietnam. Separate registers should be provided for appointment to cadres and to non-career employment.

Geographic Register refers to a list of applicants approved for appointment who as employees are not expected to accept positions outside of the area of their residence, such as lower paid employees or employees in a provincial organization. Separate registers should be provided for appointments to cadres and to non-career employment.

Indemmités - See Allowances. (In theory, indemnities should be reimbursements for actual expenses incurred by the employee, as in the case of travel costs. However, the distinction has not been maintained sufficiently to warrant retaining it in English.)

Index Number refers to any of the numbers comprising a compensation schedule (bareme), for example, 100, 110, or 120 on up to 1,200 by 10's, as in the present salary schedule (bareme). It may or may not be assigned as a personal rank or position index number. The position index number for a position and the designated index numbers immediately above it constitute the compensation bracket for pay increase purposes.

Lateral Entry refers to the process of appointing an employee to a class level in a cadre above the entry or bottom level of the cadre.

Management refers to the hierarchy of officials who direct the activities of an agency of the government, or all such officials collectively when used in relation to the government as a whole.

Merit refers to a degree of competence or ability sufficient to warrant a particular type of action, such as appointment to a position or a promotion. This may be determined on the basis of educational accomplishments, evaluation of work experience or job performance, or a combination of such factors.

Multiplier refers to the factor by which all compensation index numbers (personal rank and position) are multiplied in computing monthly pay. (To be determined periodically by cost of living survey, in a manner to assure the lowest civil servant 120% of a minimum standard of living.)

Non-Career Employee refers to an employee without cadre or other "permanent" status, whether hired as contractual, journalier, "agent" or "floater".

Non-Career Status refers to the status of an employee employed on a temporary basis who does not have tenure of employment, nor retirement privileges (contractual, journalier, "agent", "floater").

Non-Work-Connected Compensation refers to family allowances, the portion of the regional cost-of-living allowance which the employee receives for his first legal wife and his children, and any other allowances or indemnities the individual receives because of his personal or cadre status regardless of the particular job he occupies.

Objective Examination refers to a type of examination in which the examinee selects among pre-designated answers, only one of which is acceptable. Evaluation of the examinee's competence is based on his judgment in selecting correct and incorrect answers and not on his style or method of presentation nor the subjectivity of the examiner. Grading these examinations requires very little time and effort. Examples: multiple choice and true and false tests.

Part-Time Employee refers to an employee who works less hours than the normal working hours for his organization whether he works a part of each day, each week, or each month.

Pay increase refers to an increase in the amount of work-connected compensation given to an employee as a reward for satisfactory services over a particular period of time. Such increase is from the employee's present position index number or index number within the compensation bracket, to the next higher one, except for unusual or outstanding performance. It does not include a promotion from one class, level or position level to a higher one.

Permanent Position refers to a position, the duties and responsibilities of which are expected to continue indefinitely.

Personal Rank Compensation (formerly called base salary or solde de base) refers to a cadre member's salary based on his personal rank in a cadre. It is computed by multiplying the personal rank index number of his class by the prevailing multiplier (currently 12.24). (See also Position Compensation)

Personal Rank Compensation Schedule refers to the Schedule of index numbers (bareme) used as a basis for determining the personal rank compensation (basic salary or solde de base) for cadre members. (See Index Number and Personal Rank Compensation)

Personal Rank Index Number refers to the number from the personal rank compensation schedule which is assigned to a class in a cadre. It is used as the basis for determining the amount of personal rank compensation paid to a cadre member. (See Personal Rank Compensation)

Personnel Management refers to that part of management's functions which deals with the entire range of personnel activities and relations.

Personnel Office refers to the office which performs personnel administration activities for an operating agency whether it is one located within the agency which has been delegated authority and responsibility for such activities, or whether it is the operating unit of the General Directorate of Civil Service which services operating agencies. The term "General Directorate of Civil Service" is used when referring to an action or operation to be handled above the level of competence of a personnel office.

Position refers to specified set of duties and responsibilities sufficiently similar in nature that they can and should be performed by one individual. There may be only one such set of duties and responsibilities (one position) or many identical positions in an organization. A position may require the full time of an employee or only part of his

time. A position may be filled, i.e., an employee has been assigned and delegated the duties and responsibilities of the position; or it may be vacant, i.e., no one has been assigned to assume the duties and responsibilities of the position.

Position Classification refers to a system for classifying the duties and responsibilities to be performed in an organization into positions, and arranging all positions into separate groups (occupational series) according to their similarities, and within each group according to their levels of difficulty and responsibility. The classification of positions is a technique which, through the orderly grouping of functions, and hence, the human element in administration, facilitates the preparation of budgets and the planning of government administration at all levels.

Position Compensation refers to the work-connected compensation paid to an employee on the basis of the position which he occupies. It is computed by multiplying the position index number by the prevailing multiplier (currently 12.24). A cadre member, in addition to his personal rank compensation, will receive the difference between such compensation and the amount of the position compensation for the position which he occupies. The difference between these two amounts is the functional allowance for the cadre member. A non-career employee will receive the amount of the position compensation for the position which he occupies less an amount equal to that which normally would be deducted from the compensation of a cadre member for retirement purposes.

Position compensation is exchange of non-work-connected compensation (such as family allowance), such compensation being given in addition to the position compensation.

Position Compensation Schedule (to be established) refers to the schedule of index numbers (bareme) used as a basis for determining the position compensation for both cadre members and non-career employees. (See Index Number and Position Compensation)

Position Index Number refers to the number from the position compensation schedule which is assigned to a position. It is used as the basis for determining the amount of work-connected compensation to be paid the employee occupying the position. (See Position Compensation)

Position Level refers to the place which a position holds within the hierarchy of positions to be established on the basis of the degree of difficulty and responsibility of each of the positions.

Promotion refers to the movement of a cadre member from one class level (personal rank) to a higher class level; and to the movement of a non-career employee from one position level to a higher position level in the same occupational series.

Reassignment refers to the movement of a cadre employee from one position to another position, either within an agency or to another agency, without any change of cadre or personal status; and to the movement of a non-career employee from one position to another position at the same level within an agency. (See Transfer)

Recruitment refers to the process of obtaining applications, giving examinations, and determining eligibility for employment.

Reemployment refers to the rehiring of a former non-career employee of the government. (See Reinstatement)

Referral refers to the process of directing applicants to an official (or officials) for interviews in order that he (or they) may select one or more of them for employment.

Register refers to a list of applicants approved for appointment; based on the results of an examination, either assembled or unassembled.  
(See Roster)

Reinstatement refers to the process of reappointing a former career employee to a cadre in such a manner as to give him career status at least equal to that which he previously held. (See Reemployment)

Roster refers to the list of employees prepared as a basis for making promotions. (See Registers)

Selecting Authority refers to the official in an agency who has the authority and the responsibility for selecting from among applicants for appointment to government service, whether he has authority to approve appointment or must recommend appointment to a higher official. (See Appointing Authority)

Selection refers to the process of choosing among two or more applicants for appointment and/or assignment.

Selection Out refers both to the process of reviewing the performance and the ability of the least efficient career employees and recommending their separation, and to the determination that such employees are to be separated from the cadre.

Separation is a general term used to refer to the termination of employment status for any reason. Examples: for disciplinary reasons, because of resignation or retirement.

Separation Allowance refers to the compensation paid to an employee when he is separated from government service without rights to pension benefits.

Statutory Texts refers to the official documents which form the basis for government administration, such as laws, ordinances and decrees, and to arrates insofar as they require approval of higher authority.

Subjective Examination refers to a type of examination in which the examinee writes in essay form his own evaluation and judgment on the questions. Grading these examinations consumes considerable time, and it is more difficult for the examiner to evaluate the examinee's competence without being influenced by his style and methods of presentation or the subjectivity of the examiner himself.

Take-Home Compensation refers to the actual money which an employee receives: work-connected and non-work-connected compensation minus any non-voluntary deductions (i.e., retirement, but not deductions

to pay debts or to contribute to a credit or savings account). For career employees take-home compensation includes personal rank compensation; plus functional allowance; plus non-work-connected allowances, but not allowances in kind such as housing, utilities, cars and government chauffeurs; minus deductions for retirement benefits. For non-career employees take-home compensation includes position compensation (minus the amount which normally would be deducted from a career employee's compensation for retirement benefits) plus non-work-connected allowances; but not allowances in kind such as housing, utilities, cars and government chauffeurs.

Temporary Position refers to a position, the duties and responsibilities of which are not expected to continue for more than a relatively short period of time.

Total Pay refers to the total compensation paid to an employee including work-connected and non-work-connected compensation before any deduction is made.

Transfer refers to the movement of a cadre member from one position to another with a simultaneous change from one cadre to another without loss of personal status; and to the movement of a non-career employee from one agency to another agency without a break in service. (See Reassignment)

Unassembled Examination refers to an examination in which the applicants are not called together, but their qualifications are evaluated by a

comparative review of their educational background and work experience as described in their applications.

Work-Connected Compensation refers to base pay, and all allowances related to an employee's work rather than his personal status. (Includes representational, functional, responsibility, hazardous duty and other cash allowances which the employee receives only while assigned to a particular position, such as "Chief of Province" or "Lighthouse Keeper", as well as the cash value of allowances in kind, and the employee's own portion of the regional cost-of-living allowance; all of which is proposed for inclusion in function allowance in this outline.)