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**URS**

**COMPANY**

1700 S. El Camino Real  
San Mateo, California

## PHASE I REPORT

### PERSONNEL SYSTEM DEVELOPMENT

- DESCRIPTION OF PRESENT SYSTEMS
- DESIRABLE CHARACTERISTICS OF FUTURE SYSTEM
- WORK PLAN FOR SYSTEM DEVELOPMENT

PN-  
ARE-749

#### JOB REQUIREMENT

SKILL  
UNIQUE FEATURES  
TIME  
LOCATION

RECRUIT  
ASSIGN

#### PERSONNEL FUNCTIONS

COMPENSATE  
EVALUATE  
TRAIN  
PROMOTE  
SERVICE  
TERMINATE

#### AVAILABLE SKILLS

SKILL  
QUALIFICATIONS  
AVAILABILITY  
LOCATION LIMITS

Prepared for:

OFFICE OF PERSONNEL AND MANPOWER  
AGENCY FOR INTERNATIONAL DEVELOPMENT  
DEPARTMENT OF STATE  
WASHINGTON, D. C. 20523

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- WORK PLAN FOR SYSTEM DEVELOPMENT

This report is submitted in compliance with Phase I Contract No. A.I.D./csd - 2177 which calls for a description of the present A.I.D. Personnel System, specification of the requirements for a future system, and the presentation of a work plan. The report represents eight weeks of planning and is presented as a basis for seeking A.I.D. guidance in conducting the Phase II system design. The report was prepared by:

Project Manager, New System

Requirements: Rogers Cannell

External Constraints: Donald Lytle  
Kendall North

Description Present System: Frederick Carvell  
Edwin Boughton  
Wray Thomas

Work Plan Design: John Devaney

Computer Configuration: Turgut Burakries

Matrix Analysis of Inputs: William Bowman

Matrix Analysis of Outputs: Bernard Foran

Technical Editor: Elsie Clark

Approved by:

Charles G. Calderaro  
President, URS Company

Prepared for:

OFFICE OF PERSONNEL AND MANPOWER  
AGENCY FOR INTERNATIONAL DEVELOPMENT  
DEPARTMENT OF STATE  
WASHINGTON, D.C. 20523

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## INTRODUCTION

### About This Report

This report is intended to let A.I.D. know whether we understand the A.I.D. Personnel problem and to define our approach to designing a new Personnel System. It presents our understanding of how the present system operates and what it is intended to do. It identifies factors that must be considered in designing a new system. And it presents a work plan.

The report provides a vehicle for A.I.D. to review, correct, and add to information we collected in interviews, as well as to offer guidance to the project. Of itself, the report can be used as a device for checking. By reading the parts concerning his own operation, each person can check the validity and accuracy of the team's understanding of what we were told. He can also see his operation in the context of what others have told us about the whole operation.

The report, and A.I.D.'s response to it, will serve as a guide to future URS activities in the project. In this first eight weeks, we have developed a background of sources of data and have collected data from which to design alternative organizations for the Personnel System. This report presents this information and indicates generally how it will be used in establishing the direction of the work and designing the new system; it also discusses methods we will use for setting objectives.

Section I of the report presents the information we have collected on the present system and its functioning. Section II

presents some thoughts on the characteristics of the new system and on our approach to the detailed analysis of the problem and the structuring of the new system to solve these problems. Section III presents the work plan in considerable detail for Phase IIA--the redesign of the system--and somewhat lesser detail for Phase IIB--the design of the automation. The Appendices present data that have been collected for use in this report and in Phase II.

This report will require a response from key members within A.I.D.--both from those who will be responsible for operating the new system and from those who will have to depend upon it for service. These responses will provide guidance for the study team. They should generally address the following questions:

- Does the contractor understand the problem?
- Is the present system accurately described?
- What is expected from the new system?
- What functions should the new system perform?
- Is the work plan adequate?
- What priorities should be assigned to products of the study?
- Is the design policy comprehensive and on the right track?
- How should progress be reported?

Some of the information collected or produced in this first phase may have immediate usefulness for A.I.D. as well as in Phase II of the project. A number of these items are included in the Appendices for ready reference. Of especial note is Appendix E, which contains a sample of what can be done with work-simplification techniques. As a result of a matrix analysis of information, approximately 50 forms now used by A.I.D. can be replaced by less than half a dozen redesigned forms. Appendix C, which contains the data on individual activities, is quite bulky and is bound separate from the report.

## The Problem

A.I.D. is unusual in its frank, almost universal recognition that it has a critical Personnel management problem, one symptomized chiefly by the excessive ratio of Personnel staff to the remainder of the A.I.D. staff, but also characterized by a need to give improved service. The Personnel staff appears individually competent and, in spite of many adversities, to have good morale. The fundamental problem, then, is to improve service while increasing efficiency and economy so as to reduce the Personnel staff to fewer than 150 people.

Personnel services in A.I.D. have been decentralized. A.I.D. has already recognized the economies of centralization and has acted on this recognition. But services in a large organization tend to cycle between centralization and decentralization. When decentralized services become costly because they are redundant and competitive, the solution is to centralize. When centralized services become slow, unresponsive, and rigid, the solution is to decentralize. The benefits of centralization will be realized only in proportion to the ability of the centralized system to fill the changing needs of the operating organization.

Centralization and automation imply rules for control of the operation, but changing needs of the operating organization require flexibility in the application of the rules. For example, given a rule requiring a minimum two-year overseas tour, the rule should be followed to limit turnover but should be set aside to avoid having an underemployed staff member merely sit out a tour of duty. It is a perplexing dichotomy that without rules you have no system but with rigid rules you have no service. The real problem, then, for the project is to design a Personnel System that will not only increase service, economy, and efficiency, but also be automatically responsive to the changing needs of the A.I.D. organization.

## Approach to the Problem

In addressing the solution of this problem we propose to apply the systems approach, possibly for the first time in the design of a Personnel System. The new system will have an integrated design, developed from the goals and missions of A.I.D. and from the supporting Personnel functions necessary to achieve these goals. This is due in part to the way A.I.D. structured the project and in part to the systems analysts assigned to the study.

The organization will be designed to perform the required functions and to supply the necessary information at each decision point and elsewhere to serve the total A.I.D. organization. At that time, part or all of the Personnel information will be automated. Automation is a tool to assist the organization but the organization must be designed to take advantage of automation. Therefore, the two must be planned together. Throughout the design process, alternatives--supported by evaluations--will be presented to A.I.D. for selection.

To begin the project we have defined the functions and organization of A.I.D.'s present personnel system as a basis for designing alternatives to it. Data have been gathered in interviews with representatives of a structured sample of Branches and Bureaus. To control the data gathering--to keep it in bounds and still avoid gaps--we devised a general description of all the functions and activities a Personnel office could perform. Then we devised an interview plan and schedule, and gathered data on these generalized functions as they are performed by the A.I.D. Office of Personnel and Manpower. The data gathering and our findings are described in Section I, Description of Present Personnel System.

It is clear from the first phase work that the A.I.D. Office of Personnel operates within immutable constraints. Many of these are imposed from outside the Agency--by the Congress, the Executive Office, the Civil Service Commission, and so on. Others are imposed from within--by the missions of the functions, their information requirements, and so on. Still others are less formal but no less real: the traditions of A.I.D. for example, and the characteristics of the people who make up the A.I.D. staff--the kinds of people attracted to this work, their typical mode of operation, and so on. We have tried to identify these constraints, but since they serve to determine what the system design can be, it will be particularly helpful if A.I.D. people will be sure to call any omission to our attention.

In the design of the new Personnel System, we shall arrange all the necessary and desirable Personnel activities in alternative patterns so that A.I.D. may select the one it prefers. Then we shall build a new organizational structure, apply work-simplification techniques to the individual activities, design new work and information flows to tie the system together, and describe performance standards for each set of activities. These will make up the new organization that we shall automate to the extent A.I.D. desires.

#### Considerations That Will Guide Future Work

For automation, each activity and function will be described in the precise detail necessary for computer programming; implementation of the automating step of Phase IIB can be done in discrete parts. Yet the study will involve many compromises between the organization and automation phases. As we proceed, we shall rely heavily on A.I.D. guidance in the allocation of our effort.

A major area for compromise arises almost at the outset: How much of the effort should be expended on reorganization of the Personnel System vs putting the reorganized system on the computer? Considerations affecting decisions in this area include:

- How much reorganization is needed to fit the system to the computer?
- Which tasks are better done by man, which by machine? (The computer easily makes number-oriented decision; human judgment is usually needed when personality must be taken into account.)
- What do users want of the system and of the computer, and what will they find helpful?
- What will it cost to automate the various parts of the new Personnel System?

Whatever the A.I.D. guidance on the allocation of effort between organization and automation, the final system will be designed within the constraints of time and money.

In the design of the new system, much of the economy in staffing can be obtained from automation. But it must be recognized that computerized systems can have many inhuman qualities, a major consideration in a system that deals entirely with people. Most violations of human needs and rights in computerized systems, however, come from a failure to be aware of how to avoid them. In the study, we shall stress this awareness as we focus on specific problems. It will be helpful, in addition, if A.I.D. is alert to the consequences of various computer system characteristics.

Several of these areas of concern are discussed in Section II, Characteristics of the Future System. Among them are the security of stored personal information, not entirely a new problem since this information is already in files. Also included is the fear that personal considerations will disappear, but the system can be designed to improve the objectivity of personal considerations. Another area is the distrust of the accuracy of computerized records, although computer errors are human errors and can be minimized by design. And there seems to be a fear that change to the new system will result in chaos although the new system can be designed so as to avoid this.

The work plan is designed so as to permit divisions of the work into specific tasks, each with a definable scope of work that may be assigned and scheduled for completion control. Most of the detailed task units for Phase IIA are given in Section III; only those are omitted that are repetitive of those included and would not add to the understanding of the plan. Some of the task units for Phase IIB are more general; they will be made more detailed in the final, work-planning step of Phase IIA.

## **SECTION I**

### **DESCRIPTION OF PRESENT PERSONNEL SYSTEM**

#### **Description of Existing System**

**Functional requirements (objective)**

**Decision structure (what, where, authority)**

**Component systems relationships**

**Information flow**

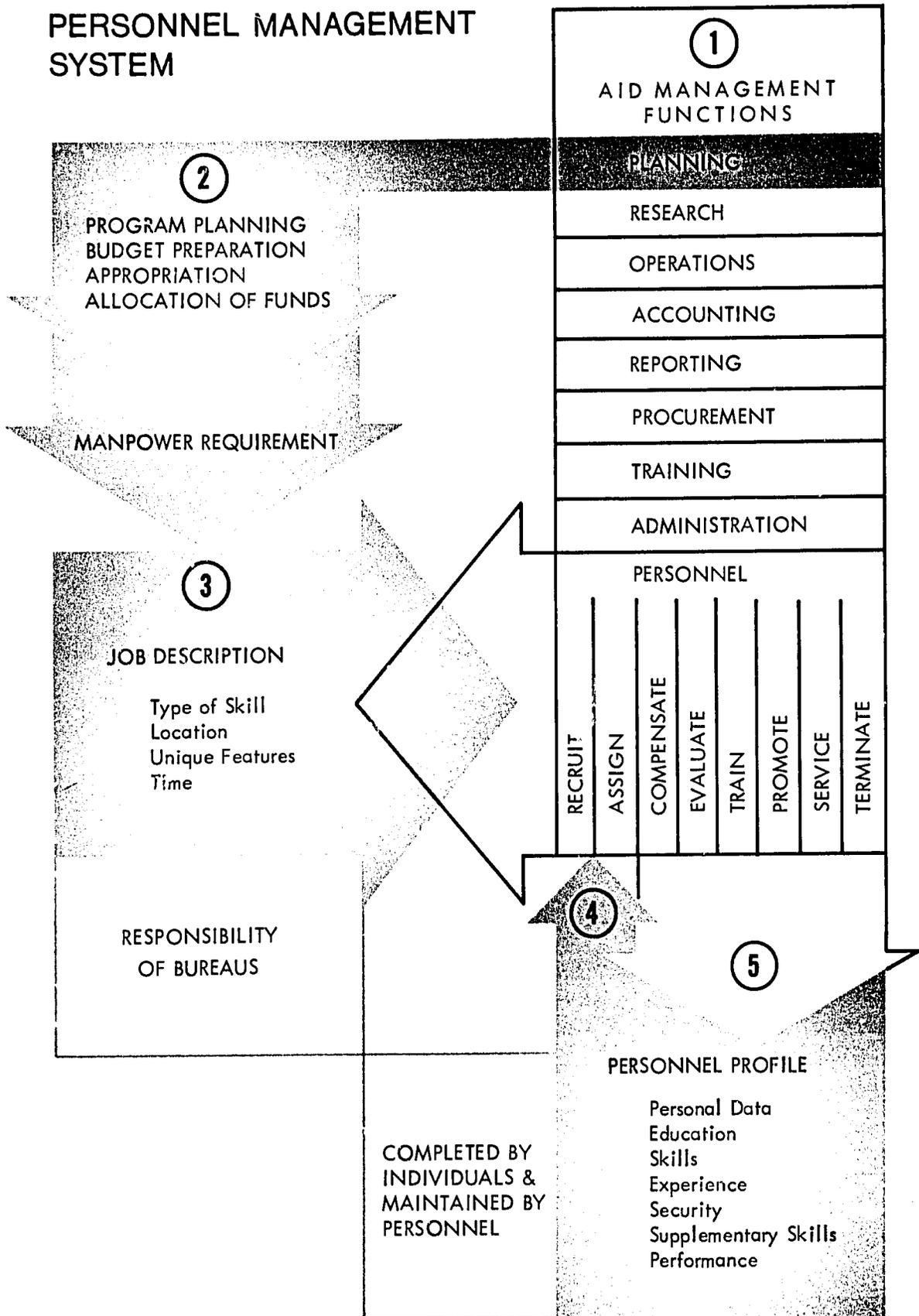
**sources and input forms**

**processing and data banks**

**users and output forms**

**Performance (staff, response, accuracy, etc.)**

# PERSONNEL MANAGEMENT SYSTEM



## SECTION I

### Description of Present Personnel System

In general, the most satisfactory way for an established organization to install a new Personnel System is through evolutionary changes to an existing system. First the desired future system is designed, then a number of small sequential steps are taken to build toward it. This approach requires that the existing system be described in detail.

This Section describes key features in A.I.D.'s present Personnel System. First it describes the roles and services of Personnel in relationship to other A.I.D. management functions, and the external constraints--Congress, Executive Office, Civil Service Commission, etc.--and internal constraints--programs, staff, etc.--within which A.I.D.'s Personnel System operates. Next it explains the approach used to describe the present operating system: development of a theoretical functional checklist, interview technique, descriptive flow sheets, activity descriptions, and matching actual activities obtained by the interview approach to the theoretical possibilities. This matching of actual activities to theoretical possibilities results in a description of the A.I.D. Personnel System by function. Lastly, the Personnel Data System used to support these activities is described.

The description of A.I.D. Offices and organizations performing Personnel operations, along with the activity write-ups and functional flow sheets that resulted from the interviews, are bound separately as Appendix C.

## Personnel As Part of A.I.D.'s Management System

Personnel is one of a number of A.I.D. management functions. Since it is a service function and responsive in character, its activities are largely determined by organizational needs external to the Personnel Office. Thus, before analyzing and redesigning the internal Personnel operation, we must first understand the relationship of Personnel to other A.I.D. management functions.

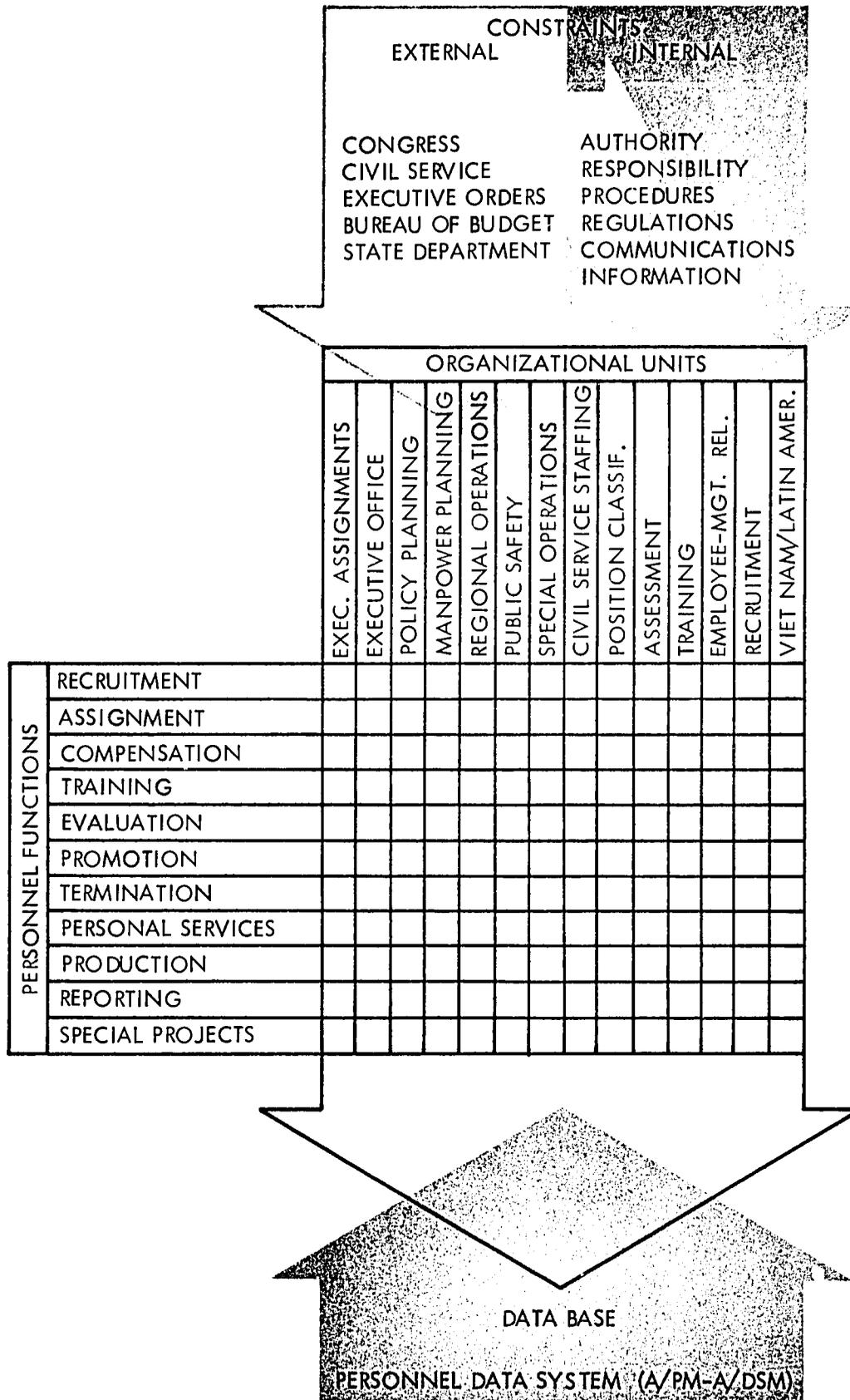
In theory as well as in practice, all Personnel activities can be viewed as beginning with program planning: designing programs--agriculture, public health, family planning, capital development, and the like--for regions and for countries within regions. Programs are planned either as continuations of past activities, requests initiated by countries through A.I.D. missions, or in response to political factors as interpreted by the State Department, the President, or Congress.

Program planning provides the basis for budget preparation. In practice there is considerable cutting and fitting between program planning and budgeting. Merely because a program is planned conceptually is no assurance that it will move forward through budgeting and to Congress for an appropriation. Personnel cannot begin to do firm manpower planning until Congress has appropriated the money and A.I.D. has allocated the money by program and country.

The allocation of funds by country and program provides the basis for manpower planning. Using staffing factors, Personnel prepares an inventory of job descriptions showing the skill required, where it is required, desirable special qualifications, and the time and quantity of the requirement. These requirements are coded for identification and later matched against the inventory of available staff.

Figure 1.1

# COMPONENTS OF THE PRESENT PERSONNEL SYSTEM



Personnel acts as the broker or the marketplace for bringing people and jobs together. The process includes assigning available staff (those ready for reassignment or rotation) to available jobs and recruiting to meet deficiencies. Surplus manpower is usually reduced through attrition, normal terminations, transfers, and "selection out;" however, if Congress cuts deeply into administrative funds, the process must be accelerated (within the constraints imposed by Civil Service and the Foreign Service regulations). A manifestation of recent budget cuts by Congress has been the current planning for a substantial reduction in force (RIF).

A number of other Personnel functions are conducted either for the staff or to improve the staff capability. These include compensating the employee for his services, evaluating his performance, and, where earned, promoting or rewarding him. When the evaluation indicates latent capability, or individual employee need, training programs can be offered. Personnel also performs personal services to meet many of the needs of the staff and their families, and is responsible for meeting the final obligations of the Government when employment terminates.

#### External Constraints

Personnel activities in A.I.D. are affected by a number of constraints applied from outside the Agency--legislative acts of Congress; the President, acting personally and through the agencies of the Executive Office such as the Bureau of the Budget; other agencies of the Executive Branch such as the Civil Service Commission; and the Department of State, A.I.D.'s parent organization. These external constraints are described in Appendix A.

### Internal Constraints

In addition to the external constraints, other constraints are applied by A.I.D. itself. The Personnel System is a component of A.I.D. and serves A.I.D. in line with the authority given it. A.I.D. constrains its Personnel System by specifying what it will do, by limiting the resources available to it, and by applying its policy determinations, both general and specific. Internal constraints are discussed in Appendix B.

### Relationships of Present Personnel System in A.I.D.

A.I.D. has centralized certain Personnel functions in the Office of Personnel and Manpower so that other units in the Agency can concentrate on activities essential to achieving their own missions. However, in spite of the centralization of these functions, all Bureaus and offices in A.I.D. participate in the actual recruitment, assignment, and control of manpower resources. The duplication and lack of uniformity in procedures used by the various branches of the Personnel System appear to be caused in part by organizational instability and a residue of outdated orders created by recent changes.

At least four identifiable factors seem to have contributed to all the conditions we found in the Personnel System:

1. Some of the Regional operations are centralized under A/PM while others (Latin America and Viet-Nam) were left under Regional Bureau control. One of these (Viet-Nam) is planned to be brought under centralized control in February 1969.

2. A recent change in organizational structure within A/PM is being effected. Some organizations are yet in the stage of determining their complete structures and roles, and in the act of changing from the old to the new posture.
3. An Interim System has been designed and planned for implementation by August 1, to accompany the new organization; but it, like the organization, is in a state of transition. As a consequence, there was considerable difficulty in defining how actions are actually being performed.
4. Reductions in force (both long and short range) were being planned during the data-gathering stage. It was difficult to obtain complete, accurate, information in such an environment.

The clear-cut division of responsibility for each Personnel function that might be expected to accompany the concept of centralization is not apparent in the Office of Personnel and Manpower; then, too, there appears to be a proliferation of written Manual Orders which would not be expected with centralized operations. These are partially due to the variety of organizational patterns that have emerged to meet the changing manpower requirements of the Agency. The present organization is structured on five different bases, listed below with an example of each:

1. Regional location of administered personnel (Foreign Service Personnel)

2. Occupational skill of administered personnel (Office of Public Safety)
3. Rank of personnel administered (Office of Special Assistant for Executive Staffing)
4. Employment category of administered personnel (Civil Service vis a vis Foreign Service Personnel)
5. Personnel function performed (Manpower Planning)

As a result of these organizational patterns, few Branches are responsible for the execution of all Personnel functions; in fact, most Branches are responsible for only one or two. However, all Personnel functions are performed by at least one Branch or Office, and in the case of recruitment, by eight or more organizational units actively involved in the process.

The outcome of the current move toward centralization has been the splitting of responsibility of some Personnel functions, so that responsibility for paperwork and recordkeeping has been placed with one office in A/PM while decision-making authority for the same functions remains with an organizational unit outside of A/PM.

#### Approach

It was necessary to plot A.I.D.'s Personnel System on the basis of new information quickly gathered. Reference material that might have been useful in describing and charting the system was available in too great amounts to be digested and analyzed properly

in the limited time available for this preliminary study; in the main, however, this material included reports of general studies pertaining to overall Federal systems, or specialized studies dealing with such specifics as particular preprinted forms as they were intended to flow within A.I.D./W offices. Neither type of material was appropriate for the task at hand, since they did not describe in detail what is actually happening. The remaining studies were largely outdated because A.I.D. had taken action to comply with their recommendations.

Interviews appeared to be a more feasible means to get the needed information quickly. We read general background materials to get a level of understanding that would permit successful interviewing. We scheduled interviews with managers through Branch level and, as required, with selected individuals within Branches. From this information, we were able to identify on matrices the Personnel functions involved in the work of each Branch or higher echelon, and the organizational elements involved in the performance of each Personnel function.

A control mechanism was devised to avoid investing too much effort in interviews, and still avoid gaps in information about the activities: a generalized description of all the functions and activities that a Personnel Department would perform. We further refined this description by following an individual through his career in A.I.D.--from recruitment to separation--to be sure we had noted all the interfaces between the individual and the Agency. We then derived an interview plan and schedule, and gathered data to determine which of these generalized Personnel functions are in fact performed by the A.I.D. Office of Personnel and Manpower.

The typical Personnel System was divided into its primary constituent parts, and the prime Personnel functions, in order of occurrence during the career of an employee, were found to be:

- Recruitment
- Assignment
- Compensation
- Training
- Evaluation
- Promotion
- Termination

In addition to these prime functions, four other functions were found necessary to complete the description of the Personnel System:

- Personal Services
- Production
- Reporting
- Special Projects

Personal Services are treated somewhat differently than the others because they are so frequently performed outside of the Office of Personnel and Manpower.

To obtain the required detail, we developed a list of theoretical steps for each function from initiation to completion of an action; this also gave a standard pattern so that flow patterns derived from one interview could be compared with those from another. A complete set of functions and steps is shown in Figure 1.2. We coded the functions and steps as a device for relating the verbal activity descriptions to the appropriate graphic functional flow charts.

Figure 1.2

PERSONNEL FUNCTION CLASSIFICATION

A. RECRUITING	a. Initiating Requirements	
	b. Advertising	
	c. Applying	
d. Selecting	a. Screening	b. Testing
	c. Interviewing	d. Approving/Hiring
e. Processing	a. Initiating Records	b. Examining (Medical)
	c. Investigating (Secr.)	d. Orienting
B. ASSIGNING	a. In-service Placement	
	b. Rotating	
	c. Lending (On Loan)	
d. Leave w/o Pay	a. Indic. Assign. Elig.	b. Consider for Place
	c. Approve Placement	d. Notify (Orders)
e. Record		f. Out-process
g. In-process		
C. PROMOTION	a. Grading	
	a. Indic. Elig./Desire	b. Determ Vac/Auth.
bx. Announce Vacancy		c. Prov. Candidate Qual.
d. Assess, Qual./Merit		e. Recommend
f. Approve		g. Notify (Orders)
h. Record		
D. EVALUATING	a. Skill	
	b. Performance	
a. Indicate Need/Desire		b. Prepare Basic Forms
c. Complete Forms		ca. Review
d. Endorse/Approve		e. Notify Counsel
f. Record		
E. TRAINING	a. On the Job	
	b. Agency School	
	c. Government School	
d. Non - Government School	a. Indicate Need	b. Seek Candidates
	c. Prov. Cond. Qual.	d. Review/Recommend
e. Approve/Notify		f. Out-process
g. Monitor		h. Record
F. COMPENSATION	a. Salary (Individual)	
	x. Salary (Position)	
	b. Leave w/Pay (Excl. Vacation)	
a. Estab/Rev. Need		b. Prov. Data for Assess.
c. Assess. Qual./Merit		d. Recommend
e. Review/Approve		f. Notify (Orders)
g. Notify Pay System		h. Record
a. Request/Notify		b. Review/Approve
c. Notify (Orders)		d. Notify Pay System
e. Record		f. Out-process
F. COMPENSATION (cont.)	c. Vacation	
	d. Using Insured Benefits	
	e. Awards	
a. Request		b. Review/Approve
c. Notify		d. Notify Pay System
e. Record		
a. Request/Notify		b. Rev./Appr./Certify
c. Furn. Support. Doc.		d. Notify Interest Parties
e. Notify Pay System		f. Record
a. Nominate		b. Review/Approve
c. Prepare Document		d. Present/Notify
e. Notify Pay System		f. Record
G. TERMINATING	a. Transferring (In-Government)	
	b. Separating	
	c. Death	
a. Init. Reqm/Req.		b. Prepare Actual Doc.
c. Co-ord. Out-place		d. Review/Recommend
e. Approve		f. Notify (Orders)
g. Out-process		h. Close Records
i. Dispose of Records		
a. Init/Rec. Death Notice		b. Record
c. Prep. Pers. Doc.		d. Notify Admin. Off.
e. Notify Pay System		f. Prov. Survivor Serv.
g. Close-out Records		h. Dispose of Records
H. SERVICES	a. Transportation	
	b. Housing	
	c. Health	
	d. Schools	
	e. Grievances	
	f. Legal	
	g. Recreation	
	h. Commissary	
	i. Other	
K. PRODUCTION	a. Legislative Proposals	
	b. Program Planning	
a. Initiate		b. Prepare
c. Review		d. Approve
e. Deliver		
a. Initiate Reqm		b. Write M.O.
c. Secure Approval		d. Distribute
L. REPORTING	a. Routine Reports	
	c. Special Reports	
	e. Correspondence	
a. Requirement		b. Report Preparation
c. Use		
a. Requirement		b. Report Preparation
c. Use		
a. Request		b. Prepare Reply
c. Approve		d. Deliver
M. SPECIAL PROJECTS	a. Request Project	
	b. Conduct Work	
	c. Approve	
	d. Deliver	

We devised forms to record the needed data. One (Figure 1.3) is in matrix format, with the organizations of A.I.D.'s Office of Personnel and Manpower (and other affected organizations) identified on the vertical axis and the steps followed in performing the Personnel functions identified on the horizontal axis. Information obtained in interviews is recorded to show which organizational element participates at each step. The second form (Figure 1.4) is designed to permit the particulars to be more fully understood by recording what the source of activity is, from whom it is received, what processing it involves, to whom it is sent, and in what form. The completed forms, bound separately, are in Appendix C and support the narrative descriptions by organization that are bound with them. They also support the functional descriptions included later in this Section.

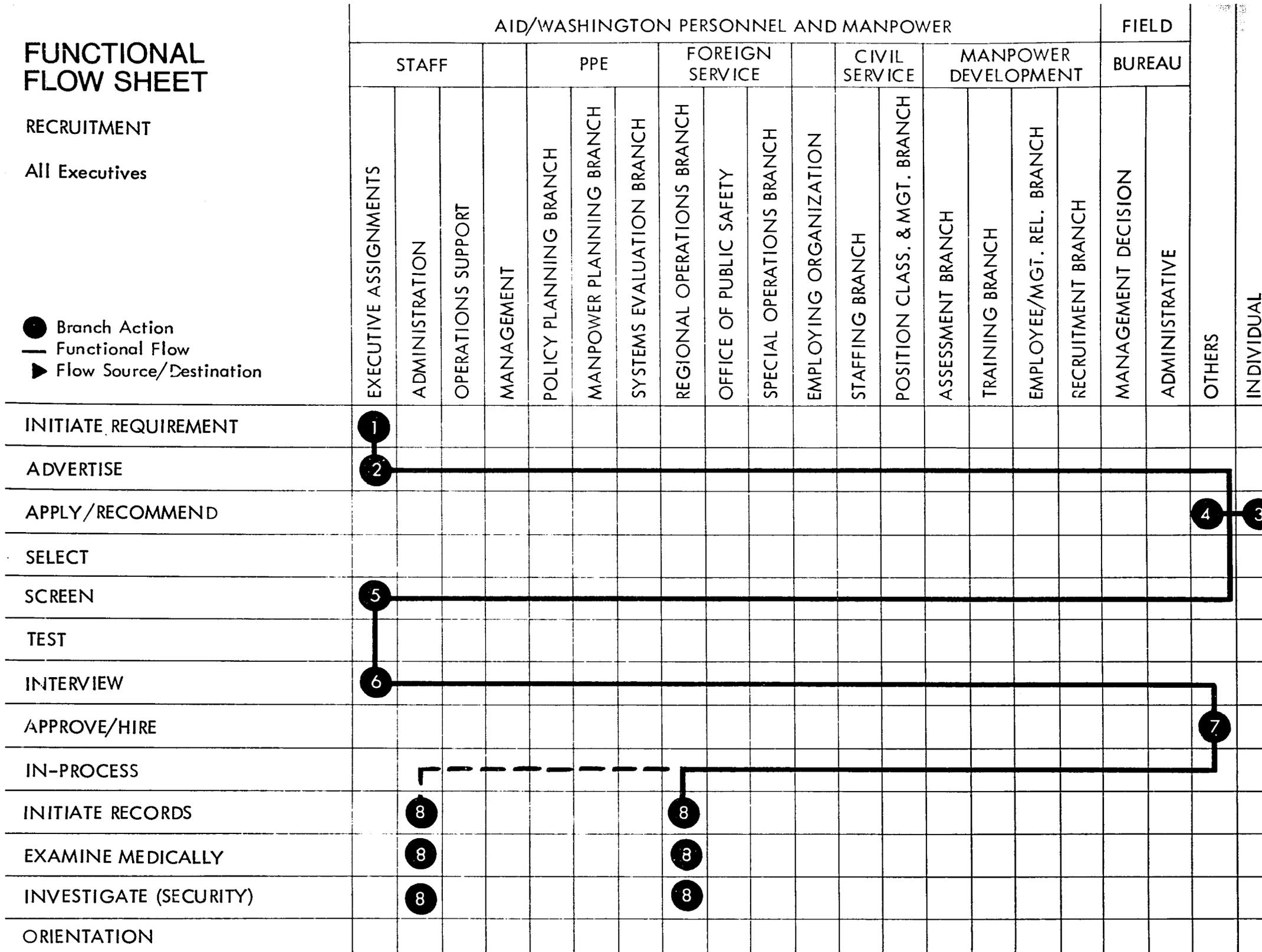
Data-gathering was restricted to the organizations forming the Office of Personnel and Manpower. This precluded full exploration of the interfaces between A/PM and other parts of the A.I.D. organization. But for our present purpose, simply knowing of the existence of these interfaces is sufficient; more information is not necessary. Subsequent analyses in Phase II will include examining these interfaces. We made one exception to the restriction to A/PM, in the case of the Viet-Nam Bureau, which we interviewed to ascertain the amount of autonomy permitted a Bureau in operating the Personnel Management System in decentralized form. Even then, there was no attempt to make a complete exploration of the functions performed in the Bureau as was done in the Office of Personnel and Manpower, but we did not overlook the potential impact of bringing the functions of the Viet-Nam Bureau into the centralized A/PM operations. The Viet-Nam interview also gave us an insight into the Regional functions which might remain independent of the centralized Personnel Management System.

# FUNCTIONAL FLOW SHEET

RECRUITMENT

All Executives

- Branch Action
- Functional Flow
- ▶ Flow Source/Destination



ORGANIZATION: Exec. Assignment Branch

FUNCTION CODE: Aa

INTERVIEWEE: Miller

INTERVIEWER: Boughton/Thomas

ITEM: Recruitment  
Initiate, requirement

1

DATE: 7/19/68

PROCESS

DESCRIPTION

REFERENCES/  
REMARKS

INPUT DATA

- o SOURCE (WHERE)
- o TYPE (WHAT)

- o Various communications from top-level management planners
- o Positions and skills required to fill vacancies

ACTIONS

OBJECTIVES (PURPOSE)

To initiate the search for candidates

ACTIVITY

- o INITIATE
- o ADD CONTENT
- o COMBINE INFO
- o CHANGE FORM
- o COORDINATE
- o REVIEW
- o APPROVE/DISAPPROVE
- o FILE
- o ROUTE

Create an internal list of known candidates and initiate communication with potential sources of candidates

PERFORMANCE

TIME PER ACTION  
NO. OF ACTIONS

7 (average) per month (however, peak periods of activity could require a search for 50+ candidates)

LEVEL OF STAFF

Special Assistant for Executive Staffing

OUTPUT DATA

- o DESTINATION (WHERE)
- o TYPE (WHAT)

- o Internal (for initiation of follow-on activities)
- o Executive skill and position requirements

## Describing the Personnel System

Operations of any system can be described in two ways, with each serving a particular purpose: first, by organizational unit, to give a basis for identifying authorities and responsibilities; second, by sequence of events in the performance of a function (process flow) to provide an inventory of all current activities. The first serves as the basis for applying work-simplification techniques.

Either way, the basic unit for describing operations is an "activity": a process step or a decision point. As used here, it describes the actions of one individual in the performance of his duties. In this report, an "activity" is recorded in terms of (1) the information that initiates the action, (2) the nature of the action--routine, changing the form, adding new information, approving, coordinating, etc.--and (3) the output in terms of content and destination. These "activity" descriptions are the basic units in the description of the present system and they will be the building blocks for a future system.

Tracking by function would have taken the interviewers through any given organization each time the function was found to be addressed by that organization. Therefore, we decided to track by organization in order to save retracing our steps and to impose as little as possible on busy managers. In each organization, the full range of Personnel functions was discussed and charted before moving on to the next organization.

The present system is described both in terms of organizational activities and of functional flow. Figure C.1, Appendix C is a sample of the organizational descriptions. The detail is

limited to that required to trace the movement of work between Branches and within a Branch to the level that can be described by a mission statement. Greater detail (e.g., descriptions of clerical activities or of inter-unit paperflows) during Phase I would have obscured the main track; also, it could have resulted in much wasted effort if we should later find it necessary to substantially redesign a function. Additional detail for selected flows and activities will be gathered in the analysis to be done in Phase IIA. The interview results--the findings published in this report--are preliminary; they are presented here to be checked, relying on readers within A.I.D.'s Office of Personnel and Manpower to help us clear up inaccuracies in data and interpretation.

### Functional Structure

Here, each of the eight Personnel functions is discussed separately, beginning with recruitment, following through to termination, and ending with a description of personal services.

Immediately preceding each of the eight functional descriptions is a composite flow chart that illustrates procedural steps identified by persons interviewed in each Branch of A/PM. It should be noted that, even though each of the eight composite flow charts represents one function, different Branches may have reported different sequential steps. Thus, all Branches that contribute to the subject function are represented on the composite flow chart, and each may have reported a different sequential flow of activity. In other cases, two Branches may perform identical functions, but in different ways. This, of course, highlights the purpose of this review of the present Personnel System: to verify the functional activities as practiced in A/PM and to identify conflicting and duplicating procedural flows.

To illustrate the points of action and the paths of flow, circles and lines are used. Circles identify action or processing points. The circle fulfills a combined function. It indicates the Branch under consideration, through reference vertically to the heading in which it occurs. It also indicates that the scope of activity of the Branch is limited to the functional steps referred to horizontally from the circles.

Triangles act as arrows, indicating direction of flow. A triangle can only occur outside the column identified with the Branch under consideration and is used to indicate the source of inputs and the destination of outputs as reported by the Branch interviewed. Where a triangle shares a column with a circle, the occurrence confirms two or more reported procedural flows.

The possible paths that the sequential actions take from one circle to another is represented by lines. Several types of lines are used in the composite flow charts to indicate flow.

In each of the eight functional narratives, all aspects of the separate functions are described in as much detail as the Branch representatives revealed or the interviewers understood. This functional structure is, of course, a rearrangement of the content of the interviews, which were made by Branch. It suffers perhaps from being gleaned from the original interview reports, but benefits by having some inconsistencies brought out by the mere act of rearrangement.

Figure 1.5 summarizes where the various Personnel functions are performed in the Office of Personnel and Manpower, and shows the order in which they are discussed.



## Recruitment

For the purposes of this description, recruitment is considered to include only those acts of solicitation that will produce a serious application for employment. It does not include the actual act of hiring and assignment. Of course, some work must be performed on each application received, such as screening for completeness and eligibility, and some provision must be made for storing applications and distributing summaries of applicants' résumés contained in the various talent banks. Such activities are performed by the Recruitment Branch, in cooperation with the Assessment Branch, in an effort to bring applicant and interested Branch together.

Recruitment procedures differ according to the type of personnel being sought. The procedures applicable to each type of personnel are briefly described below:

### Executive Personnel

Recruitment of executive personnel is an example of total responsibility that is assigned to a section of A/PM. Here all executive candidates are handled by the Executive Assignments Staff, which is part of the Director's Office. This extension of the Director concerns itself with recruitment that applies to 155 executive positions, 79 of which are in A.I.D./W and 76 are in overseas offices. Twelve of the positions are filled by statutory officers who are appointed by the President and must be confirmed by the Senate.

The remaining 143 positions are filled by individuals promoted from within A.I.D. or recruited from other Agencies or



private organizations. Recruited individuals are usually recommended and sponsored by a Government official. It is this sponsorship aspect of gaining candidates that dictates a separate processing arrangement. Anyone from the President to a local governmental official may suggest a candidate, who may not be aware he is being sponsored. Such a set of circumstances and possibilities does not, of course, lend itself to either the application of the routine recruitment procedures or final consideration of an A.I.D. employee for an executive position, particularly when the ultimate approval for assignment to any one of the 155 executive positions rests with the President.

The recruitment procedure followed by the Executive Assignment Staff is distinguished by its simplicity. The procedure amounts to the receipt of any material concerning an individual-- a Form 171, a biography, a résumé, or a letter from a sponsoring government official--and the retention of it in an executive talent bank. When enough information is available, an Executive Position Skills Card is prepared for inclusion in the candidate's folder. Of course, a candidate within A.I.D. already has personal and evaluation folders, which are acquired by the Executive Assignment Staff once his candidacy is invited.

Upon receipt and storage of a particular folder, the necessary locator and summary cards and lists are prepared for internal use. This is, for all practical purposes, the point at which recruitment ends and a possible assignment begins. A distinctive feature of this type of recruitment, though, is that at no point does a man who is considered eligible for an executive position come in contact with the normal recruitment machinery. The Recruitment Branch, itself, is never part of the procedure.

## Professional Personnel

The normal procedure established in A/PM for the recruitment of professional personnel is one in which the Recruitment Branch responds to verbal and written requests for individuals or blocks of individuals with specified skills and experience. Projections of required employees, by category, are used as guidance in determining recruitment quotas. Such projections are supplied each year by the Manpower Planning Branch. The response is to search through files and lists of recent applicants. And if search fails to uncover qualified candidates, the normal procedure is to advertise--either through newspaper and magazine ads or via brochures that are distributed at universities and conventions.

An ability to anticipate personnel needs accurately, though, is not always present. So the recruitment of professional personnel is handled in several different ways. One is a general recruitment effort, which is to make A.I.D. brochures available at places where likely candidates are known to congregate. The applications that result from this effort are simply read for information and then forwarded to the Assessment Branch for deposit in the Professional Talent Bank. It should be noted that all mailed applications for professional positions are automatically routed to the Recruitment Branch.

Individuals with certain constant-demand skills and experience are available indirectly only during certain times of the year. This is particularly true of economists. Therefore, a continuing program of direct recruitment is followed. The same is true of generalists who are recent college graduates. The latter are recruited as interns for assignment to any Branch or Office of A.I.D. The procedures for recruiting individuals for

either the Economists Program or as International Development Interns (IDI) are identical even to the extent of assigning the recruitment tasks to the Assessment Branch.

Up to five different universities are selected by the recruiters, and through bulletin-board posters and newspaper ads, candidates are invited to talk over A.I.D. opportunities with a team of travelling recruiters.

Interested interviewees submit applications directly to the Assessment Branch, where a file is created for each and deposited as designated in either the Economist Talent Bank or the IDI Data Bank. There an application is retained until an interested Branch or Office initiates the hiring procedure. In the case of applicants for the IDI program, the Assessment Branch determines a starting salary that is binding on the hiring organization.

This is the official procedure followed. It accounts for almost all direct recruitment and hiring of first-job professional economists and generalists. However, it accounts for the recruitment of barely a handful of experienced professionals. The bulk of these professionals are recruited and hired through the efforts of any of the line Branches. Frequently, the acts of recruitment, hiring, and assignment are performed through either the Foreign Service or the Civil Service divisions, in which case the Recruitment Branch is not involved.

#### Secretarial Personnel

The procedures for recruiting secretarial personnel are somewhat more formalized, because a candidate must pass a secretarial skills test before being invited to apply. Thus, the

recruitment process begins with an announcement at various Washington high schools and business schools and in local newspapers, stating that A.I.D. recruiters will be available to administer tests. These tests are graded and letters of invitation to apply for employment are sent to those who have made a passing score. This, in effect, is the first step of a two-step screening process. Upon receipt of a candidate's application, it is again screened for completeness and worthiness.

Applications of persons who successfully pass this second screening are deposited in a Secretarial Talent Bank where they are available for selection of applicants by any of the Branches or Offices of the Agency. It should be noted that part of the submission of an application is an indication of whether the applicant desires overseas or domestic service. A purpose of the second screening is to determine whether the candidate is qualified for the type of service requested.

Anticipating the need for secretaries appears to pose no problem in selection, since more vacancies exist than there are persons qualified to fill them. The problem is to find enough applicants. The Recruitment Branch's method, therefore, is to solicit as many applicants as time and size of staff permit.

While the Office of Personnel and Manpower maintains a specific unit to deal with recruitment--the Recruitment Branch of Manpower Development--not all of the Agency's recruitment activities are handled by it. Indeed, no single function of personnel management is participated in by more branches of A/PM. Eight of the 17 branches and offices interviewed, in fact, have some hand in the recruitment process. They either have total responsibility for a single category of candidate or they take partial



responsibility for the processing of recruited candidates. Thus, it can be recognized that the office and machinery formally established for recruiting are not often used by the Agency. In most instances the branch or office that requires an employee prefers to solicit and hire by means of its own abilities, time, and effort.

### Assignment

Assignment is the placement of any Civil Service or Foreign Service employee in a particular position. This function includes original and in-service placement, rotation, on-loan and detailed assignments, and leave without pay. For purposes of discussion, all of these categories are treated as components of the overall assignment process.

All of the Centralized Regional Branches use a common procedure for the assignment of technical and professional personnel. The Executive Assignment staff, which is responsible for the placement of candidates in vacant executive positions throughout the Agency, follows slightly different procedures because of the protocol and other specialized problems that are connected with the appointment and installation of executives. It might be noted that final approval of executive assignment is made by the White House, which is frequently the source of an executive appointment.

The assignment process for technical and professional personnel typically originates with a notification that a position is vacant in a Branch or mission. This notification takes the form of a job description and specification. The document used is a

# FUNCTIONAL FLOW SHEET

Fig. 1.8

RECRUITMENT  
 Overseas Resident  
 U.S. Citizen Hire  
 Consultants/Experts

- Branch Action
- | Functional Flow
- ▶ Flow Source/Destination

## AID/WASHINGTON PERSONNEL AND MANPOWER

FIELD

STAFF PPE FOREIGN SERVICE CIVIL SERVICE MANPOWER DEVELOPMENT BUREAU

EXECUTIVE ASSIGNMENTS  
 ADMINISTRATION  
 OPERATIONS SUPPORT  
 MANAGEMENT  
 POLICY PLANNING BRANCH  
 MANPOWER PLANNING BRANCH  
 SYSTEMS EVALUATION BRANCH  
 REGIONAL OPERATIONS BRANCH  
 OFFICE OF PUBLIC SAFETY  
 SPECIAL OPERATIONS BRANCH  
 EMPLOYING ORGANIZATION  
 STAFFING BRANCH  
 POSITION CLASS. & MGT. BRANCH  
 ASSESSMENT BRANCH  
 TRAINING BRANCH  
 EMPLOYEE/MGT. REL. BRANCH  
 RECRUITMENT BRANCH  
 MANAGEMENT DECISION  
 ADMINISTRATIVE  
 OTHERS

INDIVIDUAL

INITIATE REQUIREMENT

ADVERTISE

APPLY

SELECT: SCREEN

TEST

INTERVIEW

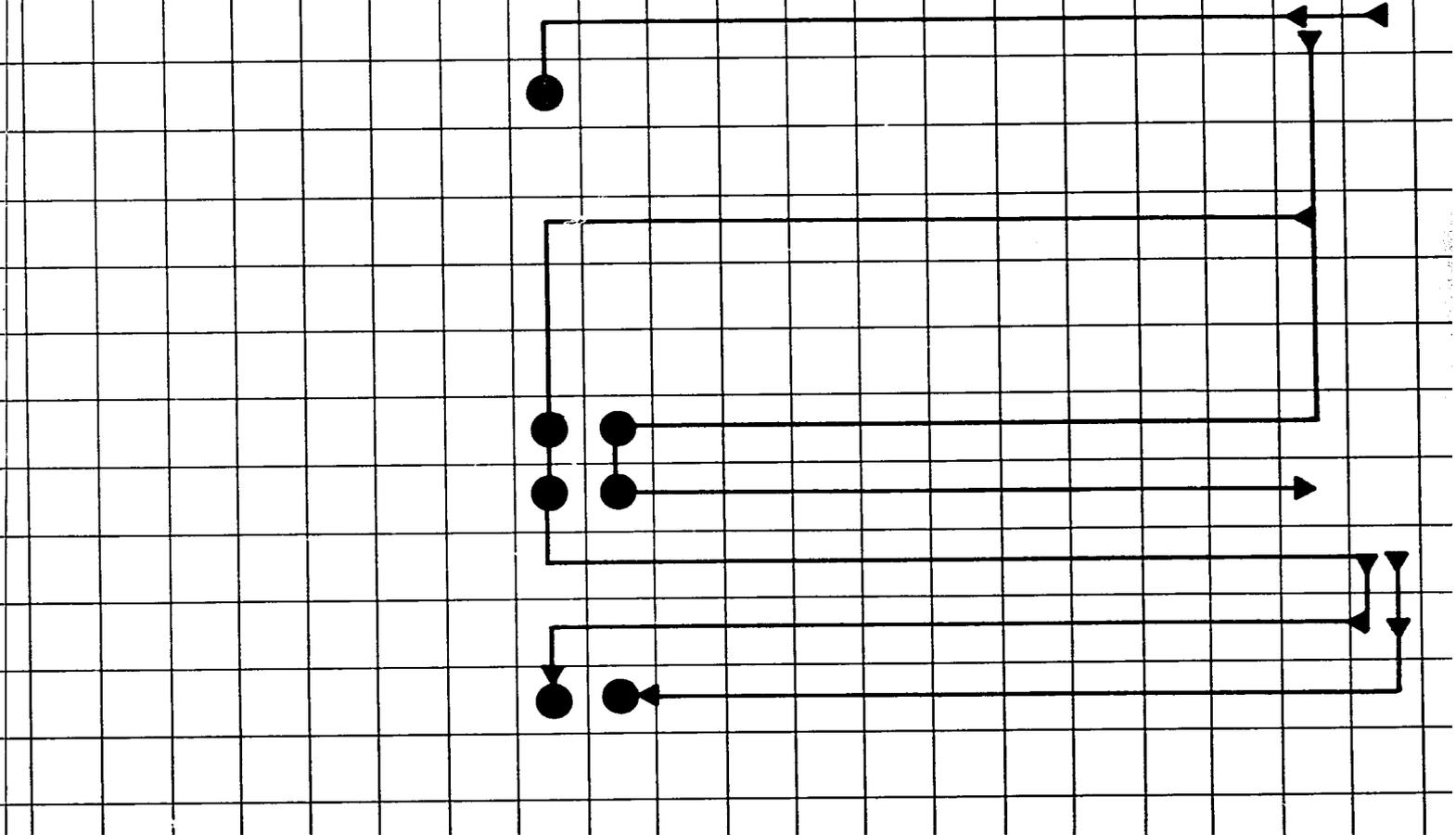
APPROVE/HIRE

IN-PROCESS (INITIATE RECORD)

EXAMINE (MEDICAL)

INVESTIGATE

ORIENTATION



Staffing Pattern Action Request (SPAR) and is submitted by the Bureau that has the vacancy.

The general procedures used to actually assign Foreign Service personnel are similar, regardless of the type or location of the job assignment. The missions submit a Completion of Assignment Report (COAR) for each in-service employee who is due for reassignment or rotation. The availability of Foreign Service personnel for assignment is formally made known through a Bureau Staffing Pattern list which is distributed to all Branches of A/PM. In many cases, Foreign Service personnel assignments or reassignments are determined through informal negotiations and contacts between mission personnel, in which case the affected missions submit a Request for Personnel Action (SF-52) with the name of the individual desired to fill a particular position vacancy. In such cases the primary function of the Centralized Regional Branches of A/PM is to process the paperwork (cut SF-50, travel orders, etc., and record actions in employee folders) to accommodate the change in assignments. In cases where new assignments for in-service employees have been agreed upon beforehand, the individual's name may not appear on the Bureau Staffing Pattern list, and due to the informal nature of many such assignment decisions, often the availability lists are neither accurate nor complete.

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In cases where a Foreign Service employee possesses hard-to-  
place job skills, a Placement Council is responsible for matching  
available personnel with known position openings. The Placement  
Council meets twice a month to accomplish this task, and is  
comprised of the chiefs or their designates from each Branch  
operation.

# FUNCTIONAL FLOW SHEET

Fig. 1.9

ASSIGNMENT  
 In-service Placement  
 On-Loan Personnel  
 Leave w/o Pay

● Branch Action  
 | Functional Flow  
 ▸ Flow Source/Destination

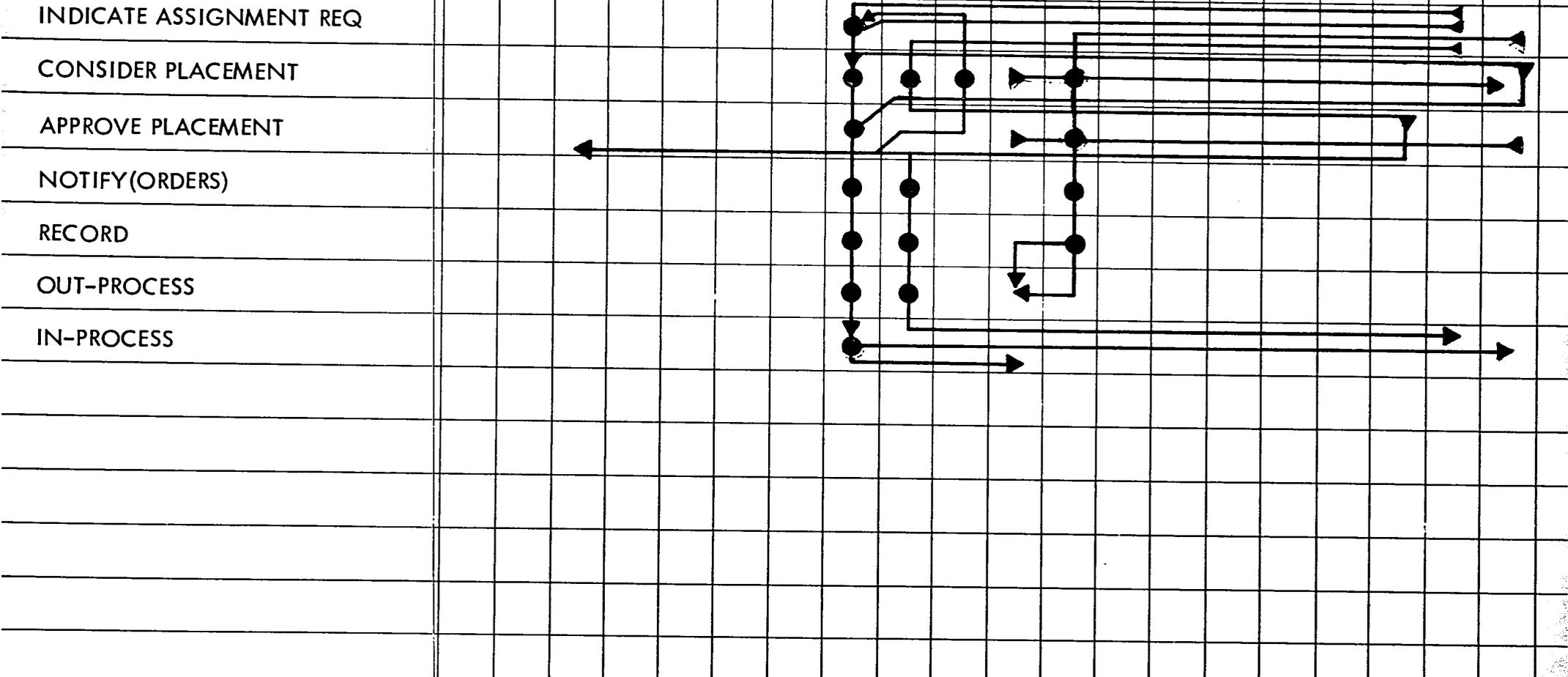
## AID/WASHINGTON PERSONNEL AND MANPOWER

FIELD

	STAFF			PPE			FOREIGN SERVICE			CIVIL SERVICE		MANPOWER DEVELOPMENT			BUREAU			
	EXECUTIVE ASSIGNMENTS	ADMINISTRATION		OPERATIONS SUPPORT	MANAGEMENT	POLICY PLANNING BRANCH	MANPOWER PLANNING BRANCH	SYSTEMS EVALUATION BRANCH		REGIONAL OPERATIONS BRANCH	OFFICE OF PUBLIC SAFETY	SPECIAL OPERATIONS BRANCH	EMPLOYING ORGANIZATION	STAFFING BRANCH	POSITION CLASS. & MGT. BRANCH	ASSESSMENT BRANCH	TRAINING BRANCH	EMPLOYEE/MGT. REL. BRANCH

OTHERS

INDIVIDUAL



# FUNCTIONAL FLOW SHEET

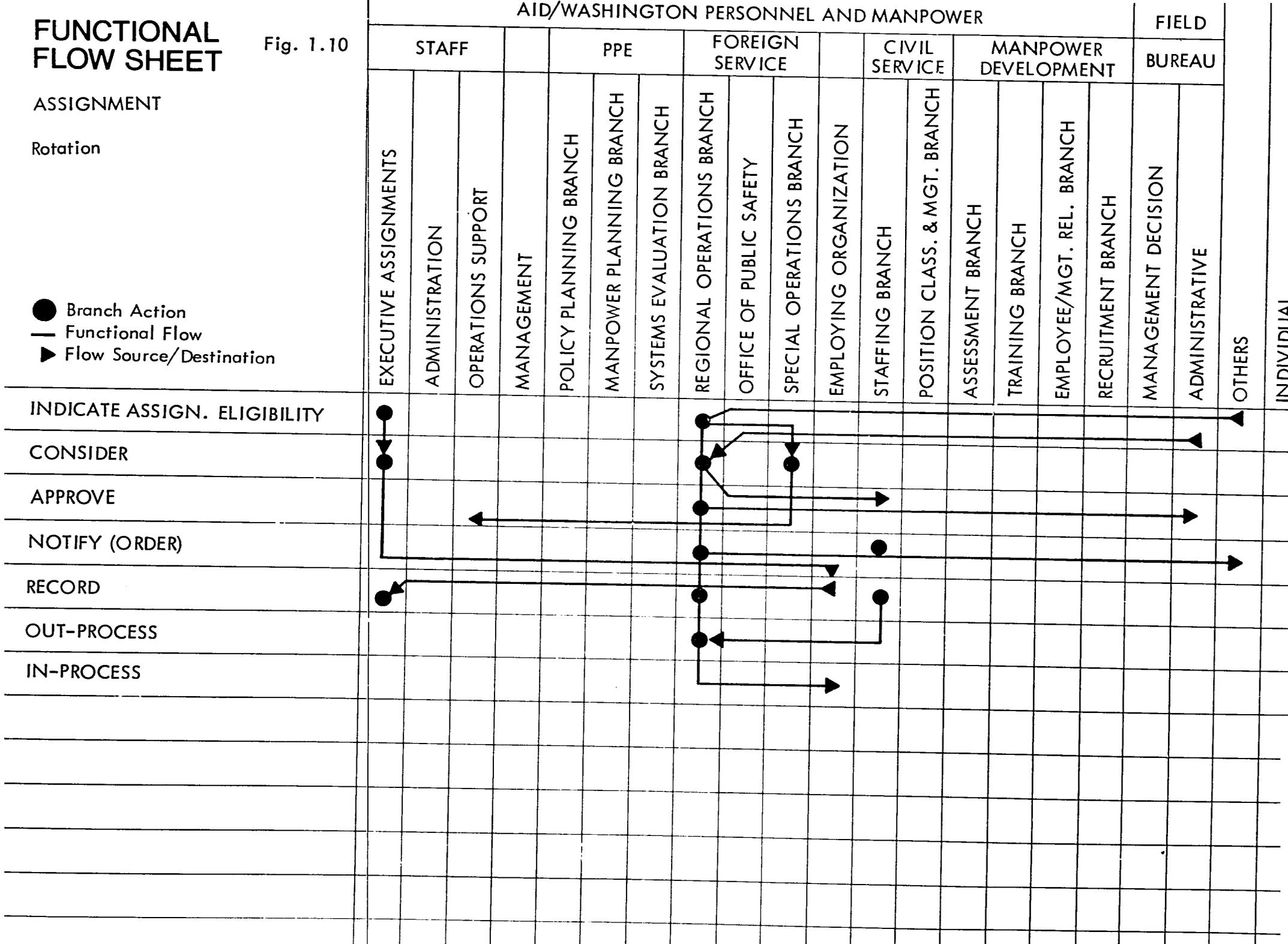
Fig. 1.10

## AID/WASHINGTON PERSONNEL AND MANPOWER

ASSIGNMENT

Rotation

- Branch Action
- Functional Flow
- ▶ Flow Source/Destination



Once an assignment decision has been made affecting technical and professional personnel, it must be approved by an administrator in the receiving Bureau. When assignments of Civil Service Personnel are made to Government Agencies outside of A.I.D. (i.e., on-loan, detailed, or leave without pay) the Staffing Branch is responsible for reviewing such assignments and coordinating the action with the receiving organization.

Official notification of an assignment is the responsibility of the Branch and is achieved through the prescribed distribution of the SF-50 to all concerned parties, such as the mission, pay system, and employee.

#### Compensation

This term refers to the act which authorizes an employee to receive pay or benefits as a consequence of his employment status. There are four types of compensation: salary, awards, leave with pay, and insured benefits. There are two types of salary compensation--individual and position.

#### Salary (Individual)

Included within the actions associated with individual salary is the increase given without grade promotion. This term also encompasses the determination of pay to be given a newly hired individual based upon previous government service, veteran status, etc. The salary for newly hired persons is established in A.I.D. either by the Foreign Service Division's Regional Branches (for Foreign Service personnel), or by the Civil Service Division's Staffing Branch (for Civil Service Personnel).

A significant difference exists in the way the two Branches set initial salary, a result of the divergence of the concepts used. Civil Service abides by the "rank in the job" concept--that is, that compensation should be paid according to the difficulty of the job. Foreign Service adheres to the "rank in the man" concept--that is, that compensation should be set according to the individual's worth independent of the job to which he may be assigned. Thus, the considerations for the Branches concerned may be quite different.

In the case of Civil Service, the job must always be assessed before the individual's salary. This is the apparent basis for the allegation that Civil Service's Position Classification and Management Branch is a stumbling block to timely filling of vacancies. This would also seem to constitute an irreconcilable obstacle to placing Foreign Service personnel into Civil Service positions during rotational assignments. It is, however, not without possible solution; Civil Service's Staffing Branch advises the appropriate Foreign Service Branch of the rank of the job and attempts to have the Foreign Service Branch place a person with commensurate rank in it. The decision authority in such cases lies with the Foreign Service Branch.

Initial individual compensation is established for experts and consultants by the same branches as for other categories, but in the case of the Civil Service personnel there is no reference to grade and step--only a daily rate based upon the individual's qualifications. An expert's or consultant's recommended pay must be within 10 percent of his current salary and must not exceed \$100 a day. Special dispensation for salaries exceeding current salary by more than 10 percent may be granted by the appropriate Personnel Branch Chief.

Periodic raises within grade are automatic if an individual performs in acceptable fashion. The Civil Service Staffing Branch or the appropriate Regional Operations Branch takes the required administrative actions based on the supervisor's certification that performance warrants the increase. Although the Personnel Branch Chief's signature is required to authorize the raise, it has no substantive value since the supervisor's signature is the actual governing criterion. For the purpose of this report this increase is not considered promotion but rather as an automatic salary reward for seniority coupled with satisfactory performance.

#### Salary (Position)

Since salary is limited by position only in Civil Service positions, the establishment of position salary is not really germane to Foreign Service. Positions in the Foreign Service are graded by missions and approved by Bureaus through the SPAR approval process, but the rank of the position sets no real limit upon the salary which may be paid to an individual since the rank-in-the-man concept applies. However, in the Civil Service, each job must be classified as to its dollar worth. This is done by the Position Classification and Management Branch's assigning to each job a Civil Service grade authorization. This in fact establishes a salary range within which an incumbent will ~~be paid according to his individual Civil Service seniority and~~ qualifications. Persons may not be paid greater than the upper salary limits for incumbency without reclassification of the position by the position classifiers. Positions are examined by professional classifiers each time they become vacant to confirm the current validity of their classifications.



### Leave With Pay (Excluding vacation)

The only cases of leave with pay which could be found were those of individuals being sent to school. This was not actually leave but rather assignment and is covered under training.

### Vacation

This benefit is handled at the local level wherever an individual is assigned. The only personnel action at the A/PM level is to record the leave as part of the individual's file.

### Use of Insured Benefits

This applies principally to cases of injury or retirement disability. The administrative actions are handled by the Employee-Management Relations Branch, Manpower Development Division, in concert with the organization the subject individual is assigned to. The Employee-Management Relations Branch assures the completion of Bureau of Compensation forms for immediate or possibly future use. The Branch also assists the individual in preparing necessary disability retirement application forms to submit to his employing organization.

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### Awards

There was no evidence gathered that individuals are given monetary compensation as an award.

# FUNCTIONAL FLOW SHEET

Fig. 1.12

COMPENSATION

Leave With Pay

- Branch Action
- Functional Flow
- ▶ Flow Source/Destination

## AID/WASHINGTON PERSONNEL AND MANPOWER

FIELD

STAFF

PPE

FOREIGN SERVICE

CIVIL SERVICE

MANPOWER DEVELOPMENT

BUREAU

EXECUTIVE ASSIGNMENTS

ADMINISTRATION

OPERATIONS SUPPORT

MANAGEMENT

POLICY PLANNING BRANCH

MANPOWER PLANNING BRANCH

SYSTEMS EVALUATION BRANCH

REGIONAL OPERATIONS BRANCH

OFFICE OF PUBLIC SAFETY

SPECIAL OPERATIONS BRANCH

EMPLOYING ORGANIZATION

STAFFING BRANCH

POSITION CLASS. & MGT. BRANCH

ASSESSMENT BRANCH

TRAINING BRANCH

EMPLOYEE/MGT. REL. BRANCH

RECRUITMENT BRANCH

MANAGEMENT DECISION

ADMINISTRATIVE

OTHERS

INDIVIDUAL

REQUEST/NOTIFY

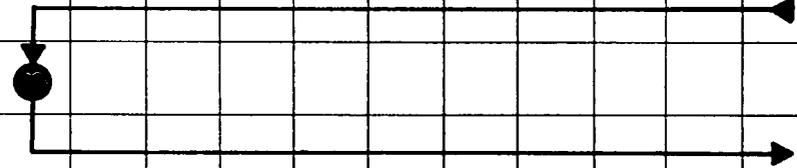
REVIEW/APPROVE

NOTIFY (ORDERS)

NOTIFY PAY SYSTEM

RECORD

OUT-PROCESS



# FUNCTIONAL FLOW SHEET

Fig. 1.13

## COMPENSATION

Vacation  
Use of Insured Benefits  
(Disability Retirement & Injury)

- Branch Action
- Functional Flow
- ▶ Flow Source/Destination

### AID/WASHINGTON PERSONNEL AND MANPOWER

### FIELD

STAFF

PPE

FOREIGN SERVICE

CIVIL SERVICE

MANPOWER DEVELOPMENT

BUREAU

EXECUTIVE ASSIGNMENTS

ADMINISTRATION

OPERATIONS SUPPORT

MANAGEMENT

POLICY PLANNING BRANCH

MANPOWER PLANNING BRANCH

SYSTEMS EVALUATION BRANCH

REGIONAL OPERATIONS BRANCH

OFFICE OF PUBLIC SAFETY

SPECIAL OPERATIONS BRANCH

EMPLOYING ORGANIZATION

STAFFING BRANCH

POSITION CLASS. & MGT. BRANCH

ASSESSMENT BRANCH

TRAINING BRANCH

EMPLOYEE/MGT. REL. BRANCH

RECRUITMENT BRANCH

MANAGEMENT DECISION

ADMINISTRATIVE

OTHERS

INDIVIDUAL

REQUEST/NOTIFY

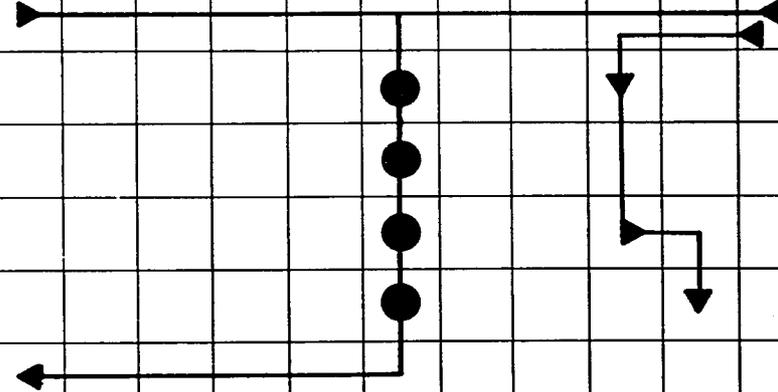
REVIEW/APPROVE/CERTIFY

FURNISH SUPPORTING DOCUMENT

NOTIFY INTERESTED PARTIES

NOTIFY PAY SYSTEM

RECORD



# FUNCTIONAL FLOW SHEET

Fig. 1.14

COMPENSATION  
Awards

- Branch Action
- Functional Flow
- ▶ Flow Source/Destination

## AID/WASHINGTON PERSONNEL AND MANPOWER

## FIELD

	EXECUTIVE ASSIGNMENTS	STAFF		MANAGEMENT	PPE			FOREIGN SERVICE			CIVIL SERVICE		MANPOWER DEVELOPMENT			BUREAU		OTHERS	INDIVIDUAL
		ADMINISTRATION	OPERATIONS SUPPORT		POLICY PLANNING BRANCH	MANPOWER PLANNING BRANCH	SYSTEMS EVALUATION BRANCH	REGIONAL OPERATIONS BRANCH	OFFICE OF PUBLIC SAFETY	SPECIAL OPERATIONS BRANCH	EMPLOYING ORGANIZATION	STAFFING BRANCH	POSITION CLASS. & MGT. BRANCH	ASSESSMENT BRANCH	TRAINING BRANCH	EMPLOYEE/MGT. REL. BRANCH	RECRUITMENT BRANCH		
NOMINATE																			
REVIEW/APPROVE																			
PREPARE DOCUMENTS																			
PRESENT/NOTIFY																			
NOTIFY PAY SYSTEM																			
RECORD																			



## Training

Training is any formal educational activity that enables an employee to become more effective in his occupation. It is considered an integral part of an employee's career. The authority and encouragement of this career development is the Federal Employees' Training Act.

The Training Branch, in A/PM's Manpower Development Division, exists to design and control educational activities for the Agency. Other Branches and Offices have a hand in processing training activities, but only the Assessment Branch of Manpower Development is a direct participant in the program as it relates to the entire Agency.

Although it may take many forms, training falls into two basic and distinct categories--orientation and career development. This function is, therefore, described under those headings:

### Orientation

Every new A.I.D. employee is expected to receive an orientation course as part of his in-processing activities. It is the responsibility of the employee's assigned Branch or Office to arrange for his attendance. This is accomplished through an appointment-type form, which alerts both the employee and the Training Branch. The Training Branch schedules classes according to information contained on the appointment form and knowledge gained from weekly Entrance On Duty lists. One feature of the procedure followed to arrange for and evidence completion of attendance at an orientation course is its informality. Little in the way of paperwork is accomplished; and as a result, not all employees receive this basic orientation.

# FUNCTIONAL FLOW SHEET

Fig. 1.15

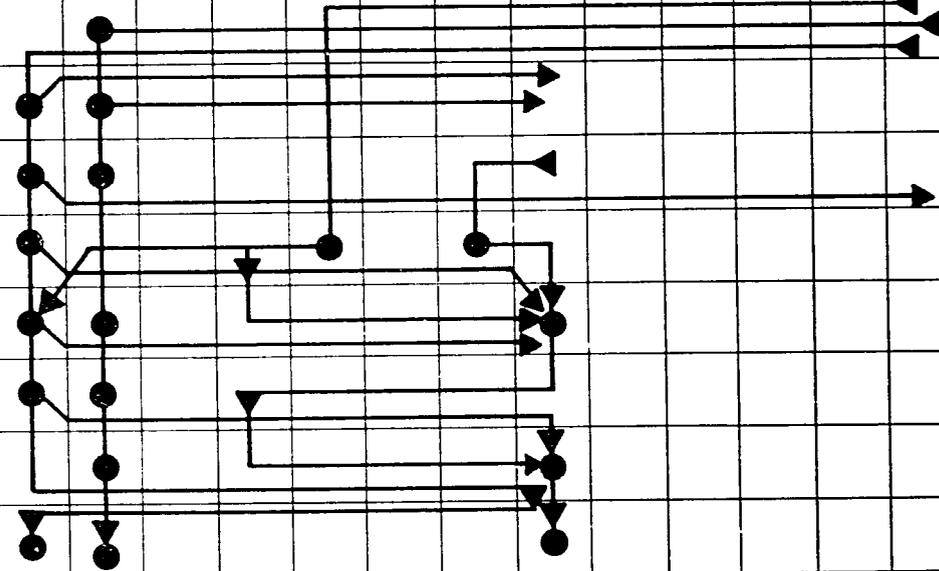
## TRAINING

- Branch Action
- Functional Flow
- ▶ Flow Source/Destination

### AID/WASHINGTON PERSONNEL AND MANPOWER

### FIELD

	STAFF		PPE				FOREIGN SERVICE			CIVIL SERVICE		MANPOWER DEVELOPMENT			BUREAU		OTHERS	INDIVIDUAL		
	EXECUTIVE ASSIGNMENTS	ADMINISTRATION	OPERATIONS SUPPORT	MANAGEMENT	POLICY PLANNING BRANCH	MANPOWER PLANNING BRANCH	SYSTEMS EVALUATION BRANCH	REGIONAL OPERATIONS BRANCH	OFFICE OF PUBLIC SAFETY	SPECIAL OPERATIONS BRANCH	EMPLOYING ORGANIZATION	STAFFING BRANCH	POSITION CLASS. & MGT. BRANCH	ASSESSMENT BRANCH	TRAINING BRANCH	EMPLOYEE/MGT. REL. BRANCH	RECRUITMENT BRANCH	MANAGEMENT DECISION	ADMINISTRATIVE	
INDICATE NEED								●	●	●	●	●	●	●	●	●	●	●	●	●
SEEK CANDIDATES								●	●	●	●	●	●	●	●	●	●	●	●	●
PROVIDE CANDIDATE QUAL.								●	●	●	●	●	●	●	●	●	●	●	●	●
REVIEW/RECOMMEND								●	●	●	●	●	●	●	●	●	●	●	●	●
APPROVE & NOTIFY								●	●	●	●	●	●	●	●	●	●	●	●	●
OUT-PROCESS								●	●	●	●	●	●	●	●	●	●	●	●	●
MONITOR								●	●	●	●	●	●	●	●	●	●	●	●	●
RECORD								●	●	●	●	●	●	●	●	●	●	●	●	●



A second, and more important, type of orientation is given to all employees who are scheduled for overseas assignment. This pre-departure orientation is offered at two locations: Washington and the University of Hawaii. The latter site is used only for those employees who are departing for Viet-Nam, East Asia, and the Near East-South Asia. In either case, an employee's assignment to pre-departure training is initiated by his parent organization through an informal memo or oral communication. No evidence that the employee has completed his orientation is created. It is assumed that once sent to the training session he has completed the course.

#### Career Development

Any education that pertains to career development is encouraged by the Agency to such an extent that in certain instances leave may be granted and expenses paid. Some courses, in fact, are taught by employees attached to the Training Branch. These courses are in the secretarial and clerical field, and all secretaries and clerks are encouraged to attend. The procedure is initiated by the individual via an application for training (Form 4-299), which is routed through the immediate supervisor to the Training Branch. A successful applicant is notified of approval and dates for attendance.

Additional courses the Agency will approve and finance--those not offered at A.I.D. facilities--fall into a number of categories. Such educational opportunities as correspondence courses, seminars, one-year attendance at a college, and specific language training are sponsored by A.I.D. In every instance, however, the basic application for training (Form 4-299) is completed by the applicant and forwarded to the Training Branch

for approval and the making of arrangements. Those applying for language training must, in addition, complete and forward a Form 4-470.

Before approval is given by the Training Branch for any career development education course, except secretarial, an application is routed to the Assessment Branch for an evaluation of the applicant's qualifications to take the requested course. Assessment Branch's evaluation is in the form of an approval or a disapproval, which the Training Branch by practice follows in processing the application.

Once an applicant is in attendance, reports in the form of grades and evaluations by the institution attended are gathered by the Training Branch as evidence of progress and forwarded to the trainee's parent organization.

No formal procedure is followed to reinstate a returnee from college or special training except as may be necessary to effect a promotion, evaluation, or reassignment that is appropriate to the training received.

A.I.D.'s administration of training, while evidently effective as far as course content and variety is concerned, appears to be rather haphazard. The lack of control over who attends the basic orientation program is an example. No written evidence of attendance is placed in an individual's folder. Neither is there any definite procedure for processing a trainee through and from a non-agency institution other than pay, allowances, and travel.

Most important, though, no provision is made within the Agency for planning the kinds and amounts of future training.

## Evaluation

Evaluation refers to the periodic appraisal of an employee's job performance by his direct supervisor or mission director. All Civil Service and Foreign Service personnel are evaluated annually. The actual performance evaluation is conducted by the employee's immediate supervisor and recorded on a Development Appraisal Report (DAR) and a Personnel Evaluation Report (PER). The PER is used to evaluate the employee's performance in light of his major job duties and responsibilities. The DAR is used to evaluate an employee's capacity for growth and development and for service at higher levels.

After a supervisor completes an evaluation, his supervisor reviews it. The employee being evaluated is given an opportunity to review the PER and he signs it before it is submitted to the Central Regional Branch for review and recording. The employee's signature on the PER does not constitute the employee's agreement with the supervisor's rating, only that the rating has been discussed with him during an interview with his supervisor. If the employee disagrees with the rating he receives, he may write a letter stating the reasons for his disagreement. This letter accompanies the PER when it is submitted to the Centralized Regional Branch.

Each PER is reviewed by a Personnel officer in the Central Regional Branch, and any discrepancies, omissions, or ambiguities on the evaluation report are cleared up before a copy of the report is placed in the employee's file. As a general rule, any employee evaluation that is exceedingly high or considerably below standards is brought to the attention of the director or deputy director of the Bureau in which the employee is stationed.

# FUNCTIONAL FLOW SHEET

Fig. 1.16

## EVALUATION

- Branch Action
- Functional Flow
- ▶ Flow Source/Destination

### AID/WASHINGTON PERSONNEL AND MANPOWER

### FIELD

#### STAFF

#### PPE

#### FOREIGN SERVICE

#### CIVIL SERVICE

#### MANPOWER DEVELOPMENT

#### BUREAU

EXECUTIVE ASSIGNMENTS

ADMINISTRATION

OPERATIONS SUPPORT

MANAGEMENT

POLICY PLANNING BRANCH

MANPOWER PLANNING BRANCH

SYSTEMS EVALUATION BRANCH

REGIONAL OPERATIONS BRANCH

OFFICE OF PUBLIC SAFETY

SPECIAL OPERATIONS BRANCH

EMPLOYING ORGANIZATION

STAFFING BRANCH

POSITION CLASS. & MGT. BRANCH

ASSESSMENT BRANCH

TRAINING BRANCH

EMPLOYEE/MGT. REL. BRANCH

RECRUITMENT BRANCH

MANAGEMENT DECISION

ADMINISTRATIVE

OTHERS

INDIVIDUAL

INDICATE NEED/DESIRE

PREPARE BASIC FORM

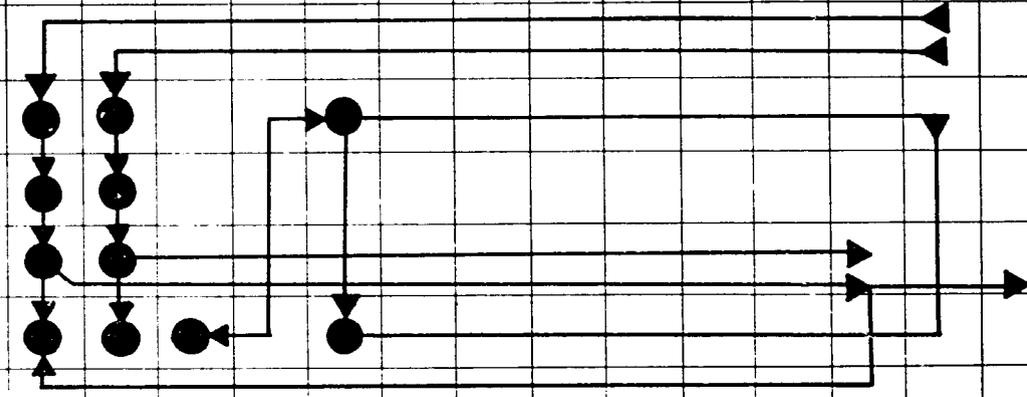
COMPLETE FORM

REVIEW

ENDORSE/ APPROVE

NOTIFY (COUNSEL)

RECORD



The DAR is not usually seen or reviewed by the employee himself. Both the DAR and PER are important documents that are used by the evaluation panel in making its recommendations for promotion, training, conversions, transfer, or other personnel action.

Each Central Regional Branch has the responsibility for recording and filing the employee's evaluation report (DAR's and PER's) in the employee's record file. It is reported by staff members of the Regional Offices that the workload connected with this activity is heaviest during the late months of the calendar year, because annual employee evaluations must be submitted by each mission before the last day of the calendar year.

#### Promotion

Promotion refers to a change in status from one grade to a higher grade. A "step" or in-grade increase refers to an increase in compensation within a given grade which may be given annually.

Foreign Service secretaries in grades FSS 10 and FSS 9 receive in-grade promotions annually upon the recommendation of their mission. In such cases, the director of the Central Regional Branch approves the promotion. Once approval is given, a personnel officer backstop and a personnel assistant have the responsibility for routine recording and filing procedures in accordance with MO 426.2.

Junior Officer Trainees are promoted annually until they reach grade FSR-5. Recommendations for promotion are submitted by the mission and are based on the performance evaluation reports

# FUNCTIONAL FLOW SHEET

Fig.1.17

PROMOTION  
GRADE

- Branch Action
- Functional Flow
- ▶ Flow Source/Destination

## AID/WASHINGTON PERSONNEL AND MANPOWER

FIELD

STAFF

PPE

FOREIGN  
SERVICE

CIVIL  
SERVICE

MANPOWER  
DEVELOPMENT

BUREAU

EXECUTIVE ASSIGNMENTS

ADMINISTRATION

OPERATIONS SUPPORT

MANAGEMENT

POLICY PLANNING BRANCH

MANPOWER PLANNING BRANCH

SYSTEMS EVALUATION BRANCH

REGIONAL OPERATIONS BRANCH

OFFICE OF PUBLIC SAFETY

SPECIAL OPERATIONS BRANCH

EMPLOYING ORGANIZATION

STAFFING BRANCH

POSITION CLASS. & MGT. BRANCH

ASSESSMENT BRANCH

TRAINING BRANCH

EMPLOYEE/MGT. REL. BRANCH

RECRUITMENT BRANCH

MANAGEMENT DECISION

ADMINISTRATIVE

OTHERS

INDIVIDUAL

GRADE RESPONSIBILITY

ELIGIBILITY/DESIRE

VACANCY/AUTHORITY

ANNOUNCE VACANCY

PROVIDE QUAL. CANDIDATE

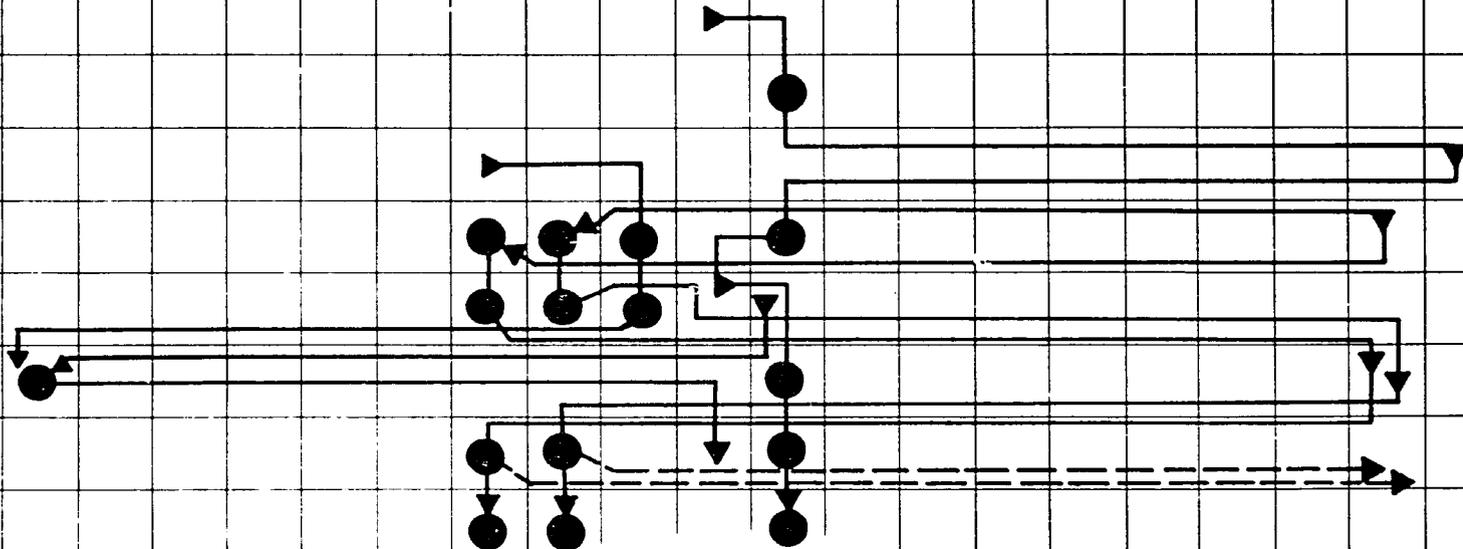
ASSESS QUAL./MERIT

RECOMEND

APPROVE

NOTIFY (ORDERS)

RECORD



of the trainee's supervisor. The Regional Branch director has authority to approve such promotions after reviewing the mission's recommendations and any accompanying documents that relate to the trainee's progress in job training. Once the director approves the promotion, a Personnel officer is responsible for the actions and records necessary to effect the promotion as soon as possible.

The promotion process for in-service technical and professional personnel involves the review and recommendation of an evaluation panel. This panel convenes annually and is made up of three members. Usually at least one member of each evaluation panel is from outside of the Agency. All Foreign Service personnel in FSR Grades 6 through 1 are reviewed by an evaluation panel, except for temporary promotions which can be authorized by the mission. In Grades 3 through 1, evaluation panels review the qualifications of all eligible candidates across the board regardless of their occupational field. In Grades below FSR 3, candidates are reviewed by occupational group.

Once the evaluation panel has reviewed all eligible candidates, it determines the rank order of the candidates and recommends those it believes should be promoted. The names of Foreign Service personnel recommended for promotion by the panel are submitted to the respective Regional Branch offices for review and approval. This is done by the responsible Personnel officer and the Branch director. In all cases, promotions are approved by an official (usually the director or his designate) of the individual's employing organization. Routine recording and notification procedures for promotions are the responsibility of a Personnel officer and Personnel assistant in the Personnel Branch of the Bureau to which the employee is attached.

The promotional system for Civil Service personnel is essentially based on a merit promotion plan, in which all

individuals are given the opportunity to apply for announced position vacancies. The Staffing Branch reviews the qualifications of candidates and prepares a list for the consideration of the office in which the vacancy occurs. After a candidate has been selected, the Chief of the Staffing Branch approves the promotion. The Staffing Branch is then responsible for the necessary action and documentation to effect the promotion as soon as possible.

### Termination

Termination procedures may be initiated, of course, by either the individual or his parent Branch. And except for a Reduction in Force action, the procedural steps followed are confined within the parent organization.

In all cases of termination, Form 50 is completed and serves as the basic action-stimulating document. Resignation and retirement for medical reasons are both effected through a completed Form 2801. Termination due to death requires that the Employee-Management Relations Branch be alerted so that survivors may be helped to make death benefit claims.

The net result of any termination action is to remove the employee from the payroll. Thus, one copy of the signed Form 50 is routed to the pay system. All other actions are accomplished internally if the termination is a voluntary or unchallenged non-voluntary termination.

In certain instances, though, the terminated employee may be in a position to appeal his dismissal, in which case information checks may be initiated and investigation conducted. In all

# FUNCTIONAL FLOW SHEET

Fig.1.18

## AID/WASHINGTON PERSONNEL AND MANPOWER

## FIELD

TERMINATION

RIF  
 Voluntary  
 Not Voluntary  
 Health

● Branch Action  
 — Functional Flow  
 ▶ Flow Source/Destination

	STAFF		PPE			FOREIGN SERVICE			CIVIL SERVICE		MANPOWER DEVELOPMENT			FIELD BUREAU					
	EXECUTIVE ASSIGNMENTS	ADMINISTRATION	OPERATIONS SUPPORT	MANAGEMENT	POLICY PLANNING BRANCH	MANPOWER PLANNING BRANCH	SYSTEMS EVALUATION BRANCH	REGIONAL OPERATIONS BRANCH	OFFICE OF PUBLIC SAFETY	SPECIAL OPERATIONS BRANCH	EMPLOYING ORGANIZATION	STAFFING BRANCH	POSITION CLASS. & MGT. BRANCH	ASSESSMENT BRANCH	TRAINING BRANCH	EMPLOYEE/MGT. REL. BRANCH	RECRUITMENT BRANCH	MANAGEMENT DECISION	ADMINISTRATIVE

REQUIREMENT/REQUEST

PREPARE ACTION

COORDINATE W/GOVT. OUTPLACE

REVIEW/RECOMEND

APPROVE

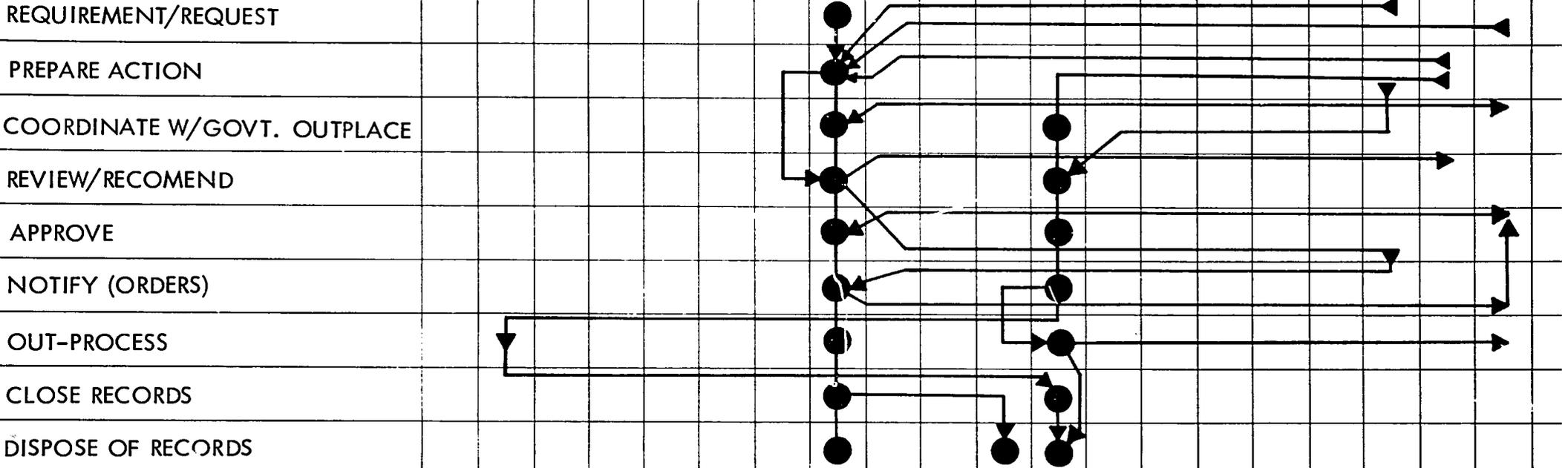
NOTIFY (ORDERS)

OUT-PROCESS

CLOSE RECORDS

DISPOSE OF RECORDS

INDIVIDUAL



instances, the effect is to place the burden of work on the parent Branch in preparation for a presentation of the findings and recommendations to the Director of Personnel and Manpower for decision and final action.

A Reduction in Force varies from these procedures only according to the process of selecting who is to be terminated. Civil Service reductions are administered by the Staffing Branch. Foreign Service reductions are administered by the individual Bureaus.

Once a termination is accomplished, for whatever cause, the individual's records are assembled for transfer to permanent storage facilities maintained in St. Louis, Missouri.

Of all the personnel functions engaged in by the Agency, termination is, in most instances, the least elaborate in terms of numbers of actions and participants. RIF actions, of course, require a large number of man-hours of effort, but the procedures for direct processing are few, simple, and uncluttered once a course of action is determined by management.

Deaths, also, cause a great deal of work for the Employee-Management Relations Branch, but here the activity is counseling with the survivors and the functional flow of actions represents only a minor part of the processing effort.

### Personal Services

This Personnel function may take many forms in the functional steps to accomplish an action. Because of this, and the fact that

# FUNCTIONAL FLOW SHEET

Fig.1.19

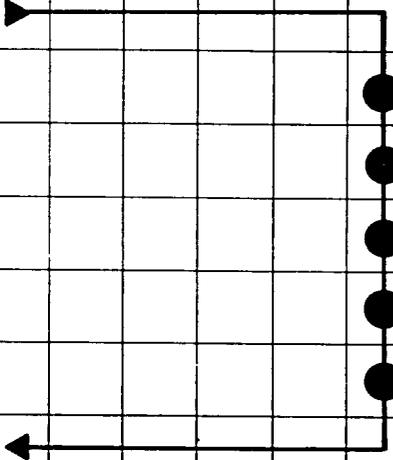
AID/WASHINGTON PERSONNEL AND MANPOWER

FIELD

TERMINATION  
Death

- Branch Action
- Functional Flow
- ▶ Flow Source/Destination

	AID/WASHINGTON PERSONNEL AND MANPOWER														FIELD							
	STAFF			PPE				FOREIGN SERVICE			CIVIL SERVICE		MANPOWER DEVELOPMENT		BUREAU							
	EXECUTIVE ASSIGNMENTS	ADMINISTRATION	OPERATIONS SUPPORT	MANAGEMENT	POLICY PLANNING BRANCH	MANPOWER PLANNING BRANCH	SYSTEMS EVALUATION BRANCH	REGIONAL OPERATIONS BRANCH	OFFICE OF PUBLIC SAFETY	SPECIAL OPERATIONS BRANCH	EMPLOYING ORGANIZATION	STAFFING BRANCH	POSITION CLASS. & MGT. BRANCH	ASSESSMENT BRANCH	TRAINING BRANCH	EMPLOYEE/MGT. REL. BRANCH	RECRUITMENT BRANCH	MANAGEMENT DECISION	ADMINISTRATIVE	OTHERS	INDIVIDUAL	
INITIATE/RECIEVE DEATH NOTICE																						
RECORD																						
PREPARE PERSONNEL DOCUMENTS																						
NOTIFY ADMINISTRATION OFFICES																						
NOTIFY PAY SYSTEM																						
PROVIDE SURVIVOR SERVICES																						
CLOSE RECORDS																						
DISPOSE OF RECORDS																						



the routine varies so greatly with each individual and his circumstances, we did not try to chart the many services and their paths. This course was not based on any lack of appreciation for the importance of personal services; it was taken to keep attention focused on the main track of activity flows as they involve decision, action, and coordination.

The majority of the personal services (for example: housing, dependent schooling, health services and the like) are handled by the mission overseas. They are the individual's own responsibility when he is in the United States. Grievances cannot be tracked except with reference to the subject of the grievance. The flow is thus different for each subject and charting it would not be of sufficient benefit at this time. Such matters as these are most personal and sensitive and lend themselves to be handled best on a case-by-case basis.

The other activities which could be placed in the personal services category are limited to assistance given an individual during in- or out-processing and are shown under that title in appropriate functional flows.

The in- and out-processing, while not major Personnel functions per se, are of significance, since they consume considerable amounts of clerical and administrative time. Examples of this are making travel arrangements, and counseling a person concerning his baggage and household goods weight limitations.

Later analyses in Phase II will be concerned with the details of providing personal services as such are appropriate.

## Production

This function consists of activities which assist management in controlling the Personnel operation through the production, on a continuing basis, of plans and proposals.

Specific activities under this heading are:

Manpower Planning

Program Planning and Evaluation

Legislative Proposals

### Manpower Planning

Interviews in this area indicate that Manpower Planning is conducted through analysis of existing data, and projections prepared from the analysis.

The major sources of data are grade/category position requests from missions, and termination reports. These are used by the Manpower Planning Branch to make projections concerning the number of personnel by grade/category forecast for 1, 2 and 3 years into the future.

### Program Planning and Evaluation

The manifestation of Program Planning consists entirely of Manual Orders (M.O.). The M.O. production process includes initiation, preparation, approval, issuance and maintenance. Several drafts of an M.O. are usually made before publication. An M.O. contains a statement of policy, legal reference, and varying degrees of implementation suggestions. It is interesting that of 4½ persons engaged in M.O. activity, 1½ are engaged in the task of revising existing Manual Orders.

# FUNCTIONAL FLOW SHEET

Fig. 1.20

## AID/WASHINGTON PERSONNEL AND MANPOWER

FIELD

STAFF

PPE

FOREIGN SERVICE

CIVIL SERVICE

MANPOWER DEVELOPMENT

BUREAU

PRODUCTION

Manpower Planning  
Program Planning  
Legislative Proposals

Branch Action  
— Functional Flow  
▶ Flow Source/Destination

EXECUTIVE ASSIGNMENTS

ADMINISTRATION

OPERATIONS SUPPORT

MANAGEMENT

POLICY PLANNING BRANCH

MANPOWER PLANNING BRANCH

SYSTEMS EVALUATION BRANCH

REGIONAL OPERATIONS BRANCH

OFFICE OF PUBLIC SAFETY

SPECIAL OPERATIONS BRANCH

EMPLOYING ORGANIZATION

STAFFING BRANCH

POSITION CLASS. & MGT. BRANCH

ASSESSMENT BRANCH

TRAINING BRANCH

EMPLOYEE/MGT. REL. BRANCH

RECRUITMENT BRANCH

MANAGEMENT DECISION

ADMINISTRATIVE

OTHERS

INDIVIDUAL

REQUIREMENT

REPORT PREPARATION

USE

SECURE APPROVAL

DISTRIBUTE

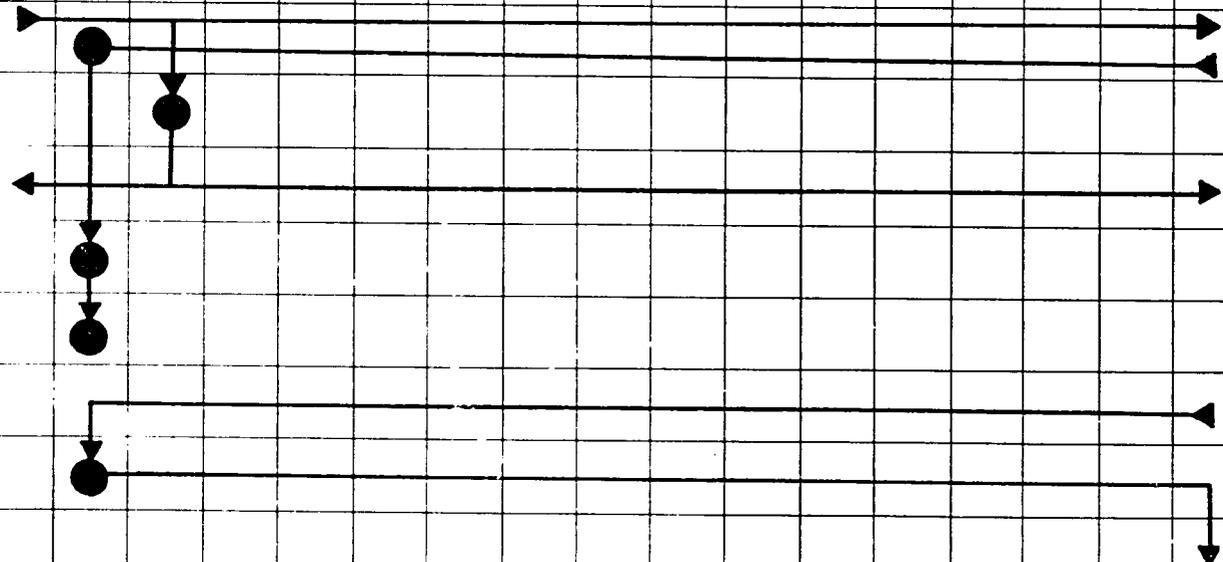
INITIATE

PREPARE

REVIEW

APPROVE

DELIVER



### Legislative Proposals

This activity covers the preparation of proposals relating to personnel programs or problems to be submitted to Congress for consideration. It also covers the activity necessary to support the proposal. This latter activity involves preparation of briefings and gathering of supporting material for hearings.

Since the Bureau of the Budget makes a once-a-year request for proposals, the cycle of work is seasonal and the number of proposals varies from year to year.

### Special Projects

This function covers activities that require research, study, and analysis of a particular problem relating to operations of the Personnel System. Typically the results of a Special Project are presented in written form.

A large subject area is covered here and since many subjects will be nonrecurring, a typical set is difficult to choose. A list of recent special projects are:

- Contingency Plans
- Effects of RIF
- Reply to FSA Proposal
- Productivity Comparisons
- Interim System

Included in this function are all the activities of the Systems and Evaluation Branch. This has been done because the approach used by that Branch fits the definition of special projects.



Special Projects are characterized by their special handling. A project is staffed from available people who proceed to perform the designated work. Guidelines and historical precedent are nearly always absent. No mechanism is set up to distribute the results to all interested parties, nor is there any evident requirement for follow-up action except in designated special cases.

This function embraces over 20 people's full time attention. Since each project requires start-up and shutdown activities, which are largely nonproductive, it would seem that a reduction in the level of this function would be worthwhile. To accomplish this, the most worthwhile step would be to put continuing activities on a functional basis rather than a project basis. In addition, a screening mechanism or approval system should be enforced to reduce the number of approved projects and insure better utilization of results.

### Reporting

This function covers the production of reports. For purposes of this function a report is defined as a transmission of information to a requestor, through management channels, from data available within the organization. Reports specifically related to the primary personnel functions are not included here.

The bulk of reports fall into one of the following categories:

- Statistical Tabulations
- Policy and Regulation Explanations
- Letters, Memos, Cables



Most statistical tabulations are prepared to satisfy scheduled requests for data on the Personnel function. Computer assistance is provided for their production; in fact, the responsibility for production of many of them has been delegated to A/DSM, where they are prepared as scheduled.

The destination of statistical reports may be inside or outside of A.I.D. The most frequent outside receiver is the Civil Service Commission (CSC). The production of CSC-bound reports is not considered to be a problem. The most often reported problem in the preparation of this type of report is the lack of valid, timely data.

Policy and regulation explanations represent a large number of reports. Most of these are to satisfy requests from Bureaus and Offices for interpretation of policy as it relates to a specific Personnel problem. The compilation of Manual Orders serves as the guiding document for Bureaus and Offices and is the only complete policy document. This type of report, then, is either a request for clarification of the content or for a statement of the Agency's position on Personnel policy.

Letters, memos and cables not included above cover a wide variety of subjects and are initiated by an equally wide set of sources. The volume of these, and the amount of time spent is low and represents at most a very minor additional workload for A/PM.

#### Current Personnel Data System

The Personnel Data System is an integral part of the Agency's overall personnel program. It is designed to record data on

positions and employees in a systematic manner, and enter this data into a computer so that reports required by authorities external to A.I.D. and by operating officials within the Agency can be prepared promptly and economically. This description shows the essential elements of the present Personnel Data System-- including input forms, system data items, output reports--and the functions or decisions served by these outputs, in order to provide a basis for determining information requirements for the new Personnel Data System.

The system, which is operated by A/PM with the assistance of the Office of Data Systems and Management, has three major components: Personnel Data System; Applicant Supply System; and Manpower System. It is described in Manual Transmittal Letter M.O. 490.1 and 490.2 - Personnel Data System and M.O. 490.2 - Personnel Data System Code Manual. Some of the characteristics of these component systems are compared to other A.I.D. computerized systems in the following table:

System	Monthly Computer Use		Number of Computer Programs		Storage Requirement	
	Hours	%		%	Characters	%
Personnel Data System	100	19	87	18	9,000,000	7
Applicant Supply System	30	6	8	2	450,000	-
Manpower System	6	1	3	1	9,000,000	7
Total Personnel	136	26	98	21	18,450,000	14
Payroll System	187	35	118	26	9,100,000	7
Other A.I.D. Systems	203	39	244	53	104,868,000	79
Total A.I.D.	<u>526</u>	<u>100</u>	<u>460</u>	<u>100</u>	<u>132,418,000</u>	<u>100</u>

Such data base functions as file creation, file maintenance, subsetting of the data base for different types of reports, storing, simple computation, and the production of printed reports with varying formats--on demand as well as on routine basis--are all

inherent and partly, although ineffectively, performed by the 98 programs. These functions are common to many of the programs, and together they represent a significant portion of the system design and programming time.

The following are four important characteristics of data records in the system:

- Variable-length fields (employee name fields)
- Repeated fields (employee skill and language proficiency fields)
- Repeated groups of fields
- Hierarchical relationship (between organizational elements)

The present Personnel Data System has been analyzed also to ascertain:

- Sources of information in terms of A.I.D. input forms
- Data items included in the computer data bank
- Functions and decision points served by the output reports
- The extent to which these outputs meet information requirements

These analyses were made by constructing three matrix charts. The first chart (Figure 1.23) shows the relationships between the current input documents (entered vertically on the grid) and the data items now entered into the system (shown horizontally on the grid). The purpose of this matrix was to identify (1) redundancies in the collection of data items from various forms and (2) any gaps in data collection from the source documents of the system. Therefore, it represents only those data items on the forms that are entered into the data base.

Data items on the forms not entered into the data base were omitted. Also omitted were certain documents (mostly code sheets) used to process the data into the automated system. Thus, certain code sheets used in these processes, i.e., A.I.D. 4-437 and 4-435(A), which are coded from the SF-52 and SF-50, respectively, are not included in the matrix. Other code sheets, however, that represent the only source of certain categories of data that are entered into the system, are included.

The matrix reveals that there are no gaps in the collection of data. Input of all data items is accounted for by the various source documents included in the matrix. Furthermore, five source documents<sup>\*</sup> furnish 94 of the 96 items the data base now includes. The Arrival Notice provides the input for the additional two data items. Nine additional documents provide input either to the various source documents themselves, e.g., the SF-57 (now the SF-171), or are used periodically to update data originally entered into the system from one of the five basic documents.

The matrix further shows that redundancies among the five basic source documents do exist in the collection of data, particularly between the SF-52, the SF-50, and the SPAR. Further study will be required to determine whether there is a good basis in fact for these redundancies, or whether they can logically be eliminated through a consolidation of the affected forms.

The second matrix (Figure 1.24) shows the relationships between the System's data items and the Personnel output reports. This matrix indicates that there is substantial overlap in the

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\* SF-52, SF-50, COAR, SPAR, A.I.D. 4-434

reports among the various data items, and that considerable savings, in terms of reduced outputs, could probably be effected by sorting the reports to satisfy the information requirements of each decision point within these functions, or in some other way.

A third matrix is yet to be completed. It will show the relationships between the output reports and the various functions performed. Reports will be traced to the locations to which they are distributed (decision points) and related to the decisions made there. From this analysis it will be possible to determine which of the data now provided are sufficient to meet the needs of decision makers. These findings will provide the base for constructing input forms to capture the data required to make present decision, though probably not every data item will be needed for the new system. Results will be close enough to the end-product that, after these requirements are established, it will be relatively simple to augment what has already been constructed.

Figure 1.23

INPUT DOCUMENTS/DATA ITEMS

SOURCE DOCUMENT	DATA ITEMS
SF-52	Transaction Code Day Code Location Code Organization Code Country Code Sequence Number Record ID (Partition) Partition Title Position Number Competitive Level Occupation Code Pay Schedule (Partition) Grade or Class (Partition) Appropriation Code Position Identification Code Start Date - Position Participating Agency/Other Agency Code Language Code / Proficiency Backlog Code Function Class, Scient. & Engineers Personal Record ID Nature of Action (MOA) Code A, I, D Type of Appointment Type of Appointment (Legal Authority) A, I, D, Pay Schedule (Personal) Next Scheduled Salary Increase Work Schedule Functional Category Date of Appointment Detail Indicator / Organization Detailed to Expiration Date of LWOP Date Conversion to Career Appointment Date Probationary Report Due Date Salary Increase Expires Beginning Date Current Overseas Tour Pay Rate Eligibility - RET Date Availability Date Reemployment Rights with A, I, D Name Sex Birth Date Social Security Number Veteran Preference Tenure Group Service Computation Date Physical Handicap Code FGLI Retirement Civil Service Nature of Action Code Effective Date Grade or Classification (Personal) Steps within Grade or Class Pay Band Seniority Leave Code - CC Status of Legal Residence COG Departure Date (Mission Proposed) Return to Post Separate Transfer Overseas Relate to U.S. Training Between Tours Position Status Status of SPAR Mission Recommendation Assignment Factors Reemployment Rights RACG (2 places on tape) Rental Status Dependent Place of Birth Occupational Skills & Years in Each Verify Geographic Area Esper. & Years in Each Military Obligation First Language Second Language Third Language Fourth Language Fifth Language Number other Languages Known Educational Levels Degree Record Number Other Degrees Special Training CMA
SPAR	
SF-1126	
SF-50	
SF-57	
AID 4-434	
AID 4-443	
AID 4-445	
Completion of Assignment Report	
Airgrams	
Arrival Notice	
SF-70*	
SF-176*	
SF-78*	
Optional Form 8*	

\* Input to SF-52



## **SECTION II**

### **CHARACTERISTICS OF FUTURE PERSONNEL SYSTEM**

This section is intended to establish the factors that must be considered in the design of a new Personnel System.

- It discusses the external constraints of the Congress, the Executive Office, the State Department and the Civil Service Commission. These cannot be changed and the new system will be designed to conform to them.
- It discusses internal environment--staff, organizational mission, geographic distribution, operational conditioning, and the like. Much of this indicates the organization's desires and operational philosophy and must be considered in the design.
- It interprets the present system to identify the functional activities and problem areas that must be treated in the design of a new system.
- Finally, it discusses some of the automated information system possibilities and computer models that will be considered.

This section is not intended to specify what the new system should be (that product will not be available until completion of the next stage of the project). This section is intended to bring out the things that should be considered in the design of the new system. In this sense it is the basis of the work plan presented in the next section.

EXECUTIVE OFFICE  
ORDERS & BOB  
CIRCULARS

CONGRESSIONAL  
LEGISLATION

FOREIGN  
SERVICE  
RULES

AID INTERNAL  
POLICIES & MO'S

CIVIL SERVICE  
COMMISSION  
RULES

CONSTRAINTS

SYSTEM  
DESIGN  
FACTORS

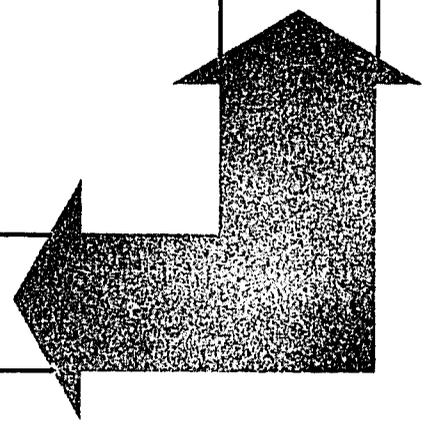
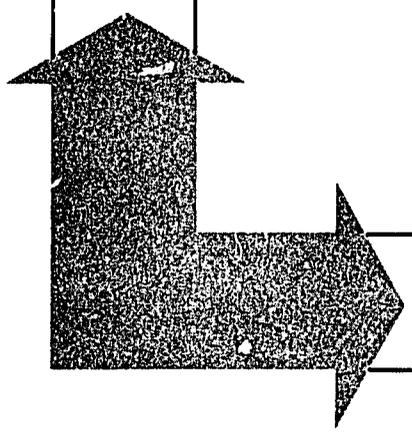
- AID MANUAL
- Responsibility
  - Forms to be used
  - Information to be retained
  - Procedures to be followed
  - Reports to be generated

CENTRAL  
ADMINISTRATION

PERSONNEL  
SYSTEM  
DESIGN

FIELD  
OFFICES

FUNCTIONS  
ORGANIZATION  
INFORMATION  
PROCEDURES



WASHINGTON  
BUREAUS

## SECTION II Characteristics of Future Personnel System

A new Personnel System for A.I.D. will contain the same basic characteristics as the present system. That is, it will be constrained by the same external factors; those that are outside the purview of A.I.D. will remain essentially the same for the future system as they are for the present. The future system will provide the same class of services to the Agency--Central Administration, Washington Bureaus, and Field Offices. Services will, however, vary somewhat. The essential functions will remain the same, but the performance of the functions--response time, reliability, performance, efficiency, records, and the like--should improve. Additional services may be added--especially in planning and review--using the computer system to test the effects of alternative solutions to problems.

### External Constraints Affecting the A.I.D. Personnel System

A.I.D. was established by Congress as an element of U.S. foreign policy, primarily on the premise that world order is a function of the ability of nations to meet their human needs. Thus A.I.D. programs emphasize assistance to poor nations--in resource development and institution building. Congress establishes the missions and programs of A.I.D. through appropriations. Congress also sets limits on A.I.D. activities and prescribes operating rules and information requirements. The Congress, then, is an external constraint on A.I.D. and its Personnel System.

The Executive Branch of the Government also imposes certain constraints on A.I.D. operations. The President, through policy directives, guides program planning and, in emergencies, redirects

programs. He also influences policy by selecting personnel for the twelve statutory positions in A.I.D. The President also operates through the Bureau of Budget to place constraints and requirements on A.I.D.; the direction of movement toward Government-wide program, planning, and budgeting (PPB) systems is a case in point. Executive Office rules, orders, and requirements affecting A.I.D. Personnel operations are also constraints.

The Civil Service Commission operates in the field of personnel management to establish uniform standards Government-wide to assure equitable treatment of employees. These standards, and the implementing rules and regulations, apply to A.I.D. and constitute a principal external constraint on the A.I.D. Personnel System.

Finally, the State Department places external constraints on A.I.D. Those affecting the A.I.D. Personnel System pertain primarily to foreign service personnel working overseas.

In total, these authorities impose a large number of constraints on the A.I.D. Personnel System--both on its design and on its operation. Since they are imposed from outside the Agency, they are beyond the control of the system designer. But they must be taken into account in the design of the system and of its functions and activities. In the first phase of the work, these constraints were related to the functions to which they apply. This analysis is recorded in Appendix A. In the design of the new system the external (legal) constraints will be brought together in a manual, relating them to function and to categories of performance: responsibility, forms, records, procedures, reports, and the like.

Certain reports required of A.I.D. by external Government bodies cannot be altered or eliminated through the design and implementation of a new Personnel System for A.I.D. These reports

also impose requirements on both the Personnel System and its automation; an ability to produce these reports must be incorporated in any new A.I.D. Personnel System.

The handling of non-recurring reports, prepared in response to special requests (from Congress, the President, Foreign Service Association, or others) will involve further study. It must be determined how often these occur and whether the demand for such reports is likely to increase before evaluating the necessity of incorporating means for producing them into a new A.I.D. Personnel System.

#### Internal Environmental Factors Affecting the A.I.D. Personnel System

The A.I.D. Personnel System operates in the environment of the A.I.D. system, its programs, organization, policies, rules, traditions, locales, and so on. All of these impose constraints on the design and functioning of the new system. But, in this case, many of them are within the authority of the Agency to change. They must be considered in the design of the new system, and wherever it appears that relief from one of these constraints is desirable, an A.I.D. decision will be sought.

Within this environment, the present A.I.D. Personnel System is marked by an exceptional degree of flexibility and informality. These characteristics are, of course, desirable in any system. Whenever a system is so rigid as to permit no deviation from a procedure or to require a formal, specified document to cause every action, some effort is usually justified to "buy" some flexibility or informality. These must, however, be bought at some expense. In the case of the A.I.D. system, there is so much flexibility and informality that clear lines of responsibility and

bases for initiating actions are extremely difficult to discern or chart.

An excellent example is in the area of recruitment. The Manpower Development Division has a Recruitment Branch, and presumably, the authority and responsibility for recruiting. In reality, however, nearly every Branch and Office recruits. Of course, it is to be expected that individuals will attempt to interest qualified acquaintances, but it is also to be expected that they would coordinate their efforts with the Office having prime responsibility for recruiting. In A.I.D., we find almost all recruiting and hiring done completely outside the established procedural arrangement. Such looseness results in poorly defined lines of responsibility and authority.

These and other characteristics of A.I.D.'s present Personnel System must be reflected in the design of a new system. People are not likely to change to any great extent, so the design of a new Personnel System must work with A.I.D.'s internal environment, not against it. A few of these characteristics most likely to affect system design were noted in the first phase interviews.

#### Little Organizational Discipline

Few orders or directions are given, and those are not strictly enforced. The almost universal reaction heard was, "If I followed the system I wouldn't get my job done."

Deadlines seemed to be ignored. Frequently the individual staff member appeared to exercise his own judgment as to whether he needed to produce what was asked of him. This will be difficult to change. In terms of designing a system this means that (1) most input data

will have to come from below the senior professional level; (2) the system must be easier to use than ignore; and (3) when there is no way to avoid using senior staff for input data, the Personnel System must automatically provide a repetitive reminder (tickler).

#### Short Assignments to Personnel

Approximately 20 percent of the senior staff has relatively short assignments to Personnel, primarily because of the home-rotation assignments of Foreign Service Officer, but also due to promotions and transfers. There is no reason to believe that the turnover rate will change.

This high rate of turnover has contributed to the erosion of the present system. Very little of the system is documented in the form of assignments of responsibilities, authorities, etc., of the individual. The individual learns his job from reading the information that flows to him and from requests made of him. Some job instruction comes to him from his predecessor, some from his superior, and some from his staff. Only a little is lost at each replacement, but after several replacements, much of the initial concept of the Personnel System has disappeared, and what initially was an organized effort becomes a number of individual efforts.

In terms of redesigning the system this means that the new system should be simple in concept and well documented, and that a major effort must be placed on indoctrination and training.

#### No Previous Experience in Personnel Work

Many of the Senior Staff have had no previous experience in Personnel work. The closest relationship to Personnel they have had

prior to their Washington assignment has been as a field client. This is unlikely to change. Generally, this has resulted in a system that fails to be alert to good personnel practice. It tends to take inadequate account of human needs.

In terms of designing a new Personnel System, this means that instructions should be presented in the context of the field operator so that the Foreign Service Officer serving in Personnel can identify with the field operator's needs.

#### Long Lead Times for Personnel Actions

Long lead times are required for many Personnel actions. The number of steps and the distances involved make communication take long periods of time. As a consequence, it is difficult to generate a sense of urgency in the early steps. This frequently results in taking substantive action before arrival of the paperwork that should initiate the action.

In terms of designing a new system, this means that the computer should generate daily reminders--perhaps action reports--to alert each action group to what they must accomplish to keep their responsibilities on schedule. Such action reports could be coded to an instruction book or could incorporate a printout of specific orders.

#### Staffing Based on Prior Association

As vacancies become available, an informal system begins to operate: managers selectively let their needs be known, and staff who are up for transfer begin to hunt among their friends for a new position. The system is therefore prone to "cronyism." This approach has the

advantage of serving personal desires; nice guys are taken care of; and the manager is buying a known capability. Nevertheless, there are a number of disadvantages. The matching of people to jobs is limited largely to the information available in the unofficial channels. From the point of view of the individual, it means that many opportunities will pass unchallenged because they are unknown. It means that many opportunities that should be available to many are available to only a few. Exceptional capabilities of new talent are slow to be fully utilized.

It will be difficult to convince the manager in the field that he will, on the average, have a better team by using a larger central system to help select his staff. From the point of view of A.I.D. central management, the insistence of each manager on selecting his own staff implies that there is sufficient unacceptable staff to make this process necessary. If this is true, the evaluation process must be used to upgrade the staff. If it is not true, there is not a strong case for manager selection.

From the point of view of a central Personnel Office, it would be very difficult to design a system to serve the assigning and recruiting needs of the overall organization sufficiently with this approach. Furthermore, it would be more difficult to do manpower planning studies in support of Agency Program Planning and Management Functions. And it would be more difficult to maintain useful automated records.

In terms of designing a new system, it is important that this point of philosophy--central service vs. individual service--be understood and evaluated in terms of acceptability as well as ability to implement by the Personnel Office.

### Staffing of Jobs Under Two Authorities

Sometimes it is advantageous to the individual to be "Foreign Service"; and sometimes, "Civil Service"; but it is almost never to the advantage of A.I.D. to have two classes of "on-board" personnel. Instead of increasing management flexibility by providing more alternatives, this situation tends to limit flexibility by adding more rules. Decisions that should be made on the basis of needs are pre-determined by conditions of employment.

The situation is not likely to change. Even if A.I.D. should move in the direction of hiring all one class or the other, transfers would continue to keep both types on the work force. Things can be done, however, to minimize the problems that can be traced to this cause.

By administrative decision all employees, regardless of class, could be treated under one set of rules while working for A.I.D. These rules could be either FS or CS, but it is probably easier to achieve by combining pertinent rules into a collective system. This would probably make conditions of employment a little more restrictive to each individual, but much easier for A.I.D. administration. It would have the added bonus of equity. A second approach would be to design a selective system that would take the best of either service to build a minimum composite system. This can probably be done with the concurrence of the Civil Service and the State Department, with a certain amount of compromise. A third approach would be to go somewhat further than at present by staffing, say, all Washington Personnel management jobs with permanent Civil Service staff, to avoid the difficulties inherent in the present rotation system.

### Decision-Making Process

Decisions tend to float to the top and are frequently resolved by committee. This indicates the problem of poor or inadequate delegation of authority. An organization may very well succeed without decentralization, but it cannot operate without delegation. On the surface, it seems that too many decisions are being made by managers placed too high in the organization. This not only delays the decision-making process and loses valuable time; it also causes uncertainty and frustration among lower-level supervisors and administrators. The end result is that lower-level personnel attempt to avoid decision-making situations whenever possible or to circumvent the formal system so that the decisions they do make are outside the formal organizational system. In terms of the new system, this means that the decision structure must be specified clearly and operating procedures documented.

### Forms Dominate the System

Virtually the only portion of the A.I.D. Personnel System where we found conformance in almost all cases was the completion and use of forms. Most likely, this is because the use of forms is the portion of the A.I.D. Personnel System that is documented in detail. To an extent, since these documents relate to most of the functions that are being performed, forms are the "glue" that holds the system together.

There are, however, both good and bad aspects to this situation. With forms as the dominant structuring factor, response tends to be literal and thinking limited. As forms proliferate, the system begins to build redundancies and take on multiple steps to achieve simple results. For this reason, in this first phase, effort has been placed on analyzing the forms to identify the redundancy and simplify the

flow (Appendices C and E). Further work is planned in the next phase to insure that all recorded data are available and used for decisions and that all decision points have the data they require. But, without forms, there would now be less structure, and they are serving a useful function.

In terms of the design of the new system, this means that the decision points must be identified, the decisions defined, and the information system designed to provide those decision points the information needed for the decision.

#### Implications of Internal Constraints

To assure a system that works within these constraints found in A.I.D.'s internal environment, the major effort, obviously, is in the design of the Personnel System itself. Adapting it to the computer later assumes minor importance at this time.

As work progresses and the problem grows clearer, it is inevitable that changes will occur that may redirect the focus of the work. URS will seek guidance from A.I.D. whenever such a major change is indicated. But whatever A.I.D.'s decisions, when a satisfactory organizational system has been designed and accepted, URS will direct the remainder of the effort toward automating the portions of the system in which automation can be expected to yield the greatest return.

The total amount of effort to be expended in this study is specified, and an approximate division of the effort between designing and new organization and automating it was made in the proposal. That estimate is, of course, likely to be modified as the study progresses and in light of guidance from A.I.D.

It is clear, however, that the job of designing a new organization is somewhat larger and more complex than initially anticipated. It is also clear that there are a number of ways to simplify the record keeping function of the computer. These two factors tend to balance so as to hold the total effort at the same level, but they indicate the desirability of some shift of effort from automation to the redesign of the organization. It is also apparent that while a number of significant improvements can be made to the organization without further automation, little improvement will occur through automation without prior organization changes. The present "computerized" skills inventory is a case in point. Although it is available, it is virtually unused.

#### Functional Activities and Problem Areas

The goal for the redesign of the A.I.D. Personnel System is to obtain maximum service within the external and internal constraints and the constraint imposed by limitations on staff. The A.I.D. intent is to reduce the Personnel staff from 259 to fewer than 150 by August 1969. Other goals are: to improve the services now provided, to speed up system response to needs, and to add services desired by A.I.D.

A.I.D. has already taken substantial steps to improve the Personnel System by reorganizing to consolidate much of the Personnel function. At the same time, the Agency set forth a number of specific objectives for further improvement:

- Restructure of the organization to improve the work flow and effectiveness of personal services.
- Institution of a Manpower Planning function within the Personnel office to project personnel requirements and plan for the Agency's capacity to meet them.

- Refinement of recruitment techniques largely based on the maintenance of relationships with communities, organizations, and institutions.
- Comprehensive study of on-going Personnel systems, processes, and data management techniques with a view to maximum possible use of Automated Data Processing (ADP) applications.
- Institution of new, and refinement of old, programs to upgrade the quality of the Agency's total workforce, to professionalize Personnel decisions, and to provide additional benefits and services to employees.

These objectives may be achieved in three fundamental ways:

1. Exclude from the Personnel System the functions related to Personnel Management but not a part of it.
2. Modify the scope and level of detail of the functions and services of Personnel.
3. Redesign the Personnel System including the procedures, work flow patterns, decision structure, and information handling subsystem.

To meet the stated goals, certain services now provided may be eliminated. To avoid eliminating needed or desired services, however, our analysis will examine and evaluate practical alternative services in terms of their effectiveness in achieving the stated goals.

The Agency has taken other steps toward realizing the objectives cited above. In the ADP applications, for example, the Agency now has in operation and automated Skills Inventory File which includes data on over 80% of all U.S. citizen employees. Similarly, the skills of available candidates for employment are recorded for automatic printout as recruitment needs arise. And with this project, work has begun to advise and assist the Agency in the complete analysis and redesign of its Personnel System. The study is intended to focus attention on two primary areas: (1) paperwork re-engineering, including procedures, work flow, control points, and work performance standards; and (2) the

automated personnel data system, including information processing, system design, and specifications for computer programming.

A list of problems and desirable characteristics has been provided by A.I.D. This list includes a number of symptoms to be corrected as well as desirable design features. This list offers excellent guidance, but it relates to a combination of functions; since it is random in character, it is not necessarily complete. Potential improvements to be incorporated in the new Personnel System can be sought by identifying needs as seen by the Agency and checking these against a matrix to identify all possible improvement areas. A.I.D.'s list, therefore, can be structured and expanded by use of a matrix search.

The three primary factors to be built into the matrix for determining desirable characteristics in the new system are (1) functions to be performed; (2) organization to perform the functions; and (3) information to service the organization (see Figure 2.1). System characteristics are identified by carrying the sequence steps of a function, such as Recruiting, through the operational steps of organization and information. (The sequence steps of Recruiting, as shown on Figure 2.1, are Selecting/Screening, Testing, Interviewing, Approving, and Hiring; sequence steps for other functions are given in Section I.)

For each sequence, ask for each block of the organization (say, Decision Structure):

- What type of data are needed at this step?
- Where do we get the data?
- How are data acquired?
- What form should the data be in?
- What are all the purposes the data can be used for?



Then proceed to the rest of the blocks under organization, then to the information block of the matrix, and do the same thing. The answers to specific questions like these are in contrast to generalized statements of objectives such as: "The automated data base should be adequate and expandable to meet all reasonable needs..."

This detailed approach to developing specific requirements is explained so that responsible individuals in the Office of Personnel and Manpower may supplement the system characteristics developed by the study team (as described under "Tasks 131 and 132, Problem Definition" of the work plan, Section III).

#### Philosophical Approach

A number of philosophical approaches to the design of an organization can be taken. The selection is largely a matter of judgment based on past experience, supplemented by information as to the relative costs and benefits of alternative courses of action. Basic considerations in organization include:

- functions to be performed
- geographical distribution of activities
- professional specialization of staff
- programs being conducted
- employee type by responsibility

Organizations formed around these considerations can operate in either a centralized or a decentralized mode. In either mode organizational units can be

- highly autonomous, i.e., independent, with the authority and responsibility lying primarily in the operating units, or

- highly integrated, i.e., interdependent, with limited specific authority and responsibility placed in the operating units.

Organizations are designed by selecting a philosophy and grouping activities in accordance with the selected combination of considerations. The activities are derived from an analysis of the present system--included in Section I and Appendix C--and of the new services to be provided. The activity descriptions will be used in Phase II in the design of the new Personnel System. The activities are defined in terms of objectives, actions, level of staff required, number of actions, time required per action, and so on. The activity descriptions provide the basis for staffing organizational units, preparing procedures, and specifying the decision structure. The relationship between organizational units provides the basis for designing work flow. The total structure defines information requirements. The final product is a set of alternative new Personnel System designs--one for each feasible combination of considerations. Each design can be made to operate effectively although some will be more efficient than others.

A hybrid philosophy might be used for the design, i.e., part of the organization (such as recruiting, evaluation, assignment, and the like) might be functionally oriented and part (such as executive placement), employee oriented. But this should be avoided wherever possible because it causes conflict boundary areas, overlap, and inefficient use of staff resources.

The approach to be taken must be selected by A.I.D. The decision will be based on such criteria as A.I.D. cares to apply; our analyses and syntheses will provide information to assist A.I.D. in forming judgments. Considerations will likely include cost, effectiveness and ease (or difficulty) of implementation. The ability to implement a system should not be underestimated, because there is, in fact, no way

to design a system that cannot be defeated if it is unacceptable to the user. The ability to implement, then, means three things: (1) the proposed system must actually offer better service than the present systems; (2) it must be possible to demonstrate that the service will be better; and (3) the advantages and instructions for using it must be communicated to all users.

### Structure of the New Personnel System

The general structure for the new Personnel System will be designed around the activities to be carried on in it. For the purposes of analysis and preliminary design, these activities are classified in two ways:

- Functions: the actions that directly accomplish the system mission and produce the output.
- Controls: the actions that direct or restrain the functions to keep the system operating effectively and efficiently.

On this basis, it can be said that the total system has two major subsystems; the Functional system and the Control system. This means that, in the analysis and the preliminary design, the several activities will be accounted for in this way. It does not mean that the system will necessarily be organized this way. In the analysis and preliminary design, it is important to understand what things really are and why activities are performed. In the final design of the system and its organization, it is important first, to understand that organization is a management convenience for operating the system, and second, to make abundantly clear (1) who is to do what; and (2) how, when, and where he is to do it.

The functions are the normal Personnel activities: hiring, assigning, training, evaluating and so on. Those now being carried on in

A.I.D. Personnel are described in Section I. They need no elaboration here.

The controls are somewhat different. While they are carried on now in one way or another, they are not usually thought of in the terms in which the analysis will be done. There are five controls:

- Organizing includes (1) the review of the functioning of the Personnel organization, monitoring its efficiency, and anticipating organizational problems, and (2) planning organizational changes.
- Planning includes (1) identifying, defining, and analyzing the Personnel problem, and (2) synthesizing alternative solutions to the problems for selection of the preferred course of action in the decision activity.
- Informing includes (1) data handling: the acquiring of data, the processing of data into information, the storing of data, and the retrieval of data from storage; and (2) communicating: the moving of data from where they are acquired through the processing and into and out of storage, and delivering the information to the place where it is needed.
- Deciding includes (1) the evaluating of the alternatives produced from the planning action, and (2) the selecting of the preferred course of action.
- Commanding includes (1) causing the action necessary to pursue the course of action selected in the decision activity, and (2) reviewing the results to ascertain whether what was done solved the problem and whether it has caused any new problems.

## Performance Standards

Any new system may be expected to begin its operations out of balance. Some units will be overstaffed; others will be overworked. The balancing process involves use of performance standards.

A workable performance standard for this is a standard unit of time required to perform a specific action. For example, a placement officer may require half an hour to interview a secretary, an hour to interview an engineer, an hour and a half to interview an economist, etc. Performance would be measured, then, in "standard hours," obtained by multiplying the number of interviews conducted of each type by the standard time and summing the products to get a total "standard hours" for, say, a month. If an organizational unit does only interviews, its efficiency is the number of "standard hours" divided by the total work hours available for that month. This ratio can then be compared with the efficiency of units doing some other kinds of work. If a unit is approaching 100 percent productive time, it may be understaffed or it may be that the standard time for the work unit was underestimated. If a unit's efficiency is well below that of other organizational units, it is probably overstaffed.

The new system must provide a way to compare these relationships on a continuing basis. At the beginning, the information will be used to adjust the system; later on it can be used to evaluate performance and also to direct attention to costly activities so that these can be improved and the overall cost of the system reduced.

The primary problem in establishing this "self-improving" feature for the new system will be establishing the unit times required for each type of task (though some of this information has already been gathered in the first phase). Another problem arises when organizational units perform a highly varied set of tasks. A good system should have a minimum number of such units, but where complexity exists, performance can be evaluated by some qualitative standard.

## Problems in Computerization

The A.I.D. staff and the Office of Personnel and Manpower have real concern that the new system best serve the needs of people with a minimum of compromise to achieve efficiency. Computerized systems can have many inhuman qualities. These are frequently recognized, generally feared, and too often ignored by the system designed. Most violations of individual rights and human needs in computerized systems come through a lack of awareness of how to overcome these potential hazards or even that they exist. We shall stress this general awareness as we focus on specific problems. It will, however, be helpful if A.I.D. too is alert to the consequences of various computer system characteristics in offering guidance to the study team. Several of these areas of concern which are readily perceived are discussed below.

### Access to Personal Information

It is commonly believed that the use of a computer makes personal information available for abuse and exploitation. This is probably not a valid fear as it relates to the new A.I.D. Personnel System. It is not likely that any kind of personal information will be collected that is not already in the file. Much personal information is already in computer storage; indications are that the information now being collected will generally prove adequate for the new system. Personal data can be coded in such a way that the equivalent of a key or combination is necessary to gain access to it. Thus access to data in the computer file will probably be more difficult than access to the same data stored in conventional drawer files. An unauthorized person seeking information about a specific individual would probably find it far more difficult to extract data from a computer file than from a folder. The computer can be abused, however, because of its

capability for rapid sort to find certain personal characteristics. Safeguards will be built into the system, but, as in all human systems, security depends on the integrity of those responsible for the system.

#### Personal Considerations May Disappear

There is serious concern on the part of staff and managers that, in an automated system, actions will be treated by formula and personal factors be ignored. This need not be so any more than the non-machine approach insures personal considerations. For example, the Personnel Placement Council now assigns staff to positions. Yet the Council's deliberations are many steps away from the individual's performance, are conducted with only a fraction of the information required to make an adequate judgment, and with information (usually qualitative) so flavored with biases that job requirements and individuals' skills are subordinated to social norms. An automated approach can at least identify all critical factors relating personnel performance to specific jobs and establish a procedure for having the rating made by a superior immediately familiar with performance so that job requirements and individual's qualifications can be matched in common terms. This will eliminate the dilution that takes place in the name of objectivity while adding the equality of treatment that derives from uniform standards. The automated approach will unfortunately also fail to weigh unusual characteristics. This means that the computer matches should be reviewed by management at some point in the system.

#### Computer Records Cannot Be Trusted

A.I.D. already has a computer system for records. Like all new systems, it has had to go through a period of "debugging"--that is, correcting errors in input data and format in the basic program and

in the use made of the system. Many of the A.I.D. staff have had unfortunate experiences with automated data during this period and cannot be expected to give still another "new system" enthusiastic support. Since these same people must provide the input to the new system and use it, their unpleasant past experiences could compound the difficulties of starting the new system.

To win acceptance for the new automated system, effort will have to be directed to calling staff members' attention to the fact that a computer system's errors are human errors. Since people commit errors at about the same rate irrespective of the kind of system, both manual and machine systems have similar input errors. The primary difference is that, once the input data are corrected and errors purged from the computer system, those same mistakes don't keep cropping up while, in contrast, manual systems repeat errors each time a service is performed. Moreover, a computer system leaves a clear trail so that errors cannot be hidden, and thus it can be continually upgraded. Errors in a manual system tend to hide in the safety of obscurity.

#### There Will Be Chaos During Installation of the New System

There is often a fear that the new automated system will replace the present system all at once--today we use the old, tomorrow the new. If such an approach were attempted, there would likely be a complete breakdown in service. That approach is unrealistic, of course: single pieces of the system should be implemented one at a time, sequenced so that service builds on service. Additional pieces will not be added until previous pieces are successfully operating. This evolutionary approach will assure continuing improvement of service and permit the review and evaluation required to make modifications and adjustments.

## Information Handling

The new personnel information system can be built around a relatively few documents and processes:

SF-52,	Request for Personnel Action
SF-50,	Notification of Personnel Action
COAR,	Completion of Assignment Report
SPAR	Staffing Pattern Action Request
•	An Assignment Model
•	A Personnel Master File

Form SF-50 is the most important control document. Its use will require maximum effort to assure the validity of its data and its timely preparation. Form SF-52 is the working document for the process that eventually produces Form SF-50. Validity and timeliness of the SF-50 will require equal attention to the SF-52.

The COAR--and the related procedure in the "Interim System"-- provides a simple and effective vehicle for communicating with the employee and sufficient notification of pending actions for effective planning.

The SPAR, with some modification and careful integration with the skills inventory, can provide the same kind of control for jobs that the SF-50 does for people.

The Personnel Master File would be the file containing all person-related information on all employees. It would be the catalog. From it all person-related information could be extracted, either "wholesale," as in statistical reports, or "retail" as by staffing pattern or by notification of eligibility for step increase.

The Assignment Model would correlate all of the above information to assist in "making a match" between people and jobs. It could assist in forecasting the effects of new projects and budgets, in recruiting and terminating, and in other personnel activities. The model will be described below.

A number of other forms, files, and processes will be required in the information system, but most of these will be needed to permit system conformance to external constraints or simplification in the handling of the basic forms and files.

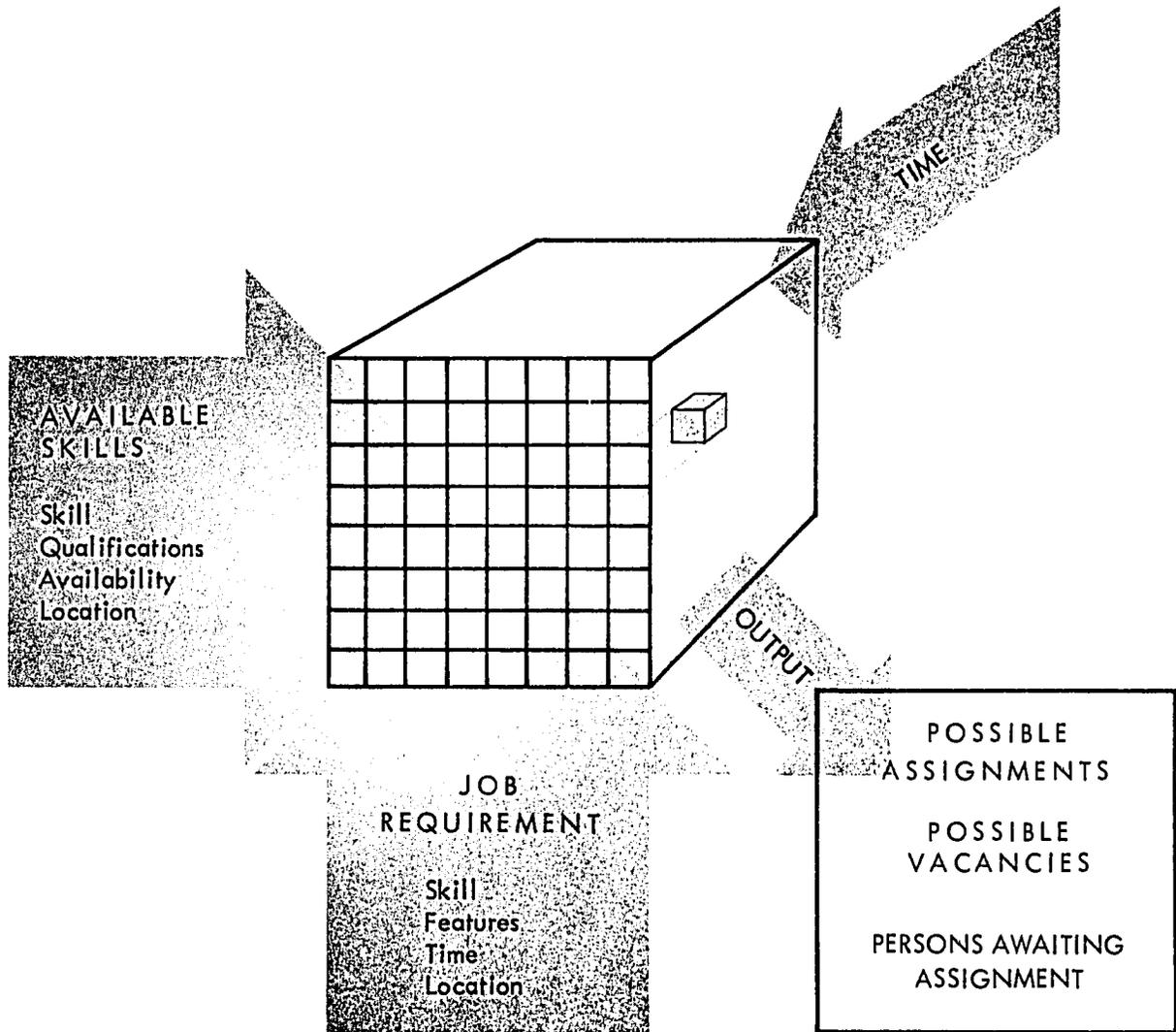
#### Assignment Model

The Assignment Model is a device for matching people to jobs. A job may consist either of an authorized or a projected position. People may include those already on board or those who may come on board. As visualized in Figure 2.2, the Model would require that jobs and people be described in identical terms. After data on each job and person and on certain time factors were entered into the Model, matching would be done according to certain strict rules. Not all of the rules have been identified.

The Model could handle all classes of personnel, e.g., FS, CS, PASA, but it appears that it would be advisable to exclude consultants and contract personnel because of the difficulty in collecting the necessary data. The Model would pick a slate of candidates rather than attempt to select one individual. Other restrictions, not yet identified, can be anticipated.

The basic premise of the Model is that job and personnel descriptions each consist of a set of characteristics which can be coded in identical terms. Each characteristic is in turn composed

Figure 2.2  
ASSIGNMENT MODEL



of a set of attributes (or, less generally, values) which are set to conform to the requirements of a job or the skills of an employee. The identical characteristics of each set may be aligned and the differences in attributes at each characteristic recorded. All possible combinations of persons and jobs could be so compared and the matches which have the lowest recorded difference would represent the slate of candidates for a position.

It is neither necessary nor desirable to make all possible matches, since jobs and persons would become available at discrete intervals of time. It is necessary, then, to match only those jobs and persons who are expected to be available at the same time.

Input to the Model can be categorized as coming from: (1) job related sources, (2) person related sources, and (3) time related sources.

Data elements of use to the Model are:

<u>Element</u>	<u>Job</u>	<u>Source Person</u>	<u>Time</u>
Language Skills	X	X	
Education Level/Type	X	X	
Geographical Experience		X	
Location	X	X	
Availability	X	X	X
Grade	X	X	
Special Skills	X	X	
Authority	X		X
Placement Limitations		X	
Mission Preference		X	X
Number of Consecutive Tours		X	
Personnel Category (FS, CS, PASA)	X	X	

A personal profile must be entered for each person in the system and a job profile for each job. The personal profile consists mainly

of data from the skills inventory file and the job profile data from the SPAR. Other inputs are basically time-related in that they tell when a person or a job will become available. As noted from the data element list above, the elements are for the most part common to both persons and jobs and must be described for both in an identical manner.

Given the input data, it is ordered by characteristic for both jobs and personnel. For example:

1	2	3	
<u>Grade</u>	<u>Degree</u>	<u>Language</u>	job
<u>Grade</u>	<u>Degree</u>	<u>Language</u>	man

The attributes of each characteristic are given in the input, yielding, for example:

1	2	3	
<u>FR-2</u>	<u>Science</u>	<u>French</u>	job
<u>FR-2</u>	<u>Agriculture</u>	<u>Spanish</u>	man

Even to the untrained eye, it seems unlikely that this man and this job would ever be matched. But all characteristics may not have the same weight. In the above example, if the man matched the degree and language requirements, but not the grade requirement, he might become a candidate for the position.

Certain characteristics can be coded as "exclusion factors" which would mean that a match is required on that characteristic. These need not be weighted, since the matching process would terminate immediately

if a mismatch occurs. The degree of mismatch at each characteristic must be measured. Each measure is then weighted by the weighting factor of the characteristic and a summation of the resulting values made. This sum may be called the "Degree of Match" or DOM for short.

To shorten processing time, the Availability Dates of each job and person are checked to screen out all that will not be available at the same future time period (probably 10 months to conform to the COAR cycle). All jobs and people that pass this initial screening are then subjected to the skills/requirements matching. All persons who achieve at least a threshold value of DOM are then checked against non-job-oriented restrictions (placement limitations). Those remaining from this screening constitute the slate of candidates for the position.

Obviously this process can have three possible outcomes

1. No one is qualified (vacancy)
2. Qualified persons are found (candidates), or
3. Person fits no available job (not placed).

Only 1 and 3 of these are problems. The first solution to be tried in each of these instances is to search the times immediately adjacent to the given time to see if a match can be made at a less than ideal time. This would result only in a job being unfilled for a short period or a tour being cut short. An alternative solution for 1 is to search the talent bank for new-hires (this could be done automatically). An alternative for 3 is to reduce the acceptable DOM level to attempt a match of less qualified people and determine whether it is possible to train resultant candidates to raise them to the acceptable level. Other alternatives are possible.

The time axis of the Model should accommodate three years. This fits the A.I.D. budget cycle. The first two years should be in monthly increments and the last year in quarterly increments.

The Assignment Model will be useful in each of the following functional areas:

- Recruiting: to provide a guide for recruiting efforts through a vacancy report.
- Assignment: to provide a slate of candidates for in-service placement who are pre-qualified by the model for the assignment; to suggest jobs in AID/W for rotating persons.
- Promotion: to note on the candidate slate persons who qualify for vacancies except for grade.
- Training: to identify skills in short supply from the vacancy lists as a basis for initiating training courses; to identify persons who can qualify for a vacancy if given additional training.
- Compensation: to audit job classification actions prior to accepting SPAR data.
- Termination: to note specifically unplaced persons.
- Planning: to serve as a "simulator" to identify job requirements, vacancies, or unplaced persons as required by a proposed budget or project, as a basis for modification of a budget proposal, or to initiate recruitment or prepare for a reduction in force.

Three major reports would be produced as a result of the processing:

- A. List of candidates for each job, ranked by DOM.
- B. List of possible vacancies.
- C. List of persons not placed.

The alternative solutions result in special reports directed to the particular Branch or Office, which can be expected to take action.

In conclusion, let us again note that this Model makes no assignments. The actual assignment would be made at the cognizant place in the decision structure. Actual assignments would then be reflected in the Model by shifting the availability dates of the persons and jobs.

## **SECTION III**

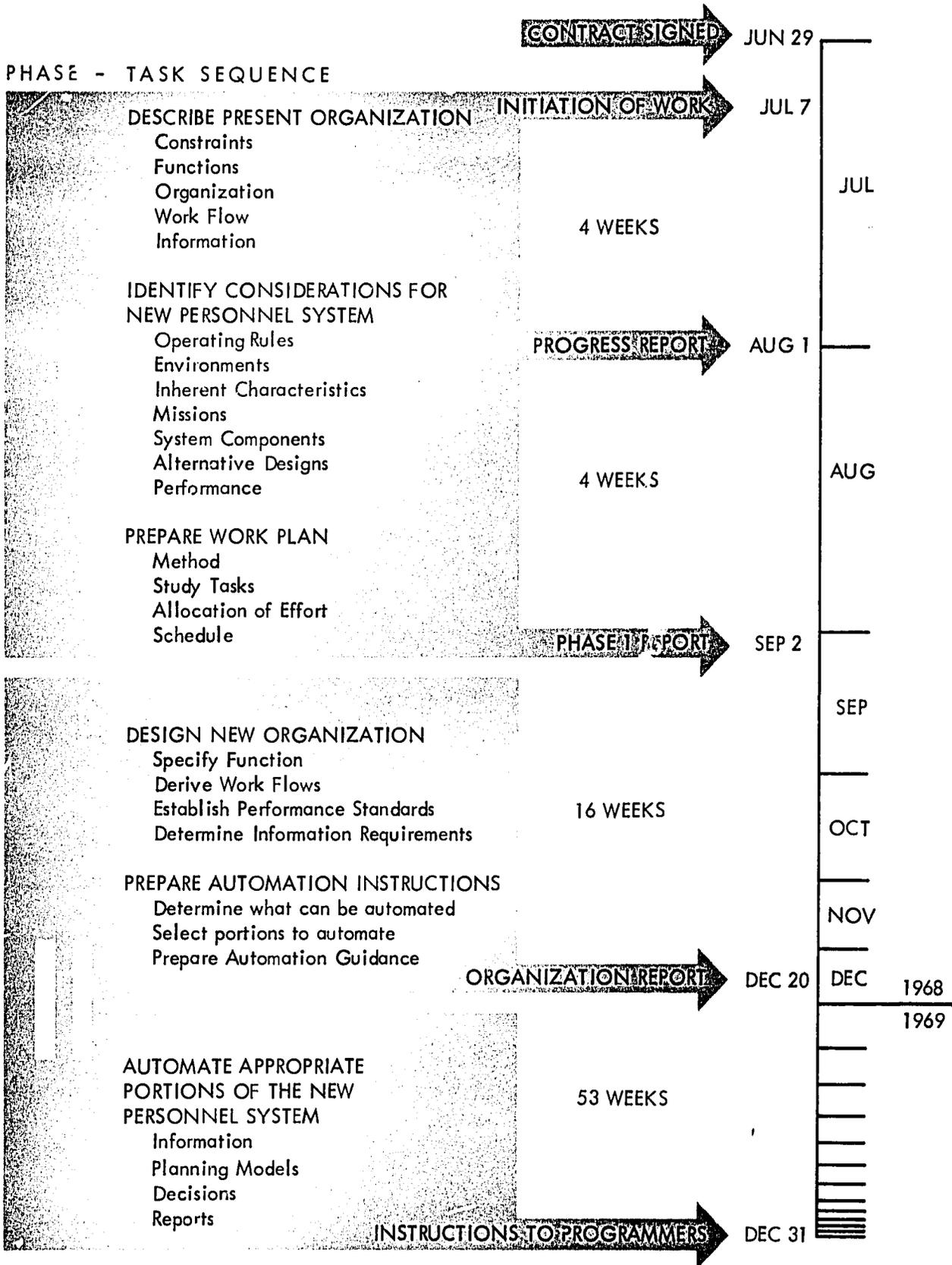
### **WORK PLAN FOR DESIGN OF A NEW PERSONNEL SYSTEM**

This section establishes the plan of action for analysis, design, and implementation of the A. I. D. Personnel System.

- It discusses the general approach to the work and describes some of the techniques and controls that will be applied.
- It identifies each major activity and describes the product to be expected from it.
- Finally, it integrates all activities into a PERT chart which provides a complete schedule.

It can be expected that some activities will require redefinition as system development proceeds, but the work plan provides a basis for orderly change.

# PROJECT SCHEDULE



## SECTION III

### Work Plan for Design of a New Personnel System

This work plan has been developed from an analysis of the problem as seen in the information acquired in Phase I. It identifies the tasks which are to be completed between September 2, 1968 and September 30, 1969. Each task is explained in sufficient detail to establish the scope of the work within the task. Most tasks are "product" oriented, in that a specific item is to be produced; upon review and approval of the item, the task can be considered complete. The tasks will be scheduled in a PERT network. To meet the goal of an operating system by December 31, 1969, it will be necessary to introduce certain programming activities into the schedule, although provision for programming services are not yet final.

#### Organization of the Work

The work of Phase II of the project divides logically into two parts: Phase IIA, redesigning the organizational structure and simplifying the work and work flows, and Phase IIB, translating the redesigned organization and work patterns into specific models and computer operations for automating selected parts of the new Personnel System. In this plan, we have organized the work accordingly.

#### Phase IIA

In Phase IIA of the study our objective is to restructure the Personnel System, starting with an existing Personnel System with

perceived but undefined problem, (1) establish the mission for the redesigned system, (2) select the general organization for the redesigned system, and (3) design and prepare a detailed specification for the redesigned system.

We do the analysis, definition, and design; decisions must be made by A.I.D. The process shown in Figure 3.1 will get the work done in the proper time and avoid waste of design effort. The process is somewhat as described below (reading first from left to right across the top row of Figure 3.1).

#### Problem Definition

We shall analyze the situation in which the existing Personnel System operates to identify the problem the system faces and to describe their characteristics as a basis for selecting which problems we will try to solve. Most of the information required for this was gathered in Phase I.

#### Objectives Selection

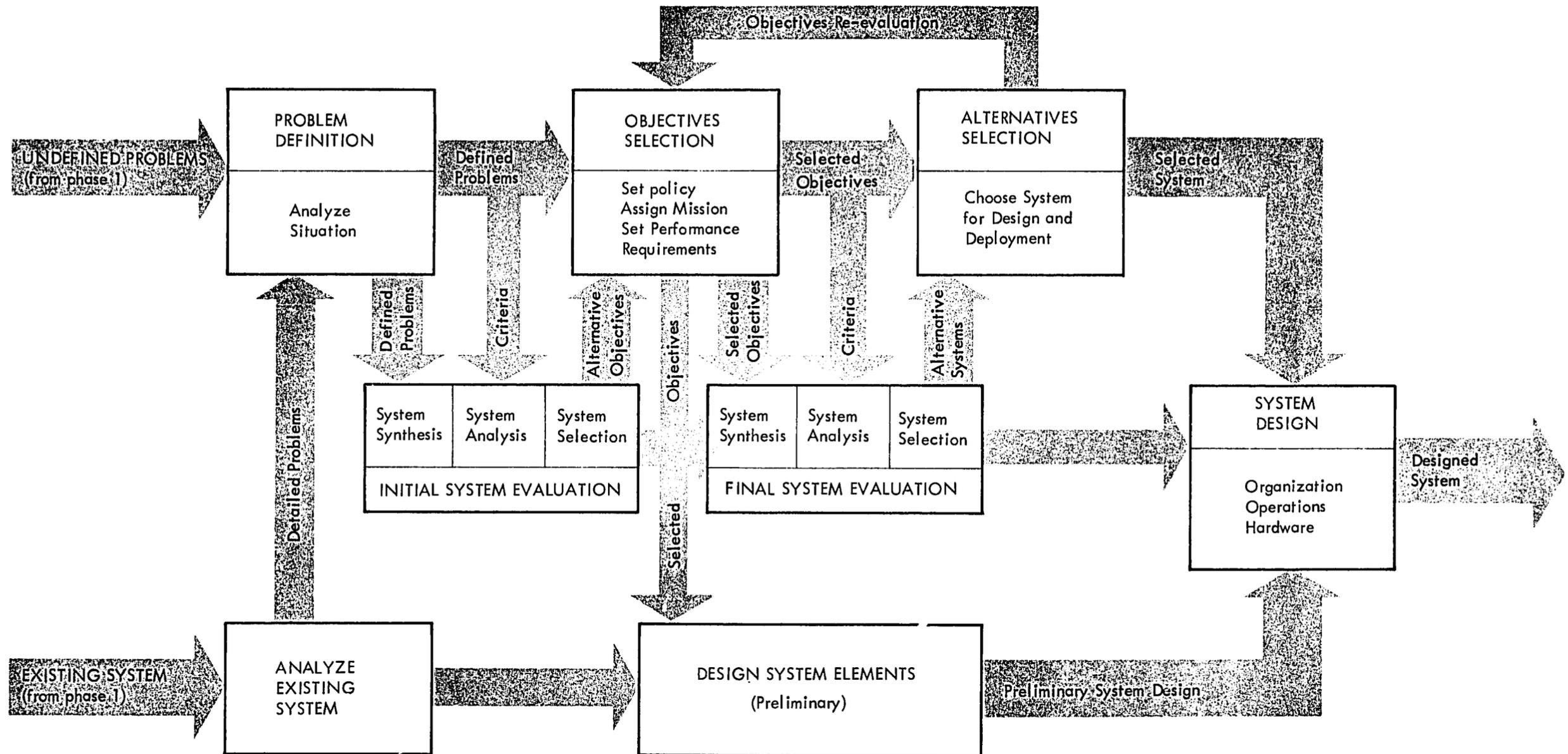
It may not be feasible or practical to solve all of the Personnel problems we define in the Problem Definition step. The selection of objectives is choosing, by executive decision, of the defined problems to be solved. It involves setting goals and assigning missions to achieve goals. It appears that, in this step, the chief concern will relate to overall organization and assignment of authority for Personnel activities.

To help A.I.D.'s management in selecting among possible objectives, we will use the study technique known as system

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Figure 3.1  
**GENERAL PROCESS FOR PHASE IIA**



evaluation:\* comparing the cost, effectiveness, and feasibility of alternative future systems. In this step, we shall describe alternative general solutions to the defined problems and estimate their cost and feasibility (System Synthesis); estimate their effectiveness (System Analysis); and compare these estimates of cost, effectiveness, and feasibility in meaningful ways (System Selection). We shall then present this information to A.I.D. management, who--also applying such other criteria as they desire--can select the problems to be solved and establish objectives for the solutions.

#### Alternatives Selection

Again, A.I.D. management will be presented with the choice among the preferred ways of achieving the selected objectives. This choice is necessary because alternative ways can be found for performing almost any mission. The selection among alternatives will indicate A.I.D.'s preference for the one system for which detailed design studies will be made. Again in this step, it appears that our and A.I.D.'s chief concern will relate to ways to achieve the preferred organization; but this step will consider organization in more detail than in the Objective Selection decision.

The system evaluation study technique can also assist the executive in selecting from alternative means. Its application

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\* The term system evaluation as used here refers only to future systems, and it should not be confused with the evaluation of the performance of systems in being. In the detailed work plan, the decision-supporting study is called "system study".

is much the same here as in the Objective Selection step but in much greater detail. The technique applies an analytic framework that identifies (1) determinants: the elements of environment of the Personnel System that constrain its design, (such as the external and internal constraints mentioned earlier); (2) components: the physical parts of the Personnel System; (such as people, facilities, equipment, and so on); and (3) integrators: the actions that occur in the system, of two kinds: (a) functions that produce the output; and (b) controls that direct or restrain the functions. The study technique employs this framework in examining the relationship among its elements.

Analyze Existing System (reading now from left to right across the bottom of Figure 3.1)

We shall examine in detail the organization, staffing, methods, and procedures of A.I.D.'s existing Personnel System to identify (1) which activities are essential and what constraints are imposed on them; and (2) what information is required, where, and when. This can be done in parallel with the Problem Definition step and can help in identifying and defining the problems. The work preliminary to this was done in Phase I.

Design System Elements (Preliminary)

The initial redesign of the essential Personnel activities will consist of (1) simplifying their organization, staffing, methods, and procedures as "building blocks" for the new system design; (2) maintaining functions in their present form where desirable; and (3) considering the suitability of each activity for automation. This work is controlled by the decisions made in the Objectives Selection step, and it may proceed in parallel with the study supporting the Alternative Selection step.

## System Design

After A.I.D. has selected the organization pattern they prefer, we shall fit the preliminary designs of the individual functions into it, adjusting them to the adjacent functions wherever necessary and designing flows of work and information so as to form a cohesive, self-supporting system with flow patterns that will minimize the work-load and maximize the productive effort within the constraint imposed by limitations on staff. In this step, the processes to be automated will be selected and the system designed accordingly. The work of Phase IIA of the study is completed in this step. The product will be an External Reference Specification. When it is approved by A.I.D. it will be the basis for the technical control of the work in Phase IIB.

### Phase IIB

The objective of Phase IIB of the study is to complete, in detail, the design that was specified in Phase IIA. This detailed design will involve (1) preparing procedures for operating personnel to use manually; and (2) converting of tasks specified to be automated into a form suitable for computer programmers. Since the goal of the project is to provide a fully operational Personnel System, a number of peripheral tasks must be performed, including: training, drafting of Manual Orders, evaluation of the functioning of the system, and finally, turning it over to A.I.D. The work to be performed in this phase has been divided into three groups: design activities, support activities, and implementation.

Design activities involve creating the procedures and processes that can be put into operation to meet system objectives. Design does not include implementation; in general, good design method always separates designing the logical structure and specifying the process or sequence that results in the item. The end-products of the design activities are detailed blueprints.

Support activities assist the designers, or are necessary to insure an operating system. Support activities provide system training, technical writing assistance, project planning, and system evaluation.

Implementation, generally, consists of the activities needed to convert portions of the system that are to be automated to operational computer programs. Also, there will be certain manual procedures to be written up. Although responsibility for programming has not been established, implementation has been carefully accounted for in the schedule. Control of the work and phasing activities are among the most important considerations in coordinating these activity groups.

If the A.I.D. Personnel System is to be produced in the available time, a number of tasks must proceed in parallel. Tasks will be paralleled whenever the products to result from them do not directly affect each other. Phasing of these activities is not looked upon as a particularly difficult problem (see PERT chart, Figure 3.3).

The basic problem is that diverse activities must be granted independence so that their special problems can be solved. Guidance must be provided to all activities in a manner which does not inhibit problem solution, but insures that all

activities are integrated and working toward the same system. The activities to be integrated are: programming/analysis, implementation, computer operations, system integration, evaluation, and documentation. The External Reference Specification (ERS) that is produced from Phase IIA provides the necessary guidance and control. The ERS has the following characteristics:

- It is written to describe the total system as it will be seen by the user.
- It expresses all design objectives.
- It lists all deliverable products.
- It gives the equipment configuration to be used and special customer resources to be allocated to the system.
- It gives standards to be observed.

The ERS does not contain:

- Programming strategy or tactics.
- Production schedules.
- A.I.D. Personnel resource allocations.

The content of the ERS will not be developed here. The single immutable constraint is that it provide a user's guide to the system and describe his responsibility to it.

The ERS forms the basis for system automatic organization and detailed planning for future activity. All system design changes will make reference to the portion of the ERS that they affect and changes will have to be posted and distributed regularly. A specific individual will be placed in charge of maintaining the ERS and of arranging the necessary review and approval of changes.

Because of its orientation, the ERS can be used by all activities, and they can proceed with their work without fear of unexpected changes and without constant contact with other activities. When interface problems arise between specific operations, conferences can be arranged between those operations without involving the entire project.

In summary, the ERS provides these functions:

- Complete user-oriented specification
- Vehicle for controlling changes, and
- Common working document for all activities

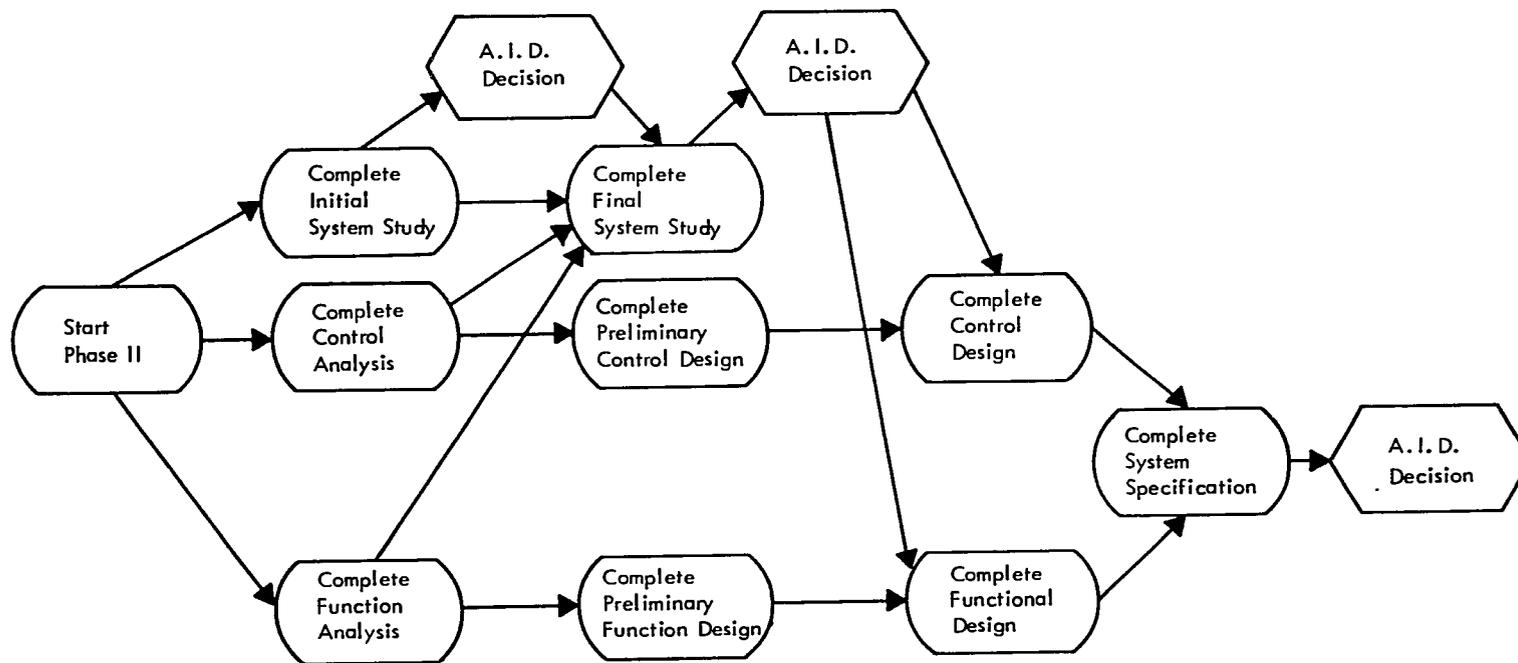
It should not be overlooked that it provides an early opportunity for comprehensive review and the making of changes at the point where they are the least disruptive and costly.

### Detailed Work Plan

#### Phase IIA

The work of Phase IIA will be organized along the general lines described above. It will be controlled by dividing it into specific Task Units, each of which will have a Scope of Work and an assigned completion date. Progress control will be maintained by the PERT technique. The major PERT milestones are shown in Figure 3.2.

Figure 3.2  
MAJOR MILESTONE EVENTS PHASE IIA



For control, the work of Phase IIA is divided into four principal areas: System Study, Control System Design, Functional System Design, and Total System Design.

- Area 100 - System Study includes (1) the design and completion of the framework for the system study, (2) the definition of problems, and (3) initial and final Personnel System studies, each of which leads to an A.I.D. decision as described above.
- Area 200 - Control System Design includes five separate lines of analysis and design, one each for the major functions of the control system: organizing, planning, informing, deciding, and commanding. These are treated separate from the functional system because they are different in nature; their mission is to keep the functional system working properly so as to accomplish its mission (which is also the principal mission of the Personnel System).
- Area 300 - Functional System Design includes eight separate lines of analysis and preliminary design, one each for the major functions of the Personnel System as described in Section I. In the final design, the eight functions are joined into a coherent system and the flows of authority, activity, and information among them are designed.
- Area 400 - Total System Design involves merging the designs for the control system and the functional system into one consistent, coherent design for the total Personnel System, identifying elements of the

system that may be automated profitably, and preparing a specification for the total system that will serve as the basis for control of the implementation.

All descriptions of the Task Units in Phase IIA are included below except for those in the analysis and preliminary design of the functional system. In that area descriptions are given for only one function (Recruitment). Those for the other seven functions will be practically identical to the ones included. They will be produced later for use in control of the work.

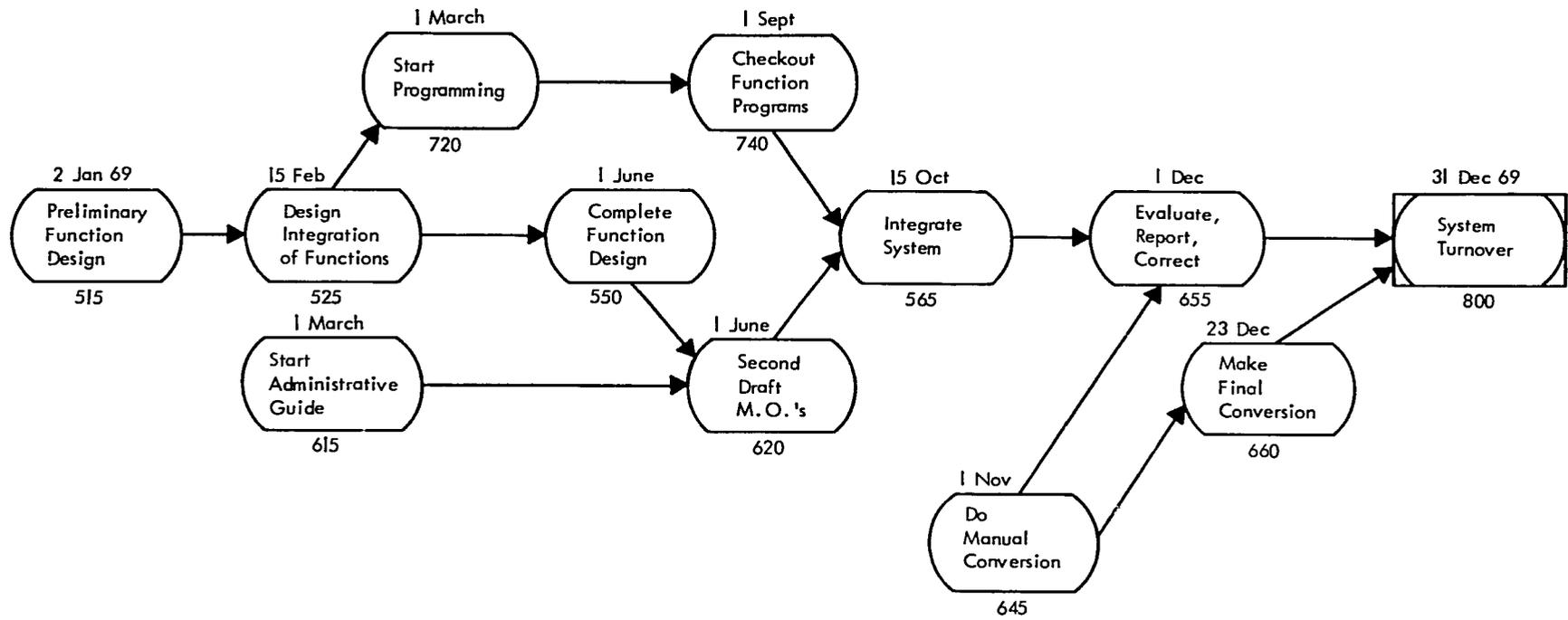
#### Phase IIB

The work of Phase IIB is described in detail through the use of specific task units, each of which has a Scope of Work and will have an assigned completion date and a level of effort in man-months. Progress control will be maintained through PERT techniques. The important PERT milestones along the major critical path are shown in Figure 3.3. Associated with each milestone is a schedule date.

Work on this phase will be controlled by the External Reference Specification produced in Phase IIA. A total of 100 man-months of effort is allocated to Phase IIB for detailed design and support activities, but it does not include programming.

Detailed design is the process of converting the ERS into a form usable by programmers, preparing written instructions for manual procedures, and writing other design documentation. During this process the designer will consider his activity in relation to surrounding activities. This will result in definition of interfaces between activities to achieve a smooth and

Figure 3.3  
MAJOR MILESTONE EVENTS PHASE IIB



timely exchange of information. Also at this time it will be determined which details will be automated and which must be done by a manual procedure.

Flow charts or decision tables will be constructed for both the manual and automated processes. For the manual processes, procedures will be written and forms designed. For the automated processes, record layouts will be constructed, interface information written up, and reports formulated for approval. Flow charts and narratives will record detail to a level sufficient to describe precisely what is required. This level of detail will frequently leave the programmer with a selection of alternative implementation techniques.

The designer will retain responsibility for checking out manual procedures and design logic. The programmer will have responsibility for the production of operational programs exactly reflecting the design logic.

### Products of Phase II

The following list of major deliverable items was compiled from the products listed in the task write-ups. They are listed in the approximate order of delivery.

- Organizational alternatives considered
- Selected organization structure
- Total system specification
- Programming cost analysis
- Detailed function design packages
- Draft manual orders
- Employee pamphlet
- Administrative guide to system
- Manual procedures
- Operational system evaluation report

A.I.D. Personnel Study Task Units

<u>Area</u>	<u>Task Unit</u>
100	SYSTEM STUDY
	<u>Analytic Framework</u>
111	Design Analytic Framework
112	Assemble Analytic Framework
	<u>System Study</u>
121	Conduct Initial System Study
122	Present Initial Findings to A.I.D.
123	Conduct Final System Study
124	Present System Study to A.I.D.
	<u>Problem Definition</u>
131	Define Problems (Preliminary)
132	Define Problems
200	CONTROL SYSTEM DESIGN
	<u>Organization Design</u>
211	Analyze Existing Organization
213	Design Organization
	<u>Planning System</u>
221	Analyze Existing Planning System
222	Design Planning System (Preliminary)
223	Design Planning System
	<u>Information System</u>
231	Analyze Existing Information System
232	Design Information System (Preliminary)
233	Design Information System
	<u>Decision System</u>
241	Analyze Existing Decision System
243	Design Decision System

A.I.D. Personnel Study Task Units, Continued

	<u>Command System</u>
251	Analyze Existing Command System
253	Design Command System
300	FUNCTIONAL SYSTEM DESIGN
	<u>Recruitment System</u>
311	Analyze Existing Recruitment System
312	Design Recruitment System (Preliminary)
	<u>Assignment System</u>
321	Analyze Existing Assignment System
322	Design Assignment System (Preliminary)
	<u>Promotion System</u>
331	Analyze Existing Promotion System
332	Design Promotion System (Preliminary)
	<u>Evaluation System</u>
341	Analyze Existing Evaluation System
342	Design Evaluation System (Preliminary)
	<u>Training System</u>
351	Analyze Existing Training System
352	Design Training System (Preliminary)
	<u>Compensation System</u>
361	Analyze Existing Compensation System
362	Design Compensation System (Preliminary)
	<u>Termination System</u>
371	Analyze Existing Termination System
372	Design Termination System (Preliminary)
	<u>Service System</u>
381	Analyze Existing Service System
382	Design Service System (Preliminary)
	<u>Final Functional System</u>
393	Design Final Functional System

A.I.D. Personnel Study Task Units, Continued

400	TOTAL SYSTEM DESIGN
414	Specify Total System
415	Present Final Specification to A.I.D.
500	DETAIL DESIGN
500	Detail Project Planning
505	Design Employee Master File
510	Design Organization Master File
515	Design Functions (Preliminary)
520	Design SF 50, 52 Processing
525	Design Integration
530	Design Conversion Programs
540	Design Organization MF Update
545	Design Assignment Model (Assign)
550	Design Functions (Final)
555	Design Assignment Model (Projections)
560	Design Payroll Interface
565	System Integration
600	SUPPORT ACTIVITIES
601	Provide Technical Assistance
605	Prepare Draft M.O.
610	Write Employee Pamphlet
615	Write Administrative Guide to System
620	Prepare 2nd Draft of M.O.'s
630	Plan System Training
640	Conduct System Training
650	Plan System Evaluation
655	Test System Performance
700	PROGRAMMING
	Tasks not included

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Design Analytic Framework

No. 111

Area: Systems Evaluation

Scope of Work: Design a framework for the evaluation of alternative future personnel management systems, identifying and generally describing the determinants, components, and integrators (functions and controls), arranging them in logical order, and arraying them in suitable patterns.

Product: List of determinants, components, and integrators, definitions for them, and a symmetrical matrix arraying them in logical order.

Inputs From: Phase I

Outputs To: Task Units 112, 121

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Assemble Analytic Framework

No. 112

Area: Systems Evaluation

Scope of Work: Identify, obtain, and assemble data on the various elements of the analysis as defined in Task Unit 111.

Product: A document describing in appropriate detail the analytic framework, defining its major classes of elements, and presenting data on the various elements required for the analysis.

Inputs From: Phase I

Task Units: 111, 211 to 251, 311 to 381

Outputs To: Task Unit 123

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Conduct Initial System Study

No. 121

Area: System Study

Scope of Work: Using the problem definitions from TU 131 and the analytic framework designed in TU 111, synthesize general system designs to achieve alternative organizational objectives; estimate their effectiveness in achieving these objectives; compare their relative cost, effectiveness, and feasibility; derive criteria for judging the relative preferability of the alternative organizational objectives; and prepare suggestions as to statements of policy, mission, and performance requirements suitable for translating the objectives into operational terms.

Product: A report describing the alternatives considered and the work done and presenting the findings.

Inputs From: Task Units: 111, 131

Outputs To: Task Unit 122

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Present Initial Findings to A.I.D. No. 122

Area: System Study

Scope of Work: Prepare graphics and verbal presentations of the work and findings of TU 121; give oral briefings to A.I.D. officials who are to select from the alternatives presented.

Product: Oral briefings with suitable briefing aids.

Inputs From: Task Unit 121

Outputs To: A.I.D.

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Conduct Final System Study

No. 123

Area: System Study

Scope of Work: Based on the A.I.D. decisions following TU 122 and using the problem definitions from TU 132 and the analytic framework assembled in TU 122, synthesize alternative system designs to achieve the stated organizational objectives; estimate their effectiveness in achieving the stated objectives; compare their relative cost, effectiveness, and feasibility; derive criteria for judging the relative preferability of the alternative objectives.

Product: A report describing the alternatives considered and the work done and presenting the findings.

Inputs From: Task Units 112, 121, 132

Outputs To: Task Unit 124

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A. I. D. PERSONNEL STUDY  
Task Unit

Title: Present System Study to A.I.D. No. 124

Area: System Study

Scope of Work: Prepare graphics and verbal presentations of the work and findings of TU 123; give oral briefings to A.I.D. officials who are to select from the alternatives presented.

Product: Oral briefings with suitable briefing aids.

Inputs From: Task Unit 123

Outputs To: A.I.D.

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A. I. D. PERSONNEL STUDY  
Task Unit

Title: Define Problems (Preliminary)

No. 131

Area: Systems Evaluation

Scope of Work: Analyze the existing general organization, methods, and procedures of A.I.D. personnel management, comparing them with accepted norms where possible, identifying problems that need solution, and defining these problems in terms of their underlying cause rather than in terms of their symptoms.

Product: A set of problem definitions, each (1) identifying the system in which the problem is found, (2) defining the problem, and (3) giving supporting evidence.

Inputs From: Phase I

Outputs To: Task Units 121, 132

Manpower Estimate: \_\_\_\_\_ man months

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Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Define Problems

No. 132

Area: Systems Evaluation

Scope of Work: Analyze the existing organization, methods, and procedures of A.I.D. personnel management--using detailed information from the analysis task units in Area 200, Control System, and Area 300, Functional Systems--comparing them with accepted norms where possible, identifying problems that need solution, and defining these problems in terms of their underlying cause rather than in terms of their symptoms.

Product: A set of problem definitions, each  
(1) identifying the system in which the problem is found,  
(2) defining the problem, and (3) giving supporting evidence.

Inputs From: Task Units 131, 211 to 251, 311 to 381

Outputs To: Task Unit 123

Manpower Estimate: \_\_\_\_\_ man months

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Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Analyze Existing Organization

No. 211

Area: Control System Design

Scope of Work: Assemble data on the existing personnel management organization whenever personnel management activities occur in the A.I.D. organization; chart this organization in detail by organizational element, position title and grade; identify and describe the patterns of delegation and assignment of authority to positions and the sources of this authority; identify the decision-making positions and describe the decisions made in each; identify and describe the activities performed in each element, relating them to the major activities of the control and functional systems; identify and describe the interfaces between the personnel management organization and the remainder of the A.I.D. organization; identify and describe the channels of communication; identify and describe observed deviations from the established organization; identify and describe the methods and procedures for making revisions in the personnel management organization.

Product: A report describing the work done and presenting the findings.

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Inputs From: Phase I  
Task Units 211, 241, 251, 311 to 381

Outputs To: Task Units 112, 132, 212

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Design Organization

No. 213

Area: Control System Design

Scope of Work: Building on the analysis performed in TU 211 and on the A.I.D. system design selection following TU 124, and in conjunction with the design of the control and functional systems being done in other Task Units, design the personnel management organization, specifying (1) organizational elements and staffing patterns--by skills and numbers, (2) delegations of authority, and (3) channels of communication; design the system for changing the organization to reflect changes in roles, missions, and work load and prepare the documentation necessary to make the system operative, including procedural manuals, hand books, and control procedures.

Product: A report describing the organization and the organizing system plus drafts of the required documentation.

Inputs From: A.I.D. Decision (after TU 124)

Task Units 211, 223, 233, 243, 253, 393

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Outputs To: Task Unit 414

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Analyze Existing Planning System No. 221

Area: Control System Design

Scope of Work: Assemble data on existing personnel planning activities whenever they occur in the A.I.D. organization; identify the organizational elements and positions involved and describe their planning activities; analyze and prepare flow charts for the documents used in the planning process; identify decision points by position and describe decisions made; identify and describe interfaces between the personnel planning system and the remainder of the A.I.D. system; analyze work load.

Product: A report describing the work done and the findings.

Inputs From: Phase I

Outputs To: Task Units 112, 132, 211, 222

Manpower Estimate: \_\_\_\_\_ man months

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Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Design Planning System (Preliminary)

No. 222

Area: Control System Design

Scope of Work: Building on the analysis performed in TU 221 and conforming to the A.I.D. policy decision following TU 122, make a preliminary design of a personnel planning system:  
(1) designing techniques, methods, and frameworks for analyzing situations, defining problems, synthesizing and evaluating alternative solutions, and for presenting the result and  
(2) establishing the activities to be performed, identifying the information requirements, and diagramming the flows of activity and information.

Product: A report describing (1) the work done, (2) the alternatives considered and the basis for selecting those developed, and (3) the preliminary design.

Inputs From: A.I.D. Decision (after TU 122)  
Task Unit 221

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Outputs To: Task Units 223, 393

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Design Planning System

No. 223

Area: Control System Design

Scope of Work: Building upon the preliminary design from TU 221 and the A.I.D. system design selection following TU 124, design a personnel planning system, (1) defining the methods, techniques, frameworks, and information requirements, (2) establishing flows of activity and information, (3) establishing a staffing pattern by skills and numbers required, and (4) preparing documentation required to make the system operative, including procedural manuals, handbooks, and control procedures.

Product: A report describing the system plus drafts of manuals, handbooks, and control procedures.

Inputs From: A.I.D. Decision (after TU 124)  
Task Unit 222

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Outputs To: ~~Task Units 213, 233, 243, 414~~

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Analyze Existing Information System No. 231

Area: Control System Design

Scope of Work: Assemble data on the existing personnel information systems; identify sources, destinations, and flow patterns; identify the organizational elements and positions involved in the information system and describe their information activities; analyze the documents and other records involved in recording transmitting, storing, and retrieving information for unnecessary duplication and redundancy; identify decision points and describe decisions made; identify and describe interfaces between personnel information system and remainder of the A.I.D. systems; analyze work load.

Product: A report describing the work done and the findings.

Inputs From: Phase I  
Task Units 211, 221, 241, 251, 311 to 381

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Outputs To: Task Unit 112, 132, 232

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Design Information System (Preliminary) No. 232

Area: Control System Design

Scope of Work: Building on the analysis performed in TU 231 and conforming to the A.I.D. policy decision following TU 122, make a preliminary design of a personnel information system: (1) in conjunction with the preliminary functional and control system designs being performed in other Task Units, identify data requirements and design a data base that will reduce redundancy to a minimum; (2) design information inputs to the data base and to the several functions and controls, applying simplification techniques wherever possible; and (3) design models of the information flow and processing within the functions and controls; all with a view toward automation of any or all of the information activities.

Product: A report describing the alternative designs of a data base, forms, information flows, and information processing models considered and the bases for selecting those developed.

Inputs From: A.I.D. Decision (after TU 122)  
Task Unit 231

Outputs To: Task Units 233, 393

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Design Information System

No. 233

Area: Control System Design

Scope of Work: Building on the preliminary design made in TU 232 and on the A.I.D. system design selection following TU 124, and in conjunction with the final design of the controls and the functional system being done in other Task Units, design the information system (1) specifying (a) the form and content of the data base, the inputs to the data base, the functions, and the controls and the outputs from the functions and the controls and (b) the functions to be performed by data processing models; (2) specifying the information flow patterns; and identifying logical groups of information activities for automation, rank ordering these groups by the benefit to be obtained from their automation.

Product: A report containing the specifications produced.

Inputs From: A.I.D. Decision (after TU 124)  
Task Units 213, 223, 243, 253, 393

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Outputs To: Task Unit 414

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Analyze Existing Decision System No. 241

Area: Control System Design

Scope of Work: Assemble data on the existing personnel decision structure whenever personnel decisions are made throughout A.I.D.; identify the decision points by organizational element and position; describe the decisions made, relating them to the major activities of the control and functional systems; describe the information input to each decision; analyze and compare decisions to discover redundancy.

Product: A report describing the work done and the findings.

Inputs From: Phase I

Outputs To: Task Units 112, 132, 243

Manpower Estimate: \_\_\_\_\_ man months

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Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Design Decision System

No. 243

Area: Control System Design

Scope of Work: Building on the analysis performed in TU 241 and on the A.I.D. system design selection following TU 124, design a personnel decision structure related to the control and functional systems being designed in other task units; define the decision points, the decisions to be made in each, and the information requirements for these decisions.

Product: A report (1) describing the alternatives considered and the basis for selecting those developed and (2) defining decision points, decisions, and information requirements.

Inputs From: A.I.D. Decision (after TU 124)  
Task Units 241, 223

Outputs To: Task Units, 213, 233, 253, 414

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Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Analyze Existing Command System

No. 251

Area: Control System Design

Scope of Work: Assemble data on existing personnel command structure wherever orders affecting personnel management are promulgated in A.I.D. and the effects of these orders are reviewed; identify the organizational elements and positions involved and describe the orders and reviews; identify information inputs; analyze the command promulgation and review process to discover any redundancy.

Product: A report describing the work done and the findings.

Inputs From: Phase I

Outputs To: Task Units 112, 132, 243

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Design Command System

No. 253

Area: Control System Design

Scope of Work: Building on the analysis performed in TU 251 and on the A.I.D. system design selection following TU 124, design a personnel command structure related to the control and functional systems being designed in other Task Units; define the command points, the orders promulgated, and the reviews to be made in each, and the information requirements for these orders and reviews.

Product: A report (1) describing the alternatives considered and the bases for selecting those developed and (2) defining command points, orders, reviews, and information requirements.

Inputs From: A.I.D. Decision (after TU 124)  
Task Units 243, 251

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Outputs To: Task Units 213, 233, 414

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Analyze Existing Recruitment System No. 311

Area: Functional System Design

Scope of Work: Assemble data on the recruiting activities whenever they occur in A.I.D.; identify the organizational elements and positions involved in recruiting activities; analyze and prepare flow charts for the documents used in the recruiting process; identify decision points by position and describe decisions made; identify and describe interfaces between recruitment system and remainder of A.I.D. system; analyze work load.

Product: A report describing the work done and the findings.

Inputs From: Phase I

Outputs To: Task Units 112, 132, 211, 213, 312

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:



A.I.D. PERSONNEL STUDY  
Task Unit

Title: Design Final Functional System

No. 393

Area: Functional System Design

Scope of Work: Building on all preceding task units in Area 300 and on the A.I.D. system design selection following TU 124, design the functional personnel management system; continuing the work simplification and methods improvement processes: combining documents, eliminating unnecessary recording of data and other operations, simplifying flow patterns, combining functions to eliminate unnecessary and unproductive supervision, and accomplishing such other improvements as will minimize the work load and maximize the productive effort within the constraint imposed by limitations on staff, all so as to maintain essential services plus those desirable services as A.I.D. decides to provide; prepare documentation required to make the system operative, including procedural manuals, handbooks, and control procedures.

Product: A report describing the work done and the new methods, procedures and so on plus drafts of the required documentation.

Inputs From: A.I.D. Decision (after TU 124)  
Task Units 312 to 382

Outputs To: Task Unit 414

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Specify Total System

No. 414

Area: Total System Design

Scope of Work: Assemble the final designs of the control systems and the functional system into an integrated system design, assuring (1) feasibility within the limitations imposed by the constraints, (2) internal consistency among the functions and controls, and (3) consistency in the documentation; and prepare lists of the directions and orders necessary to implement the new system design.

Product: A report describing the total system (External Reference Specification) and a list of those MO's which must be drafted or changed.

Inputs From: Task Units 213 to 253, 393

Outputs To: A.I.D.  
Task Unit 415

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Present Final Specification to A.I.D. No. 415

Area: Total System Design

Scope of Work: Prepare graphics and verbal presentations of the work of TU 414 and describing the specifications for the total system; give oral briefings to A.I.D. officials who are to consider the specifications for approval; present specifications to A.I.D. for approval.

Product: Oral briefings with suitable briefing aids.

Inputs From: Task Unit 414

Outputs To: A.I.D.  
Phase IIB (Task Unit 500)

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Detail Project Planning

No. 500

Area: Support

Scope of Work: Do detailed planning and work scheduling for the remaining contract time. This task is to include revising of the PERT network, allocation of tasks to specific individuals, construction of project controls, and familiarization of new project personnel (if any) with the ERS. In addition, such time as is required to secure approval from A.I.D. of the ERS, and to modify it to reflect mutually agreed upon changes are to be accounted for against this task. Further, a detailed estimate and task breakdown (to be reflected in the PERT chart) is to be compiled on all programming activity which is required to make the system operational.

Product: Work assignments, revised PERT chart, detailed programming cost estimate.

Inputs From: Task Unit 415

Outputs To: Task Units 505, 515, 520

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Detail Design Employee Master File No. 505

Area: Design

Scope of Work: Layout in complete detail the Employee Master File, which will contain data on all employees to be covered by the system. This task shall include both employee record layout and file organization. Data elements will be determined from the System Specifications, existing master file, payroll system and suggestions from the IAG 246 report. Data elements will be named in accordance with these names suggested in the IAG 246 report. The employee record must be so structured that from it can be extracted all data necessary to provide a SF7.

Product: Detailed record layout and file organization, including a coordinated list of data element names.

Inputs From: Task Unit 500

Outputs To: Task Unit 520

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Detail Design of the Organization Master File No. 510

Area: Design

Scope of Work: Layout in complete detail the Organization Master File, will contain data related to each organizational unit to be covered by the system. This task shall include both record layout and file organization. The record shall contain such personnel related data on an organization as is necessary to the system (e.g. ceilings, authorized positions, location of unit). SPAR data will be retained in this file.

Product: Detailed record layout and file organization, and a coordinated list of data element names.

Inputs From: Task Unit 500

Outputs To: Task Unit 520

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Detail Design of Functions

No. 515  
550

Area: Design

Scope of Work: This task covers the detail design to be performed on the eight basic functions, which are:

- |                |                 |
|----------------|-----------------|
| A. Recruitment | E. Training     |
| B. Assignments | F. Compensation |
| C. Promotion   | G. Termination  |
| D. Evaluation  | H. Services     |

Other functions may be identified during the specification process, and they are also to be included in this task. All detail design not specifically covered by another task is to be included in this. The work is to be divided into two distinct parts. The first will be a preliminary design and the second a final design. The preliminary design is to be oriented to structuring the flow within the function and identifying all required interfaces with other functions. Data requirements imposed on the employee and Organization Master files and SF 50 and 52 must also be identified. Upon completion of this part a design integration process will be started (see Task 525). After integration, final design can proceed. It is expected that function design activities will proceed in parallel, which will require that constant attention be paid to interfacing problems. A list of subjects for Manual Orders, authorize specific processes, must be generated during final design.

Title: Detail Design of Functions (Concluded)

No. 515  
550

Area: Design

Product: Preliminary design, final design of all basic functions, list M.O. subjects.

Inputs From: Task Unit 500

Outputs To: Task Unit 620, 560

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Detail Design, Form 50, 52

No. 520

Area: Design

Scope of Work: Design in detail all input processing of Standard Forms (SF) 50 and 52. This task shall include redesign of forms, and providing assistance in securing CSC approval for their use. All necessary code development will be done, taking into consideration Department of State SF 50 coding. All manual procedures necessary will be written. Detailed program design will be completed to in-process the SF 50 and SF 52 to perform a complete validation of given data and to account for error correction procedures.

Product: Manual procedures, redesigned forms, program designs.

Inputs From: Task Unit 510

Outputs To: Task Unit 525

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Design Integration

No. 525

Area: Design

Scope of Work: Upon completion of preliminary designs for the functions and the SF 50 processing, a review of all designs will be made. The intent of the review is to determine problems in the area of interfacing between functions and to structure such subsidiary files (history, suspense, etc.) as are required collectively. Processes which are common to two or more functions will be assigned the responsibility of one of the Function Designers.

Product: Common file structures and record layouts.

Inputs From: Task Units 515, 520

Outputs To: Task Unit 535

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Detailed Design of Conversion Programs No. 530

Area: Design

Scope of Work: Determine requirements for converting existing Personnel Data System (PDS) files to new system files. Detail design processes and programs as are necessary to affect such conversion. Programs designed under this task are to be used to create the initial data base for the new system. Conversions identified as unacceptable to automated processes are to be listed and procedures written to assist manual conversion.

Product: Conversion program designs, list of manual conversions and supporting procedures.

Inputs From: Initial

Outputs To: Task Unit 710

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Detail Design of Organization MF Update No. 540

Area: Design

Scope of Work: Detail design of computer program to update the Organization Master File. This task shall include identification of sources of change to the file which are not functionally related (e.g. a departmental reorganization) and the design of forms and procedures to capture and allow updating of the file. Detailed program design will include error checking and correction of errors, and all other file maintenance functions.

Product: Forms, procedures, detailed program designs.

Inputs From: Initial

Outputs To: Task Unit 705

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Detail Design of Assignment Model (Assignments) No. 545

Area: Design

Scope of Work: Utilizing data contained in the Organization and employee Master Files, design a program to match employee qualifications to job qualifications whenever both an employee and a job will be available at approximately the same time. Output of this program will be a suggested list of candidates for a position, positions not filled and persons not placed. The model should handle all vacancy control processes. Design consideration is to be given to the use of the model for other types of projections which might be made from it, but are not to be detail designed under this task.

Product: Report layouts, detail design.

Inputs From: Task Unit 535

Outputs To: Task Unit 555

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Detail Design of Assignment Model (Projections) No. 555

Area: Design

Scope of Work: Utilizing the model constructed for assignments, design a program to be used "on demand" to simulate increases and decreases in total strength, or available positions or effects of changes in skills. Projections of situations 3 years into the future are to be permitted.

Product: Report layouts, detailed program design.

Inputs From: Task Unit 545

Outputs To: Task Unit 750

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Detail Design of Payroll Interface

No. 560

Area: Design

Scope of Work: Determine through coordination with the payroll system the frequency and type of data which must be provided from the Personnel System to support the Payroll System. Also determine and make provision for the receipt of data in the Payroll System which will be of interest to the Personnel System. Detail design the program(s) necessary to accomplish the exchange of data, including record layouts and manual procedures required.

Product: Record layouts, exchange agreement, detailed program design.

Inputs From: Task Unit 550

Outputs To: Task Unit 755

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: System Integration

No. 565

Area: Support

Scope of Work: Plan in detail the procedures for integrating all facets of the system. To include:

Data Collection

Packages to be integrated and time phasing

Machine room procedures

Tests for successful integration

This task is also to include supervision of the actual integration and arrangements with all persons involved in the integration effort. This task does not include determination of correct functioning of the parts integrated, except as it might effect actual integration. Integration will be considered complete when all units are functioning as a whole.

Product: Detailed plans and procedures.

Inputs From: Task Units 620, 625, 740, 745

Outputs To: Task Unit 655

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Technical Assistance

No. 601

Area: Support

Scope of Work: Participate as directed with the Office of Personnel and Manpower, the Office of Data Systems and Management, and the Office of the Controller in the development of the A.I.D. Personnel System.

Product: None

Inputs From: Not applicable

Outputs To: Not applicable

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Prepare Draft MO's

No. 605

No. 620

Area: Support

Scope of Work: In coordination with A.I.D. and the system designers, determine those MO's which must be provided to give authority to the system. Prepare a draft of each identified MO which gives the intent and legal basis of the Manual Order. Structure, if necessary, a standard outline for MO's, to which drafts will be written. In addition, this task shall include technical editing support to systems designers who are preparing procedures, and the writing of procedures and documents which are not identified as part of other tasks.

Product: Draft MO's and miscellaneous procedures.

Inputs From: Task Unit 550

Outputs To: Task Unit 565

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Write Employee Pamphlet

No. 610

Area: Support

Scope of Work: Using the system specifications as a guide, write an overview of the system. The audience for the overview is to be all A.I.D. employees. It is expected that this work will be published in pamphlet form and be distributed to all A.I.D. employees. It is to describe the system as it affects the various classes of employees, including inputs the employee may be expected to provide from time to time and why, but without great detail. Artwork should be used to enhance the pamphlet's attractiveness.

Product: Final draft of overview pamphlet.

Inputs From: Initial

Outputs To: Task Unit 620

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Write an Administrative Guide to the Personnel System No. 615

Area: Support

Scope of Work: Using the system specification, draft MO's and procedures, write a summary of the personnel system. The audience for this summary is to be branch chiefs and above. The document is intended to be an aid to administration of the system and to provide managers with a picture of the entire system.

Product: A final draft of the Administrative Guide to the A.I.D. Personnel System.

Inputs From: Task Unit 605

Outputs To: Task Unit 620

Manpower Estimate: \_\_\_\_\_ man months

Assigned to:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Plan System Training

No. 630

Area: Support

Scope of Work: Plan such training of A.I.D. employees as will be required to implement and maintain the new system. Implementation training will be planned for those personnel responsible for input to the system. The text for this instruction will be the written instructions produced earlier. Instruction will include contrived problems to be solved. Lesson plans will be developed for each different class to be taught. One class will be organized for administrative personnel and 1 or 2 as required for operating personnel. Maintenance training will be limited to familiarizing two or three A.I.D. computer systems analysts with the detailed design approach.

Product: Plan of Instruction, lesson plans.

Inputs From: Initial

Outputs To: Task Unit 640

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Conduct System Training

No. 640

Area: Support

Scope of Work: Conduct such training of A.I.D. employees as will be required to implement and maintain the new system. Training will be conducted from the Lesson Plans using the previously generated system documentation as texts. Instruction for operating personnel will be conducted in formal classes, in Washington, D.C. Classes are expected to run a minimum of 20 hours. Two such classes are expected. Administrative instruction will consist of semi-formal briefings covering policies and procedures and the Administrative Guide. These briefings will be held to 4 hours or less and will encompass administrative levels as determined by A.I.D. Three briefings are planned. These briefings are not to be confused with other briefings which might be held as needed for progress reporting, etc., relating to the design effort. Maintenance training will be conducted by working systems analysts, for A.I.D. Systems Analysts, to familiarize them with the design. No training will be conducted for computer program maintenance, or for computer operation.

Product: 2 Classes  
3 Briefings

Inputs From: Task Unit 630

Outputs To: Task Unit 655

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Plan System Evaluation

No. 650

Area: Support

Scope of Work: Plan to test and evaluate the operation of the system to assure satisfactory, integrated performance. Planning and preparation for system evaluation requires a thorough knowledge of the system, from the inside (computer programs) and the outside (input procedures). The planning phase will consist of deciding which parts of the system are critical to proper performance and what sort of tests will adequately check to assure compliance with the approved External Reference Specifications. Test data and sample outputs will be prepared as required for the planned tests. Machine time and A.I.D. personnel time will be scheduled for conducting the tests. An outline of the evaluation report will be generated.

Product: Evaluation Plan, outline of Evaluation Report.

Inputs From: Initial

Outputs To: Task Unit 655

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

A.I.D. PERSONNEL STUDY  
Task Unit

Title: Test System Performance

No. 655

Area: Support

Scope of Work: Test and evaluate the operation of the new system to assure satisfactory, integrated performance, and review computer outputs to assure they are in accordance with approved specifications. Using the tests and data that have been prepared, the system will be tested to assure compliance with specifications. Results of the test runs will be compared to sample outputs and deficiencies noted in the Evaluation Report. In order to accomplish this task within the period of the contract, it will be required that all programming be completed and debugged at least two weeks before expiration of the contract. If this is not the case, a modification to the contract will be required. The evaluation report may contain a list of areas where the operating system fails to comply with specifications. In the event that an organization other than URS is responsible for computer programming, the evaluation report, with a list of detected deficiencies will terminate URS responsibility under this task.

Product: System Test & Evaluation Report

Inputs From: Task Units 565, 640, 645, 650, 750, 755

Outputs To: Task Unit 800

Manpower Estimate: \_\_\_\_\_ man months

Assigned To:

Completion Date:

III-62

## **Appendices**

- A** CODIFICATION OF EXTERNAL CONSTRAINTS
  - Civil Service Commission
  - Executive Orders & BOB Circulars
  - Congressional Requirements
  - Foreign Service Rules
- B** ANALYSIS OF INTERNAL CONSTRAINTS
  - Policy Statements
  - Directives
  - A. I. D. Manual
- C** DETAILED PERSONNEL FUNCTIONAL DESCRIPTION
  - Work Flow
  - Activity Analysis
  - Functional Requirements
- D** BIBLIOGRAPHY OF REFERENCE DOCUMENTS
- E** SUGGESTED REDESIGN OF FORMS
- F** PERSONNEL ACTION TABLES
  - A systematic approach to decision making

## **Appendix A**

### **CODIFICATION OF EXTERNAL CONSTRAINTS**

The present A. I. D. Personnel System and any system proposed for the future operates within a body of rules and orders imposed from outside the Agency. These constraints are numerous, inviolate and relative to nearly every personnel action. These constraints almost more than any other factor will set requirements and limits to the proposed system. They are described in this appendix in a codified form to assist the system designers in Phase II of this project.

APPENDIX A  
CODIFICATION OF EXTERNAL CONSTRAINTS

The primary sources of authority for the A.I.D. Personnel System are the Congress, the Executive Office, the Civil Service Commission, the Department of State and the A.I.D. Administration (see Figure AI). Delegations of authority from these sources are limited, and these limitations impose constraints on the System. Each of these authorities treat a range of functions or activities that overlap in many areas and, in some instances, require resolution as to the dominant order. These external bodies have defined a set of requirements that must be satisfied by the system. To insure that the system designers have all such requirements available in Phase II a search was made to find them. The results are presented in this appendix.

Constraints on the A.I.D. Personnel System imposed by Agencies outside of A.I.D. cannot be changed or relieved by A.I.D. acting unilaterally; those imposed by A.I.D. Administration can be. Therefore, for the purposes of this report, constraints imposed by Agencies outside of A.I.D. will be classed as "external"; those imposed by A.I.D., as "internal."

Information originating in these sources is incorporated in several publications that provide the basic guidelines for A.I.D. operations. These publications (A.I.D. Manual Orders, Foreign Affairs Manual, Federal Personnel Manual, and Bureau of the Budget circulars) were evaluated and indexed in relation to the functional base in order to provide data in an easily accessible format.

The functions that provided the basis of the evaluation are:

- Recruitment
- Assignment
- Compensation
- Evaluation
- Training
- Promotion
- Services
- Termination

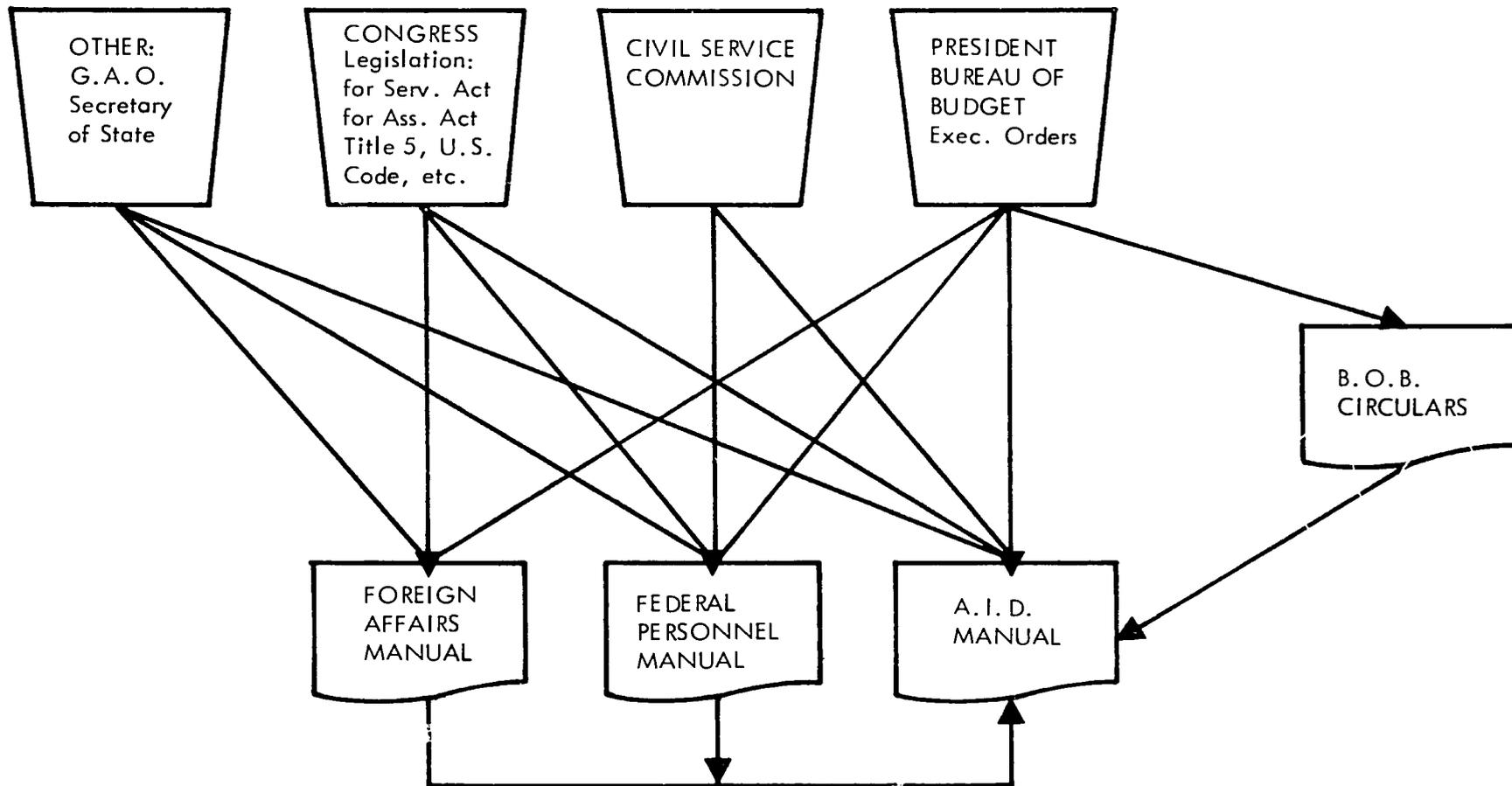
The primary sources of authority do not represent the entire body of external constraints on the System. Other agencies, e.g., the General Accounting Office and the National Bureau of Standards, who have authority to audit or regulate sometimes impose restrictions. These restrictions may appear in the form of memo or circular, the provisions of which may then be incorporated in the A.I.D. Manual Orders, the Federal Personnel Manual, or the Foreign Affairs Manual.

However, these secondary constraints may assume a more dominant role when their requirements specifically apply to specific activities of A.I.D. For example, the design of a computerized personnel system must take into consideration the National Bureau of Standard's guidelines for Government computer installations and operations.

The major codifications of external constraints on the A.I.D. Personnel System are found in the Federal Personnel Manual and the Foreign Affairs Manual. The A.I.D. Manual Orders contain references to legal sources but the difference between external and internal constraints is not clear in them. Manual Orders may be taken as imposing internal constraints that may have been generated by cited external constraints. This means that the systems designer will have to review the legal reference in most instances, since the Manual Order will not of itself provide a reliable guide to the alternatives that may be available.

Figure A-1

INFORMATION FLOW FROM EXTERNAL SOURCES  
AFFECTING A. I. D. PERSONNEL MANAGEMENT



The material on external constraints has been organized into three tables:

A1. Functional Index to Federal Personnel Manual

This table lists, in functional sequence, all references from Manual Orders and the Federal Personnel Manual which refer to a function.

A2. Functional Index to Foreign Affairs Manual

This table is organized in the same sequence as Table A1. All references from the Foreign Affairs Manual pertaining to functions are listed.

A3. Manual Order Index of Legal References

All Manual Orders that were listed in Table A1 are listed in this table by Manual Order number. The subject of the Manual Order and the legal reference, as cited in the order, are given. The cited legal reference will frequently be the FPM or FAM as noted in Tables A1 and A2, but other sources are also noted.

The coverage of the tables is limited to those affecting the functions. Other constraints which can effect the system or its implementation are not specifically identified in this appendix.

Table A4 gives a list of reports that must be produced. These reports usually represent activity in response to constraints and may be used to identify constraints or to determine the essentiality of a function or activity.

ABBREVIATIONS APPEARING IN TABLES A1, A2, and A3

FAA - Foreign Assistance Act of 1961  
SDDA - State Department Delegation of Authority  
DA - Delegation of Authority  
FSA - Foreign Service Act 1946  
USC - United States Code  
FPM - Federal Personnel Manual  
FAM - Foreign Affairs Manual  
EO - Executive Order  
PL - Public Law  
MSA - Mutual Security Act 1954  
CS - Civil Service  
VPA - Veteran's Preference Act 1944

Example of Reference:

FSA 933(a) -- Foreign Service Act of 1946, Sec. 933(a)

TABLE A1  
FUNCTIONAL INDEX TO FEDERAL PERSONNEL MANUAL

Topic	Function		Federal Personnel Manual		
	Code	AID Manual	Code	Location of Material	
RECRUITMENT	A		571	Sup.	990-1 P.L. 86-857
Advertise	Ab	413.1	332	Ch.	332-3
Application	Ac	414.1 414.1	333	Sup. Ch. Ch.	990-1 (Reg. 333) 333 295
Selection	Ad	414.2 402.1	302 550 330 333 339 339	Sup. Sup.	990-1 CS Rule VII 990-1 (Reg. 330)
Screen		413.2	333 330	Sup. Ch. Sup. Sup. Ch.	990-1 (Reg. 333) 333 990-1 CS Rule VIII 990-1 (Reg. 330) 330
Test		413.1 412.1	331 332	Ch. Sup. Sup. Sup. Sup. Ch.	331 990-1 Civil Service Act 990-1 Veterans Pref. Act. 990-1 Civil Service Rule II 990-1 (Reg. 332) 332
Interview		413.1 414.1			
Process	Ae		296	Ch. Sup.	296 296-31
Records		494.1			
Medical		454.1 414.3 419.1 414.1 418.5	339	Sup. Ch. Sup.	990-1 (Reg. 339) 339 339.31
Security		414.1			
Orientation		417.3 462.4			

TABLE A1 Continued

Topic	Function		Federal Personnel Manual			
	Code	AID Manual	Code	Location of Material		
ASSIGNMENT	B	101 FAA 625	302	Sup.	990.1	CS Rule VI
		130.57		Ch.	302	
		101 FAA 627	715	Ch.	715	
		403.1		Sup.	296-31	Bk III, V
		101 FAA 625	330	Sup.	990-1	(Reg. 330)
		402.1		Ch.	330	
		101 FAA 629		Sup.	296-31	Att. A&B
		402.1	300	Ch.	300	
		101 FAA 630		Sup.	296-31	Bk II & App A
101 FAA 633						
		418.1 Att A				
			339	Personnel Management Pamphlet 9		
In-Service Placement	Ba	416.3	335	Sup.	990-1	(Reg. 335)
		418.2		Ch.	335	
		101 p 191-2		Sup.	296-31	Bk III, V, & App A
		416.6	930	Sup.	990-1	(Reg. 930)
				Ch.	930	
Rotation	Bb	416.3				
		101 p 191				
On-loan	Bc	101 p 192	352	Sup.	990-1	(International Organization Service Act)
		101 p 190				
		101 p 190-1				
		243.1		Sup.	990-1	(Reg. 352)
		244.1		Ch.	352	
Leave without pay	Bd		630	Ch.	630	
				Sup.	990-2	Bk 630
				Sup.	296-31	Bk II, V
			210	Ch.	210	

TABLE A1 Continued

Topic	Function		Federal Personnel Manual	
	Code	AID Manual	Code	Location of Material
PROMOTION	C	426.1 (Att.A)	335	Sup. 990-1 (Reg. 335)
		426.1		Ch. 335
		416.6		Sup. 296.31 Bk. I, II, V & App A
		419.4		210 Personnel Management Pamphlet 2
		412.2		Sup. 990-1 (Reg. 210)
		100 p 193.4		Ch. 210
		426.2		337 Ch. 337
		481.1 (Att.A)		335 Ch. 335, Ch. 715
		243.1		330 Sup. 990-1 (Reg. 330)
		403.1		Ch. 330
		402.1		300 Sup. 296-31 (App A,B)
		432.6		Sup. 990-1 (Whitten Amend.)
		416.7		Sup. 990-1 (Reg. 300)
				Ch. 300
				Sup. 296-31 (App A,B)
Grade	Ca	Sec C		Sec C
EVALUATION	D	424.1 (AH.C)	275	Sup. 990-1 Class. Act
		426.2		Personnel Management Pamphlet 6
		403.1		250 Ch. 250
Skills	Da	415.3 414.7, & (AHA,AH.B)		
Performance	Db	423.1 (AH.A)	430	Sup. 990-1 (Performance Rating Act )
		423.3		Sup. 990-1 (Reg. 430)
		423.2, & (AH.A)		Ch. 430
		423.5		315 Sup. 990-1 (Reg. 315)
		416.4		Ch. 315
		412.2		430 Sup. 990-1 (Veterans Preference Act)
		419.4		Sup. 990-1 (Reg. 430)
		494.1		Ch. 430
		416.6		752 Ch. 752
		415.4		Ch. 430
403.1				
		424.1 & (AHA)		

TABLE A1 Continued

Topic	Function		Federal Personnel Manual				
	Code	AID Manual	Code	Location of Material			
TRAINING	E	461.1 (AH,C)	410	Sup.	990-1 (Training Act)		
		462.1		Sup.	990-1 (E.O. 10800)		
		403.1		Sup.	990-1 (Reg. 410)		
		464.1		Ch.	410		
		418.2.1		Personnel Management Pamphlets 7,8,11			
		462.5		250	Ch.	250	
		402.1		271	Ch.	271	
		416.6		337	Ch.	337	
		205.4					
		241.1					
		223.3					
		346.1.2					
		On the job		Ea	Sec E		Sec E
		Agency School		Eb	Sec E		Sec E
Gov't School	Ec	Sec E		Sec E			
Gov't School	Ed	Sec E		Sec E			
COMPENSATION	F	443.1	250	Ch.	250		
		831.1	589	Sup.	990-1 (Class. Act)		
				Sup.	990-1 (Reg. 539)		
		101 p 245		Ch.	539		
		432.7					
		454.3		591	Sup.	990-1 (Sec. 107)	
		101 FAA 606		Independent Offices Appropri. Act 1949			
		760.2.1 (AH,H)		Sup.	990-1 (E.O. 10000)		
		243.1		Sup.	990 (Reg. 591)		
		455.2		Ch.	591		
				592	Sup.	990-1 (E.O. 10000)	
				594			
		Salary	Fa	417.3	530	Sup.	990-1 (Sal. Reform Act of 1962)
				412.2		Ch.	530
		403.1	550	Sup.	990-1 (P.L. 87-304)		
		402.1		Sup.	990-1 (E.O. 10982)		
		101 p 183		Ch.	550		
		101 FAA 626		Sup.	990-2 Bk. 550		
		243.1		Sup.	990-1 (Pay Act)		
		432.7		Sup.	990-1 (Reg. 550)		
		101 p 150-1	531	Sup.	990-1 (Class. Act)		
		101 FAA 624		Sup.	990-1 (Reg. 531)		
		101 p 107		Ch.	531		
				Sup.	990-2 Bk. 531		
			532	Sup.	990-1 (Class Act.) Sup. 990-1 (Pay Act) Ch. 352		

TABLE A1 Continued

Topic	Function		Federal Personnel Manual				
	Code	AID Manual	Code	Location of Material			
COMPENSATION Cont							
Leave with pay	Fb	498.3	550	Ch.	550		
		438.1 (AH.A)		Sup.	990-2, Bk. 550		
		418.4		Sup.	296-31, Bk. I		
		498.2 (AH.C)		630	Sup.	990-1 (Leave Act)	
		498.3			Sup.	990-1 (Reg. 630)	
560.2	Ch.	630					
Vacation	Fc	784.3 Sec. 602					
Using insured benefits	Fd	455.1 (AH.A)	870	Sup.	990-1 (Reg. 870)		
		101 FAA 509		Ch.	870		
		454.3		Sup.	870-1		
		A.I.D./PR 7-10.3, 1422 FPR 1-10.3, 1422 101, FAA 635					
Awards	Fe	456.1	451	Sup.	990-1 (Initiative Awards Act)		
				Sup.	990-1 (Reg. 451)		
				Ch.	451		
			250	Ch.	250		
Retirement	Ff		715	Sup.	990-1 (CS Retirement Act)		
				Sup.	990-1 (Reg. 831)		
				Ch.	715		
				Sup.	296-31 Bk. III, V		
				831	Ch.	831	
				Sup.	831-1		
				Sup.	990-1 (CS Retirement Act) (Reg.831)		
				Sup.	296-31		
				890	Sup.	990-1 (Reg. 890)	
				Ch.	890		
				Sup.	890-1		
				Sup.	296-31 Bk. III		
				352	Sup.	990-1 (International Org. Serv.Act)	
				Sup.	990-1 (P.L. 85-177)		
	Sup.	990-1 (Reg. 352)					
	Ch.	352					
	891	Sup.	990-1 (Reg. 891)				
	Sup.	890-1					
	Sup.	296-31 Bk. III					
	870	Reg.	870				
	Ch.	870					
	Sup.	870-1					
	Sup.	296-31 Bk. III					
	715	Sup.	990-1 (CS Retirement Act)				



TABLE A1 Continued

Topic	Function		Federal Personnel Manual		
	Code	AID Manual	Code	Location of Material	
TERMINATION Cont. Separation "	Gb	761.4	731	Sup.	990-1 (Reg. 731)
		101 p 195-5		Ch.	731
		101 p 199		Sup.	990-1 (E.O. 9830)
		101 p 197		Sup.	990-1 (Vet. Pref. Act)
		101 p 225	752	Sup.	990-1 (Reg. 752)
		101 p 186		Ch.	751, 752
		101 p 198		Sup.	752-1
			311	Ch.	311
		457.2	831	Sup.	990-1 (CS Retirement Act)
		479.1		Sup.	990-1 (Reg. 831)
		472.1		Ch.	831
		452.4		Sup.	831-1
				Sup.	291-31
		394.1	890	Sup.	990-1 (Reg. 890)
		455.7		Ch.	890
		455.1 (Att.A)		Sup.	890-1
				Sup.	296-31 Bk. III
			352	Sup.	990-1 (Int.Org.Serv.Act & P.L. 85-177)
		454.3 & Att. A		Sup.	990-1 (Reg. 352)
		101 p 245		Ch.	352
		415.3			
		478.2	891	Sup.	990-1 (Reg. 891)
				Sup.	890-1
				Sup.	296-31 Bk. III
		455.2 (Att. A)	870	Sup.	990-1 (Reg. 870)
		765.3		Ch.	870
		419.4		Sup.	870-1
		101 p 225		Sup.	296-31 Bk. III
		432.2	316	Sup.	990-1 (Reg. 316)
		491.6		Ch.	316
				Sup.	296-31 Bk. I, II, V, & App. A, B.
			335	Sup.	990-1 (Reg. 335)
				Ch.	335
				Sup.	296-31 Bk. II, V, & App. A
Death	Gc	394.1		Sec G	
		455.7			
		455.1 (Att. A)			
		101 p 206			
		454.3 & Att. A			
		101 p 245			
		765.3			
		491.6 Att. B			

TABLE A1 Concluded

Topic	Function Code	AID Manual		Federal Personnel Manual		
				Code	Location of Material	
SERVICES	H	715.1				
		443.1	(AH.A)			
		765.3				
		419.4				
		462.1				
		101	p 213-19			
Transportation	Ha			550	Sup. 990-1	(Fed. Empl. Pay Act)
					Sup. 990-1	(Reg. 550)
					Ch. 550	
					Sup. 990-1	Bk. 550
				571	Sup. 990-1	(P.C. 86-857)
					Ch. 571	
Housing	Hb	101	FAA 221	593		
		784.5.1		534	Sup. 990-1	(P.L. 80-330)
					Ch. 534	
Health	Hc			792		
		454.1	(AH.B)	791		
		454.1		339	Sup. 990-1	(Reg. 339)
		101	p 148			
		481.1			Ch. 339	
		560.2		890	Sup. 339-31	
		482.3			Sup. 990-1	(Health Benefits Act)
		101	p 218.9		Sup. 990-1	(Reg. 890)
		764.5	Exh. H.B., 1386.4		Ch. 890	
		E.F.			Sup. 890-1	
		455.2			Sup. 296-31	Bk. I, II, III
		765.3			Sup. 990-1	(Int.Org.Serv.Act)
491.6			Sup. 990-1	(Reg. 352)		
402.1			Ch. 352			
Schools	Hd					
Grievances	He			711	Sup. 990-1	(Lloyd-La Follette Act)
					Sup. 996-1	(E.O. 10988)
					Ch. 711	
					Personnel Management Pamphlet 15	
				771	Sup. 990-1	(E.O. 10987, E.O. 10988)
				335	Ch. 771	
Legal	Hf	448.2				
		414.6				
		416.7				
Recreation	Hg	Sec. H				Sec. H

TABLE A2  
FUNCTIONAL INDEX TO THE FOREIGN AFFAIRS MANUAL

<u>Topic</u>	<u>Function Code</u>	<u>Chapter</u>
RECRUITMENT	A	
ASSIGNMENTS	B	
Leave w/o Pay	Bb	471
PROMOTION	C	
EVALUATION	D	
TRAINING	E	824
COMPENSATION	F	
Salary	Fa	221.2, 221.3-2, 221.3-3, 221.5, 231.1, 231.2, 231.6, 232.3, 232.5-1, 232.5-2, 232.7, 234, 234.5, 315.1, 315.5, 412, 413, 413.3, 413.3-2
Leave w/pay (excl. vacation)	Fb	232.4-1, 232.6, 233, 414, 421.5, 432.8, 442, 443, 445, 461, 462, 463, 698, 698.8
Vacation	Fc	233, 421.5, 431, 431.6-2, 432.4, 432.5, 433, 451, 453, 454, 455, 456
Use of Insured Benefits	Fd	689, 689.4, 689.5, 689.6-7, 689.7, 691.1-4, 691.5, 691.11, 691.12, 694.1, 694.2, 694.3, 694.4, 694.6, 694.9, 696.1, 696.2
Awards	Fe	621, 641, 642, 643.1, 643.2, 643.3, 643.4, 643.5, 643.6, 643.7
TERMINATION		
Transfer (in-Gov't.)	Ga	491
Separation	Gb	492
Death	Gc	689.5, 694.7, 697.1

TABLE A2 Concluded

<u>Topic</u>	<u>Function Code</u>	<u>Chapter</u>
SERVICES	H	
Transportation	Ha	232.4-5, 464, 699
Housing	Hb	350
Health	Hc	680 through 687
Schools	Hd	600 <u>/2 FAM/</u>
Grievances	He	661 through 667
Legal	Hf	629
Recreation	Hg	500 <u>/6 FAM/</u>
Commissary	Hi	
Other	Hj	
Social Security		679
Voting		695

TABLE A3  
MANUAL ORDER INDEX TO LEGAL REFERENCES

M.O. No.	Subject	Function Code	Legal Reference
205.4	Office of Personnel Administration	E	SDDA 27, Amend. 5
241.1	Assistance Provided by U.S. Government Agencies Types and Methods of Obtaining	B	Foreign Assistance Act Section 625(d)(1)
243.1	Participating Agency Service Agreements (FASA's)	Bc/F C Fa	FAA 1961, Sec. 632(b), 625(d)(1)
244.1	Procedure for Assigning Participating Agency Personnel Overseas Under a Participating Agency Service Agreement	Bc	E.O. 10450, FPM Sup. 296-31 P.L. 87-195, Sec. 625(d)(1)
394.1	Acts of Violence to Persons or Property Overseas	Gb	FAA 635 (d), FAA 102, 7 FAM 400
402.1	Basic A.I.D. Personnel Policy	Ad B/E C/Fa	FAA 1961
403.1	Delegation of Authority No. 27 Relating to Personnel (Revision No. 4)	B/Ga C/Gb Db D E Fa	DA.27 SDDA 104 MSA 1954, Sec. 527(6)(2), 536
411.2	Categories of Foreign Service Personnel	Ga	FAA 631(b), 625(d)(2), 626(a), 625(d)(1), FSA 541
411.4	Rights of A.I.D. Foreign Service Employees to Reemployment in Former Agency	Gb	FAA Sec. 625(d), E.D. 10973
411.5	Reinstatement Rights of Employees in A.I.D./W Excepted Service	Gb	FAA 625 (b), FMP, Part 40 CS Regs
412.1	Executive Personnel - A.I.D./Washington	Ad	FAA 1961, Sec. 625 (a-b), SDDA 104, FPM Chap. 352, SC 5 Classification Act, Sec. 505 E.O. 109
412.2	Executive Personnel - A.I.D. Foreign Service	C/Gb Db Fa	FAA 1961, Sec. 631(b)(c), EO 10973, SDDA 104, DA 27
413.1	Applicant Recruitment, Examination, and Supply	Ab Ad Ac	FPM Chap. 332, Subch 1-9  Handbook X-118 (CSC Qual. Standards)

TABLE A3 Continued

M.O. No.	Subject	Function Code	Legal Reference
413.2	Applicant Supply File - Foreign Service	A	Part B Title VI FSA
414.1	(Att. A) - Inquiry Into Applicant Qualifications	Ac Ad	64 Stat. 476 EO's 10450, 10491, 10531 10548, 10550
414.2	(Att. A & B) - Applicant Evaluation - Foreign Service	Ad	FAA 1961, Sec. 625
414.3	Selection and Placement Considerations - Foreign Service	Ac	FAA 1961, Sec. 625
414.6	Citizenship Requirements	Hf	Civil Service Commission Regs. - Sec. 338.101, FSA - 522, 534
414.7	A.I.D. Skills Inventory	Da	EO 10561
415.3	Appointment Procedures for Positions in A.I.D. - Departmental Service	Da Gb	FPM Chap. 338, 300, 330, 213, 333, 831 CS Reg. Sec. 531, 203, Sec. 330, 401 Veterans Pref. Act. 1944
415.4	Probationary and Trial Periods - Departmental Service	Db	CS Act 1883
416.3	Initial Assignment of Foreign Service Personnel to Washington	Ba Bb	FAA, Sec. 625(d)(2)
416.4	Initial Tour, Limited Appointment, and Conversion to Unlimited Appointment - Foreign Service	Db	FAA 1961, Sec. 625(d)(2) Mutual Security Act 1954, Sec. 536
416.6	Participating Agency Appointments and Employment	Ba/E C Db	FAA 1961, Sec. 625(d)(1)
416.7	Resident Appointments and Employment	C Hf Gb	FAA 1961, Sec. 625(d)(2)
417.3	Employment of Consultants and Experts	Fa Gb	31 Comp. Gen. 215 35 Comp. Gen. 638 23 Comp. Gen. 713 P.O. 88-448, Sec. 101, 201(f) Agreement between A.I.D. and CSC, PL 600, Sec. 15 FPM Let. 296-8
417.4	Appointment and Initial Compensation of Administratively Determined Schedule Personnel	Ga	FAA 625(b)

TABLE A3 Continued

<u>M.O. No.</u>	<u>Subject</u>	<u>Function Code</u>	<u>Legal Reference</u>
418.1	Completion of Assignment Report	B	Sec. 612 FSA
418.2	Assignments, Tours of Duty, and Related Actions - Foreign Service	Ba	FAA, Sec. 625(a), (d)(2), FSA 1946, Sec. 933(a)
418.2.1	Movement of Foreign Service Employees from Overseas Posts of Assignment to A.I.D./W	Ga E Gb	FSA 1946, Sec. 571, 573(a)
418.4	Consultation Assignments - Foreign Service Employees	Fb	FSA 1946, Sec. 933(b), FAA 625 d (1) & (2)
418.5	Details within A.I.D.	Ac	5 USC 38, 31 USC 686, FAA 1961, Sec. 626
419.1	Details to A.I.D. from Other Agencies	Ac	31 USC 686
419.4	Employment with Public International Organizations	C Db Ga Gb G H	PL 85-795, FAA 1961, Sec. 628, 629, 630, 625 EO 10804 FPM Chap. 352, Sec. 313.1 e
423.1	Performance Evaluation and Rating Program - A.I.D. Departmental Service Employees	Db	5 USC 4301-4308, FPM 430, Sup. 990-1
423.2	Evaluation of Foreign Service Personnel in Viet-Nam Only	Da	Foreign Service Act Section 601 - 612
423.3	Performance Evaluation and Rating Program - Mission Directors and A.I.D. Representatives	Da	Foreign Service Act Section 601 - 612
424.1	Evaluation Panels - Foreign Service Personnel	Db D	SDDA 104
426.1	Promotion - A.I.D./W Personnel	C	FPM and CSC Regulations on Federal Merit Promotions
426.2	Promotion of Foreign Service Personnel	C	FAA 1961, Sec. 625(d), FSA 1946, Sec. 624, 641, SDDA 104
432.2	Severance Pay Authorized Under Section 9 of the Federal Employees Salary Act of 1965	Gb	FEM Salary Act, Sec. 9, FPM 550-13

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TABLE A3 Continued

<u>M.O. No.</u>	<u>Subject</u>	<u>Function Code</u>	<u>Legal Reference</u>
432.6	Rates of Pay for In-Service Actions	C Ca	FAA 1961, Sec. 625(d)(1), (b) SDDA 104, Sec. 2(d) FSA 1946, Sec. 412, 414, 415 Class. Act 1949, Sec. 202(7) FPM Chap. 531, 562
432.7	Premium Compensation	F Fa	3FAM 230-237, 250-57
438.1	Attendance and Leave	Fb	3FAM 410-457
443.1	Employee Responsibilities and Conduct	F H	EO 11222, 11320 FPM Chap. 375 For. Gifts & Decorations Act 1966
448.2	Marriage of A.I.D. Employees	Hf	3FAM 629
452.4	Board of Review and Appeals - A.I.D. Foreign Service	Gb	FSA 637(a) DA 104
454.1	Medical and Health Program	Ac Hc	FPM Chap. 339, Sec. 3
454.3	Compensation for Injury, Disability, or Death Under the Federal Employees' Compensation Act	FD/6b F/bc	3FAM 689 Fed. Empl. Compensation Act 1916
455.1	Federal Employees' Group Life Insurance	Fd Gc	3FAM 694
455.2	Federal Employees' Health Benefits Program	F Gb Gc	3FAM 696 Fed. Empl. Health Benefits Act 1959 FPM 890
455.7	Assistance to Survivors of Deceased Employees	Gb Gc	FAA Sec. 911
456.1	Incentive Awards Program	Fe	3FAM 640-643 FAM Circ. 492
457.2	Services to Employees at Time of Separation	Gb	Security Regulations; Controller Regulations on Accountability for Govern- ment Property
461.1	Training for Employee Development	E	Gov't. Empl. Tng. Act 1958 EO 10800 FPM Chap. 410 FSA 1946, FAA 1961

TABLE A3 Continued

<u>M.O. No.</u>	<u>Subject</u>	<u>Function Code</u>	<u>Legal Reference</u>
462.1	Training for Employee Development - Foreign Service	E	FAM Circ. 304
462.4	Orientation of U.S. Citizen Employees and Their Families at Missions	Ac	3FAM 980
462.5	Junior Officer Program - A.I.D. Foreign Service	E	FSA 1946, FAA 1961, Sec. 636(e)
464.1	Training for Employee Development - Departmental Service	E	Gov't. Employees Tng. Act 1958 EO 10800 FPM Sup. 9901
472.1	Resignation	Gb	FPM 42.3 Foreign Assistance Act Section
474.2	Separation for Cause - A.I.D. Departmental Service Employees	Gb	Lloyd-LaFollette Act. Sec. 6 VPA 14, EO 637
474.3	Separation for Cause - Foreign Service	Gb	FSA 637
474.4	Separation During Probationary Period - A.I.D. Employees in the Competitive Service	Gb	CSA
474.6	Separation - Abandonment of Position	Gb	FPM, FSA
476.1	Reduction in Force - A.I.D./Washing- ton Employees	Gb	VPA Sec. 12
476.1.1	Reductions-in-Force - A.I.D./W	Gb	FPM Supplement 990-1 FPM 351 Part 351
476.2	Reduction-in-Force Procedures - A.I.D. Foreign Service	Gb	FAA 621(a) VPA
476.7	Termination of Limited Appointment - Foreign Service	Gb	FSA 638
478.1	Separation for Military Service	Gb	FPM Chapter 353, 715
478.2	Civil Service Retirement	Gb	Civil Service Retirement Act 1965
478.3	Separation - Failure to Accept Assignment - A.I.D. Foreign Service	Gb	FSA 637, FSA 638
478.4	Separation for Disability - Foreign Service	Gb	FSA 943

TABLE A3 Concluded

<u>M.O. No.</u>	<u>Subject</u>	<u>Function Code</u>	<u>Legal Reference</u>
478.5	Separation for Disability - A.I.D./W	Gb	Lloyd LaFollette Act, Sec. 6 C. Service Rules & Reg., 752 Veteran's Preference Act 1944
479.1	Separation Travel - Foreign Service Employees	Gb	6FAM 110-184
481.1	Local Employee Personnel Adminis- tration	C Ga Gb Hc	SDDA 104 FAM Circ. 472 3FAM 675, EO 10973 FSA 1946, Sec. 542 3FAM 910-918 FPM Sup. 831-1
482.3	Employment (Direct-Hire) Conditions for Third Country Nationals	Hc	FAA 625(d)(2), 636(a)(3)
491.6	Preparation of the Notification of Personnel Action (Standard Form 50) for U.S. Citizen Employees in A.I.D. Foreign Service	Gb Gc Hc	Sec. 7.2, CS Rule VII, Civil Service Act 1883
494.1	Official Employee Records and Files	Ac Db	FPM Chap. 293, Sup. 293-31 FSA 1946, Title IV, B, Sec. 612, EO 10561
498.3	Residence and Dependency Report		Foreign Service Travel Regulations
560.2	Foreign Service Travel Regulations	Fb	6FAM 110-184
610.4	Employee Security Program	Gb	EO 10450, EO 10491, EO 10531, EO 10548, EO 10550
715.1	Object Classification Codes	H	B.O.B. Circular A-12
765.3	Employees Transferred to Inter- national Organizations - Payments of Contributions for Retirement, Life Insurance, and Health Benefits	Gb Gc Hc H	FAA 625 P.L. 85-795, FAA 628, 629, 630, EO 10804 FPM 352-31, 3.1 e
831.1	Speeches, Written Articles, and Participation at Meetings of Nongovernmental Organizations	F	18 USC 209

TABLE A4  
MANPOWER/PERSONNEL RECURRING REPORTS

<u>TITLE</u>	<u>FREQUENCY</u>	<u>DISTRIBUTION</u>
<u>Prepared by A/DSM</u>		
I. STRENGTH REPORTS		
A. Federal Civilian Employment Report (AID 3-210)	MONTHLY	( COMPLETE SETS TO: A/AID, DA/AID,
B. Personnel Strength Report - Geographic Location Summary (AID 3-207)	"	( AA/A, A/CONT, A/PA, PC/SRD, A/MP,
C. Overseas Personnel Strength Report - Summary by Major Organization Unit (AID 3-208)	"	( A/AS, BOB, IG/FA
D. Overseas U.S. and Foreign National Personnel Employed by Other Agencies and A.I.D. Contractors (AID 3-209)	"	( B, D, and appropriate parts of C
E. Washington Personnel Strength Report - Summary by Major Organization Unit (AID 3-216)	"	( sent to each of the Regional
		( Bureaus
		(
		(
		(
II. Manpower Utilization Progress Report (Manpower statistics only)(Henderson)	SEMI-ANNUAL ANNUALLY QUARTERLY	House of Representatives Subcommittee on Manpower
III. Report to Senate Committee on Gov't. Operations	ANNUALLY	Senate Committee on Gov't. Operations
IV. Quarterly Report of A.I.D. Contract Personnel	QUARTERLY	Same distribution as I.A. above

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TABLE A4 Continued

	<u>TITLE</u>	<u>FREQUENCY</u>	<u>DISTRIBUTION</u>
	<u>Prepared by PPE/MP</u>		
	I. Monthly Report of Federal Civilian Employment (SF-113)	MONTHLY	CSC State B.O.B.
	II. Geographic Distribution of Federal Civilian Employment	ANNUAL	CSC
A-27	III. Annual Wage & Salary Report (Distribution of Employment by Pay Schedule, Grade, Step-in-Grade, Salary)	ANNUAL	CSC
	IV. Distribution of Employees by Occupation Series, by Pay Schedule, Grade, Salary, Location	ANNUAL	CSC
	V. Status of Women in Higher Grade Positions	ANNUAL	CSC
	VI. Utilization of P.L. 600 Experts and Consultants	QUARTERLY	Senate For. Rel. Comm. (Fullbright)
	VII. Report on Status of Employees 35 Years of Age and Under in Higher Level Positions	UPON REQUEST (SEMI-ANNUAL)	Executive Office
	VIII. Special Reporting of Compliance to the Tax Bill (Reduction in Personnel)	MONTHLY	B.O.B.

## **Appendix B**

### **ANALYSIS OF INTERNAL CONSTRAINTS**

This section contains a list of constraints identified as originating internally. They were gleaned from the Manual Orders on the basis of cited authority. The orders listed in this section appeared to have no legal basis and were therefore assumed to have originated within A. I. D. Other orders emanating from the Office of the Administration have not been retained or compiled so it is assumed that they do not constitute a constraint.

APPENDIX B  
ANALYSIS OF INTERNAL CONSTRAINTS

This appendix contains references to those Manual Orders which impose internally-generated constraints. A.I.D. Manual Orders promulgate all policy of the Agency. The 400 series of the Manual Orders (MO's) are devoted to Personnel Policy. Over 90 percent of the MO's were written because of a need to conform to or comply with a specific legal requirement. The requirement is usually easy to identify since it is quoted or referenced in the MO.

The 10 percent that contain no legal reference were checked by knowledgeable A.I.D. staff members, and a legal reference found for about half of them. Those few remaining here are defined to be those reflecting internal policy, and are listed according to the function to which they pertain. (See Table B1.)

Some of them were in fact written because of legal requirements. These were frequently a set of overlapping constraints imposed by outside agencies, requiring special care to satisfy the sometimes conflicting requirements. Generally speaking, it is anticipated that policy referred to in this appendix would be easier to change than the external constraints listed in Appendix A.

An examination of the forms used in A.I.D. personnel administration also helps to identify internal and external constraints. Wherever U.S. Government Standard Forms are used in personnel processing, an external requirement is often being met. For instance, Standard Form No. 2809, the Health Benefits Registration Form, contains information necessary to enroll the employee in the Federal Employees Health Benefits Program and could not easily be

changed. Although A.I.D. forms may be intended to implement either external or internal policy, they are created internally. Since forms reflect procedure, A.I.D. forms represent internal constraints regardless of their intent. A list of forms is given in Appendix E.

TABLE B1  
MANUAL ORDERS WITHOUT SPECIFIC LEGAL REFERENCE

<u>MO No.</u>	<u>Subject</u>	<u>Function Code</u>
402.1	Basic A.I.D. Personnel Policy	Gb
423.5	Development Appraisal - Foreign Service Personnel	Da
498.2	Arrival and Departure Notice - Foreign Service Personnel	Gb
760.2.1	Time and Attendance Reporting	Ga
765.2	Adjustment of Payroll Charges for Detailed Employees	Ga
761.9	A.I.D. Clearance Procedures (Final Salary Payment and Within-Service Transfers)	
755.4	A.I.D./W Distribution of Salary Checks, Other Treasury Checks, and Savings Bonds	
761.4	Payrolling of Mission Personnel Being Processed for Separation	
764.5	Federal Employees' Health Benefits Program	Hc
391.2	Closing Out of Missions	Gb
784.5.1	Payment of Authorized Storage Charges for Household Effects	H

## **Appendix C**

### DETAILED PERSONNEL FUNCTIONAL DESCRIPTION

This appendix, published separately, contains the results of individual interviews with the A. I. D. Personnel and Manpower staff. Only a sample is provided in this volume.

APPENDIX C  
DETAILED PERSONNEL FUNCTIONAL DESCRIPTION

This Appendix contains a description of the data that represent our understanding of how the present system works.\* It is a compendium of all activities performed within the Office of Personnel and Manpower. The activities are filed according to the organizational unit in which they are performed. These units are also described.

These data were collected by conducting numerous interviews, mostly with Branch Chiefs and above. Design of a new Personnel System will be especially assisted by the data contained in these interview sheets. Some 25 persons were interviewed by a four-man team, with a specific set of topics covered. The persons interviewed were universally open and frank, and these data sheets are felt to represent the system as it really exists. Many of the activities contain nuances which will have to be considered in the new system's design. It is important that these data be reviewed by those persons interviewed, so that no basic misunderstandings are allowed to continue.

The subjects discussed were the eight personnel functions:

- |                 |                      |
|-----------------|----------------------|
| A. Recruitment  | E. Evaluation        |
| B. Assignment   | F. Promotion         |
| C. Compensation | G. Termination       |
| D. Training     | H. Personal Services |

---

\* The data are bound separately in the document titled Detailed Personnel Functional Analysis.

and the three staff-oriented functions:

- K. Production
- L. Reporting
- M. Special Projects

The results of the interviews were recorded on two forms, a narrative and a functional flow sheet. The narrative is organized to show the source of an action, the action taken, and the destination of the product. This input/process/output flow was then plotted on the functional flow sheet. Each flow sheet and narrative pair describes one topic. Each sheet is coded with a Function code (one of the letters A through M as above). The sheets have been sequenced according to this alphabetic coding so that like activities are grouped. Each sheet also identifies the organization performing the function. One of these groups was presented in Section I.

The detail contained in the activity sheets is sufficient to show flow and activity type at the generic level. Exploration of an activity was not continued to include clerical operations. Clerical operations showing the internal flow and method of completing various forms and reports were examined in earlier studies. This detail is expensive to collect and would be of value only if an activity and its major flow pattern were to remain virtually unchanged in the new system.

#### Functional Flow Charts

These charts support the narrative descriptions of the present system. The flows are those described in the interviews and, thus, may not be completely accurate outside the interviewed managers' own areas of

responsibility. A sample is shown in Figure C.1.

The functional steps were developed to trace the main actions in terms descriptive enough to show what is accomplished in one organization but still general enough to be usable by more than one organization to describe actions of the same nature. For example: to one organization, the term "outprocessing" means the providing of transportation reservations and tickets while to another, it means, in addition, a final briefing or debriefing. Unless the common term were generalized to cover both of these (and others), the list of steps would have been unmanageable and unnecessarily long and confusing. The list could have contained more, less, or different steps. The ones used were chosen for the express purpose of achieving a reasonable balance between too much and too little information to chart the main flows of the present system well enough.

It is further recognized that the terms may differ slightly from those to which a reader may be accustomed. In all cases, however, it is believed that the meaning is relatively clear. However, some need explanation:

- Notify (orders). The official notice to concerned parties of a personnel action. This notice may be other than by orders. If no orders are issued, this step may be interpreted literally as "notify." When orders are issued, this step reflects that the orders are issued, this step reflects that the orders are issued, this step reflects that the publication and dissemination of them is, in fact, the official notice even though an official notice may be given separately.
- Record. This is the verb. It means the process of recording the action in official documentation.



- Recruitment. The term "advertise" in this connection is used in the broadest sense. That is, it applies to individuals' conversations with friends and personal contacts as well as to formal ads in newspapers. The terms: screening, testing, and interviewing are also used in their broadest sense and are combined or omitted from time to time according to the case under consideration.

There is also a need to understand the scope or meaning of some functional subcategories:

- Assignments.

In-service placement: the moving of an individual from one job to another within the Agency other than rotation between foreign assignment and A.I.D./W assignment.

Rotation: the moving of an individual from a foreign service assignment to an A.I.D./W assignment or vice versa.

On loan: the temporary assignment of an A.I.D. employee to duty with another Government Agency on a reimbursable cost basis.

- Evaluation.

Skill: the determination of whether an individual is qualified to perform in some skill other than that in which he is currently performing.

- Compensation.

Salary (Individual): the function of determining or administering pay of an individual based on his personal qualifications and entitlements within a given grade.

Salary (Position): the function of determining the worth of a job independent of the qualifications and entitlements of the incumbent. This applies most specifically to classifying a position as to the grade authorized for an incumbent.

Each flow chart shows, at its top margin, the branch or office interviewed. The heading of the columns may be recognized as the structure of A/PM according to its subordinate divisions, staff offices, and branches. In addition, six headings were added:

- Management. This title was found to be required for actions in policy planning and evaluation matters. It is used to depict management approval and coordination at all levels.
  
- Employing Organization. This title was found necessary to indicate anyone or several organizations which cannot be identified without indicating all those listed. It identifies the organization which uses the individual's services currently or requires the accession of an individual to perform the needed services. For example, the initiator of a recruitment requirement is the employing organization--the organization that will employ the person recruited. The organization responsible for submitting evaluation reports is also shown as the employing organization.
  
- Bureau. This title was subdivided by type of action.

Management decision indicates a management action within the bureau and outside the A/PM organization, e.g., the determination of specific positions to be abolished in a RIF.

Administrative indicates a non-management action within a bureau, e.g., notifying an individual of the approval of a leave request.

- Others. This title is used to reflect organizations and actions outside the framework otherwise provided for on the chart, e.g., the pay system.
- Individual. This title is used for the individual who is the subject of an action.

On the chart, under each column devoted to the interviewed branch or office, points of action are identified by numbered circles. The action which is represented at these points is identified by the functional step opposite it on the horizontal axis, and further explained by a back-up action sheet. The correct back-up sheet is identified by (1) a code at the top right margin which corresponds to that at the left of the functional step title on the chart face, and (2) under the code, a numbered circle which corresponds to that on the chart face. The coding system may be deciphered by reference to the complete listing of functions and functional steps, located in Section I of this report.

### Action Sheets

For each organization which indicated participation in one of the functional flows, back-up action sheets were developed to amplify each functional step depicted by circle or diamond on the flow chart. Samples are shown in Figures C.2 and C.3.

The action sheet is organized in three sections: input, processing (or action), and output. The input section contains information about

ORGANIZATION: Exec. Assignment Staff

FUNCTION CODE:

Baa  
Bba

INTERVIEWEE: Miller/Zarrilla

INTERVIEWER: Boughton/Thomas

ITEM: Assignments  
In-Service Placement & Rotation,  
indicate asgmt. & elig. rqmt.

①

DATE: 7/22/68

PROCESS	DESCRIPTION	REFERENCES/ REMARKS
INPUT DATA SOURCE (WHERE) ● TYPE (WHAT)	Internal intelligence gained from requirements supplied by top-level management planners and candidates represented by personnel files retained internally ● List of vacancies and personnel files	
ACTIONS		
OBJECTIVES (PURPOSE)	To match potential candidates with known vacancies.	
ACTIVITY INITIATE ADD CONTENT ● COMBINE INFO CHANGE FORM COORDINATE REVIEW APPROVE/DISAPPROVE FILE ROUTE	Assemble file folders according to executive vacancies	
PERFORMANCE TIME PER ACTION NO. OF ACTIONS	2 hours per candidate 50 candidates per year	
LEVEL OF STAFF	Placement Specialists	
OUTPUT DATA DESTINATION (WHERE) ● TYPE (WHAT)	Internal (Executive Personnel Assignment Panel) ● File folders	

ORGANIZATION: Exec. Assignment Staff

FUNCTION CODE: Bab  
Bbb

INTERVIEWEE: Miller/Zarrilla

INTERVIEWER: Boughton/Thomas

Assignment  
ITEM: In-Service Placement & Rotation,  
consider for placement

2

DATE: 7/22/68

PROCESS

DESCRIPTION

REFERENCES/  
REMARKS

INPUT DATA  
SOURCE (WHERE)  
TYPE (WHAT)

Internal  
File folders (assembled by executive  
vacancies)

ACTIONS

OBJECTIVES (PURPOSE)

To assign a single man to a single  
executive position

ACTIVITY

- INITIATE
- ADD CONTENT
- COMBINE INFO
- CHANGE FORM
- COORDINATE
- REVIEW
- APPROVE/DISAPPROVE
- FILE
- ROUTE

Produce an Action Memo that evidences the  
assignment and states the terms of  
assignment.

PERFORMANCE

TIME PER ACTION  
NO. OF ACTIONS

2 hours  
7 (average) per year

LEVEL OF STAFF

9-member panel of top level executives

OUTPUT DATA  
DESTINATION (WHERE)  
TYPE (WHAT)

White House (for approval)  
Action Memo

the source of the input data, i.e., where the functional step preceding this step occurred. This section also explains what type of data was supplied from that source.

The next section explains the action or processing which occurs. The activity is defined, its objective is stated, and the time required for performance is noted. The activity itself is described in terms of what it is, how it is routed, and whether or not the form of the input was changed by adding content or combining information. Finally, the level of the staff involved in this action is recorded.

The final section describes the output in a format similar to the input section. That is, it explains the destination of the output (where) as well as the nature of the output (what).

#### Organizational Descriptions

Descriptions of the mission, organization, and activities of each of the branches of A/PM were written in narrative form using the information collected in the interviews. These serve to depict the existing Personnel System in terms of its organization rather than in terms of functional flow as was done in Section I. These organizational descriptions are bound separately in the document Detailed Personnel Functional Analysis. A sample is included at the end of this Appendix.

SAMPLE  
TRAINING BRANCH - MANPOWER DEVELOPMENT

Purpose

To design and control all educational activities of A.I.D.

Scope

The purpose of the Branch is accomplished mainly in the area of monitoring rather than in the area of teaching. For example, A.I.D. maintains a policy of sponsoring an employee's career development through education so long as the individual pursues an authorized course of study.

Organization

To carry out its purpose, the Training Branch is organized into four sections:

- Career Development. This section is concerned with long-term educational programs the evaluation of their content and the arrangements to bring employee and institution together.
  
- Operations Training Section. This section is concerned with short-term training programs to be undertaken by employees on their own--such as correspondence courses, or refresher-type and in-service programs of short duration. They are presented in Washington or at a mission. Language training

## SAMPLE

is an example of this category of program.

- Washington Training Center. This section maintains classrooms and is the site for the orientation and secretarial-clerical training for all personnel assigned to or routed through Washington. It is the only A.I.D.-operated teaching section within the Agency.
- Asia Training Center. This section is responsible for the pre-departure training of all personnel who are assigned to Viet-Nam, East Asia, and the Near East and South Asia. This program is operated under contract with the University of Hawaii.

## Functions

- Recruitment. Part of the recruitment process is the need to orient the new employee to the purposes and operations of the Agency. It is the responsibility of the hiring organization to arrange for the employee's attendance. This is accomplished, theoretically, through the forwarding of a Form 4-401 to the Training Center, a form designed to act as an appointment notice. Since this form is not always executed, the Training Center uses E.O.D. (Entrance on Duty) list to schedule attendance. The Training Center uses this informally to estimate the size and composition of its orientation classes. Once an employee reports for class, the Training Center executes several check-in and check-out forms, for their own information. The forms are retained

## SAMPLE

only for a month or two and are then destroyed. No evidence of the completion of the orientation course is forwarded to the employee's hiring organization or to any other organization.

- Training. If the individual or his supervisor can justify a particular course of study, A.I.D. will pay school expenses and grant sufficient leave for the employee to attend. In other instances, A.I.D. contracts with other agencies or nongovernmental institutions to provide educational services (e.g., language training given at the Foreign Service Institute).

Actual on-site training in Washington is intended for new employees. This is the basic orientation course presented to an employee as part of his in-processing routine. All eligible secretarial and clerical employees are also encouraged to take basic secretarial-clerical skill courses presented in A.I.D.'s Washington Training Center.

Basic to the application for all other types of training under the control of the Training Branch is Form 4-299. This is an application executed by the individual seeking, or expected to take, a course of study. The individual forwards the form through his supervisor to the Training Branch. At this point the Training Branch reviews the form for completeness and appropriateness of the training to A.I.D. sponsored programs. If the individual is seeking language training, he is asked to fill out an additional form--Form 4-470.

## SAMPLE

Since the Training Board operates as a program design and monitoring organization, it forwards the applications to the Assessment Branch for an evaluation and recommendation. This is returned by means of a memo. The application is approved or not, according to the Assessment Branch's recommendation. If approved, the application is forwarded to the employee's parent organization for all further action. The Training Branch enters the procedures after that point only to monitor and advise. Exceptions to this procedure of routing through Assessment Branch are those applications which apply to prescribed training courses for personnel going to an overseas mission. Their qualifications for assignment to overseas stations have already been determined by the Assessment Branch.

### Summary

By purpose and method of operation, the Training Branch is in the nature of a service that increases the quality of A.I.D. personnel. Except in the assumed need to orient, the training services could easily be handled by some other division of A.I.D. In practice, only about 30 percent of A.I.D. overseas personnel and about 90 percent of A.I.D./W personnel receive orientation.

The net effect is that very little of the operation of the Training Branch actually enters into the formal personnel procedures system. Ample opportunity exists, and indeed is frequently used, to circumvent and short-circuit the training aspects of the system.

## SAMPLE

For example, the Form 4-299--the standard training application vehicle--provides for an approval by the applicant's supervisor. If the supervisor does not approve, theoretically the matter is closed. This formal system is designed to give supervisors administrative control over the formal training of their subordinates. In practice, an unsuccessful applicant may go directly to the Training Branch, plead his case and, if successful, enter the formal system without reference to his supervisor.

## **Appendix D**

### **BIBLIOGRAPHY OF REFERENCE DOCUMENTS**

This section contains a listing and annotation of the reference documents available to the URS team during Phase 1 of the study. The documents have been screened and coded to assist others who in the future may be in search of background information.

Figure D-1

BIBLIOGRAPHY OF AID PERSONNEL DOCUMENTS

DOCUMENT TITLE	FUNCTIONS						LEVEL		TYPE		CONTENT		INFO.								
	RECRUIT	ASSIGN	COMPENSATE	EVALUATE	TRAIN	PROMOTE	SERVICE	TERMINATE	POLICY	OPERATIONS	MANAGEMENT	RESEARCH	PLANNING	ANALYSIS	DISCUSSION	DATA	PRINCIPLES	INPUT	FILE	PROCESS	REPORT
1. M.O.205.4 OFFICE OF PM	●	●	●	●	●	●	●			●						●					
2. INTERIM PERSONNEL SYSTEM	●	●			●		●		●	●		●				●				●	
3. M.O. 490.2 PERS. DATA SYSTEM-OVERSEAS	●	●	●	●	●	●	●			●		●				●			●	●	
4. A. I. D. ORGANIZATIONAL CHARTS										●											
5. M.O. 490.1 PERS. DATA SYSTEM-A. I. D./W	●	●	●	●	●	●	●			●					●				●	●	
6. M.O. 302.1 A. I. D. GEOGRAPHIC CODE BOOK									●	●		●				●			●	●	
7. M.O. 490.3 PERS. DATA SYSTEM CODE MANUAL		●	●			●	●			●		●				●			●	●	
8. FILE LAYOUT OF PERSONNEL RECORD (TAPE)		●								●		●				●			●	●	
9. PROCESSING APPOINTMENT ACTIONS-CS		●				●	●			●		●				●				●	
10. STUDY OF A. I. D. SELECTION POLICY & PROCEDURES	●								●	●			●			●				●	
11. FAR EAST BUREAU RECRUITING PROGRAM	●								●	●		●			●					●	
12. M.O. 414.2 SELECTION FOR FS APPOINTMENT	●	●							●	●		●			●					●	
13. MODERNIZING MIS FOR FEDERAL CIVILIAN MANPOWER		●	●			●				●		●				●				●	
14. TABLE OF ORGANIZATION FOR A/PM										●										●	
15. BUREAU PERS. OPERATIONS AND PROCESSING	●	●		●	●	●	●			●		●			●					●	
16. SKILLS INVENTORY CODE BOOK		●								●		●				●				●	
17. EVALUATION OF PERSONNEL MANAGEMENT (CSC)	●	●		●	●	●	●		●	●		●			●				●	●	
18. REPORT ON PERSONNEL MANAGEMENT IN A. I. D.	●	●	●	●	●	●	●		●	●		●			●					●	
19. M.O. 328.1 ADP SERVICES										●						●				●	
20. PROPOSED STRUCTURE OF A. I. D. PERS. SYSTEM (Hays Bill)									●	●			●			●				●	
21. RFP FOR EDP EQUIPMENT									●	●			●			●				●	
22. ADP REPORTS		●				●	●			●		●			●					●	
23. A. I. D. STAFFING PATTERNS-5 PARTS									●	●		●			●				●	●	
24. LIST OF BOOKS ON SELECTION OF FS CANDIDATES	●			●					●	●		●			●					●	
25. CUMMINGS, FRANK-PERSONNEL FOLDER		●	●	●		●	●			●		●			●				●	●	
26. SYSTEM DESC. AND PROGRAM SPECIFICATIONS		●				●	●			●		●			●					●	
27. CSC REPORT ON FEDERAL MIS										●		●			●					●	
28. FPM CHAP. 295-PERS. DOCUMENTS	●	●								●		●			●					●	
29. FPM CHAP. 296-PROCESSING PERS. ACTIONS		●	●			●	●			●		●			●					●	
30. P.L. 89-554 GOV'T ORG. AND EMPLOYEES	●	●	●	●	●	●	●		●	●		●			●					●	
31. M.O. 243.1 PASA'S	●	●	●				●			●		●			●					●	
32. M.O. 333.4.1 SPAR'S	●						●			●		●			●					●	

## **Appendix E**

SUGGESTED REDESIGN OF A.I.D.  
PERSONNEL FORMS

APPENDIX E  
SUGGESTED REDESIGN OF A.I.D. PERSONNEL FORMS

A preliminary review of both input and output forms used by A.I.D. Personnel indicates that a redesign effort could produce significant improvements in economy, function, and physical form.

1. Economy: Much redundancy of data occurs throughout the forms examined, which could be reduced with a consequent savings in time and effort required for handling and filing. Fewer forms would also reduce the spread of data and make it more immediately available to users, increasing their efficiency.
  
2. Function: A greater effectiveness could be achieved with respect to Personnel functions by concentrating and grouping data elements in terms of their related use. Forms could be conceived as complimentary to one another, permitting the assembly of several individual forms into a "data package" to serve a specific Personnel function.
  
3. Form: Improvements in the physical structure and organization of forms could facilitate the communication and interpretation of data, by presenting information through a format that is more visually articulate and easier to understand.

The specific form changes recommended here are based upon a consideration of the information contained in present forms and

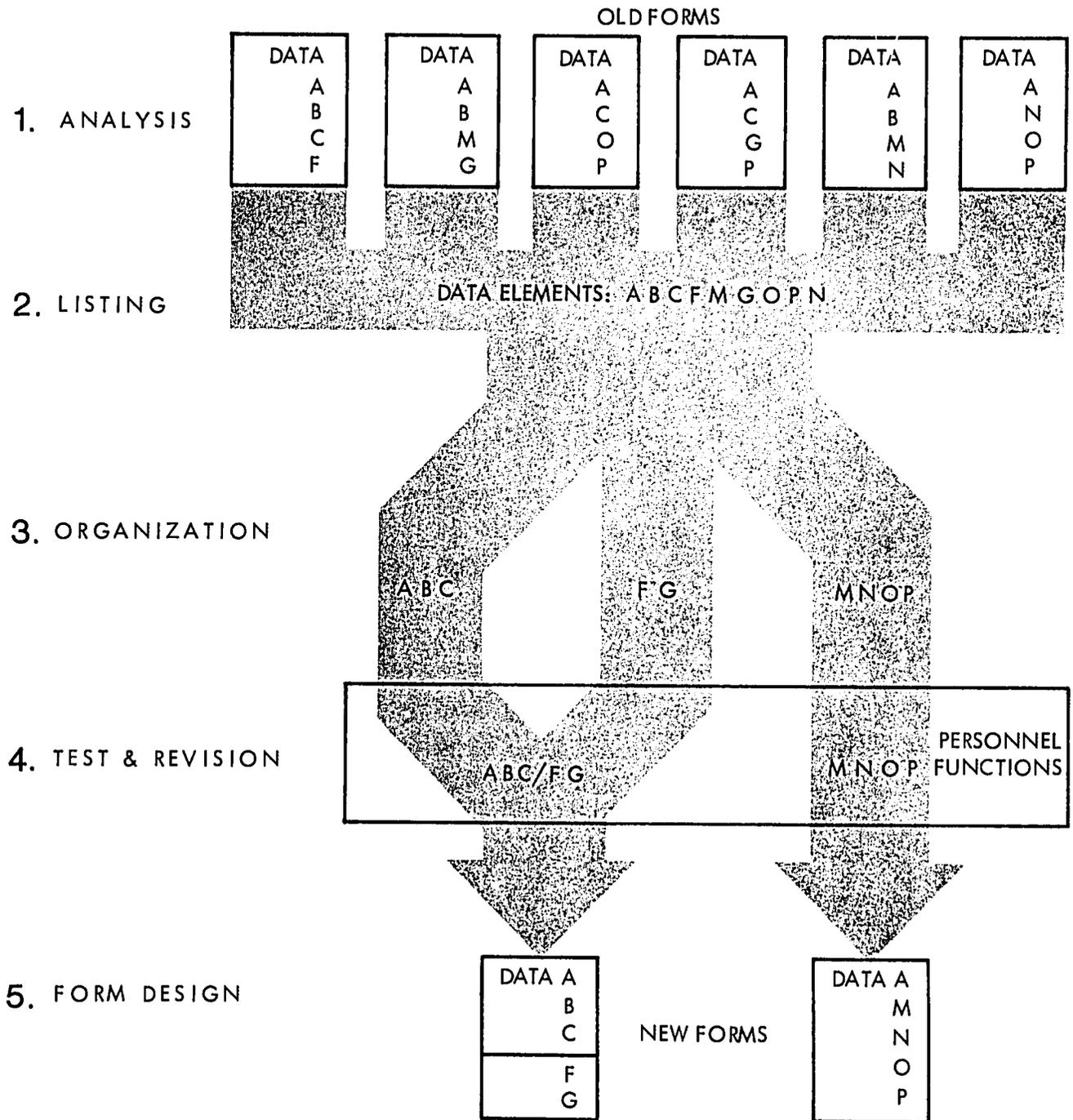
its relation to basic Personnel functions. The redesign process itself includes five steps (See Figure E1):

1. Analysis of all forms for basic items of information which occur and recur.
2. Listing of basic items as data elements necessary to Personnel functions.
3. Organization of data elements into groups of related information.
4. Testing and revision of data groups in terms of specific Personnel functions, to assure relevance and efficiency.
5. Design of new forms to present the information contained in each data grouping.

In the analysis phase 60 - 80 A.I.D. form sheets were examined to determine the scope and depth of information they contained, and the purposes for which they were intended. In addition, the forms were sorted into related groups to permit a preliminary elimination of redundant material and to enable a pre-ordering of form data.

From this, a comprehensive listing of data elements were prepared, considering type (subject area), recurrence, level of detail, kind (permanent or temporary), function, and relative importance of information items. Where possible, closely related items were consolidated into single elements and unnecessary items were eliminated. Where redundancy occurred, the element was accounted once, along with a notation of its repeated use.

Figure E-1  
**REDESIGN PROCESS**



This FRAME

WAS

INTENTIONALLY

LEFT BLANK

These data elements were then organized into groupings based on subject relatedness and functional interdependence. While the pre-ordering of data forms facilitated this task, the actual re-arrangement cut across many of the old data forms in order to associate specific information elements which would generally be used together, but which were previously separated.

To test the practical value of these data groupings they were related to various Personnel functions, such as recruiting, assignment, etc., to determine their effectiveness and their deficiencies; and revisions were made to maximize their usefulness. Some different subject areas were consolidated when it appeared that they would usually be used together in the course of the same Personnel activity.

The concluding task was to translate the revised data groupings into new form designs, to contain and communicate the information in each grouping. In this phase, conceptual design models were prepared for 14 new forms to replace the 60 - 80 old forms; to be reviewed and evaluated prior to the inclusion of data detail and the final construction of new forms. The forms were viewed as complementary, and designed so that they could be easily used together in "data packages".

Briefly, the 14 new forms recommended here (see form design models) were designed to serve the following purposes:

- A. SUMMARY INFORMATION - A general listing of current personal data, limited in depth and detail, and intended only for preliminary Personnel actions such as recruiting, where a broad but brief personal survey could serve to indicate whether further action is appropriate. It could

be used as an application form, as well as for other initiating actions.

Source: Form 171, 5, 8, 57, other.

- B. EDUCATION & CAPABILITIES - A detailed listing of all education, special training (including foreign languages), skills, awards, and other capabilities which would present a complete view of an individual's professional resources. It would be used in more final Personnel decisions.

Source: Form 171, 86, other.

- C. OCCUPATIONAL EXPERIENCE - An in-depth record of major employment experience, plus military and/or government service. The aim of this form would be to establish the scope and nature of an individual's professional practice, as apart from his preparation and capabilities (Form B). It would generally be used in conjunction with Form B to help determine position and assignment qualifications, etc.

Source: Form 171, 144, 4-150, other.

- D. RESIDENCES & ASSOCIATIONS - A combined form showing an individual's (1) locational history and (2) his major social/personal relationships. These are grouped together because they both usually apply to the same general range of Personnel decisions which concern an individual's non-professional background. This form could be used for security investigations as well as for more conventional Personnel actions where information sources are required to establish personal character.

Source: Form 86, 171, other.

- E. FAMILY & FINANCES - A combined form designed to provide background information on an individual's (1) family members and (2) financial condition, since both of these aspects tend to relate in a parallel way to the individual's personal life structure. Spouse data would appear here for purposes of security clearance and possible assignment conditions.

Source: Form 86, 4-42, ICA-6-19, JF-1, DSP-11, other.

- F. PHYSICAL IDENTIFICATION - Comprehensive information which serves to physically identify an individual. This form includes a photo and fingerprints, and could be used for passport application as well as for more general Personnel functions.

Source: Form 87, DSP-11, other.

- G. MEDICAL HISTORY - A conventional form presentation for the purpose of establishing general conditions of health in terms of previous illnesses, diseases, etc. Uses would be various, generally as qualifying data.

Source: Form 89, other.

- H. MEDICAL EXAMINATION - A companion to Form G, for the purpose of establishing current health condition. Here again, the form is conventional and includes a vaccination record to serve overseas processing requirements.

Source: Form 88, DS-1622, PHS-731, other.

- I. BENEFITS & ALLOTMENTS - This form collects a variety of employee benefit data plus allotment and unpaid compensation

data, since these are generally parallel in nature and often handled in the same way.

Source: Form 2808, 2801, 54, 53, 2809, 2810, 1152, other.

- J. PROFESSIONAL EVALUATION - A professional/personal rating form which closely resembles previous forms of this type.

Source: Form 4-462, 4-462a, 4-66, 4-66a.

- K. PERSONNEL ACTION - A revised request form for position change.

Source: Form 52, 50, 4-302, 39.

- L. OVERSEAS PROCESSING - A combination of several prior forms which provide information necessary for travel to overseas posts.

Source: Form 4-10, 5-44a, 4-56, 5-8, 1032, other.

- M. ASSIGNMENT REPORT - A redesigned version of the previous COAR Form, intended to provide information relevant to change of status, including future intentions.

Source: Form 4-253.

- N. SERVICE RECORD - A revision of the previous service record form, with the addition of leave data.

Source: Form 7, 1150.

If developed in detail and used, these new forms would provide a basic core of information necessary to all major Personnel functions. The method of use, however, would in most cases be through "data packages", each of which would include a number of the forms

previously described (see Figure E2), depending on the kind of action taking place. Major functions would include:

1. Recruiting
2. Assignment
3. Compensation
4. Evaluation
5. Training
6. Promotion
7. Service
8. Termination

As shown in Figure E2 each of these functions would be served by a special "data package" designed to meet the particular requirements of that action. The assignment function, for example, would be served by a "data package" which would include summary information about an individual, his education and capabilities, his occupational experience, his family and finances, his physical identification, his benefit and allotment decisions, professional evaluation sheets, overseas processing data, and the individual's service record. This input data would enable the assignment process to be accomplished. For the promotion function, a different package of information forms would be made available to accommodate the particular needs of that action. In certain peculiar cases, special "data packages" could be assembled to serve an unusual need.

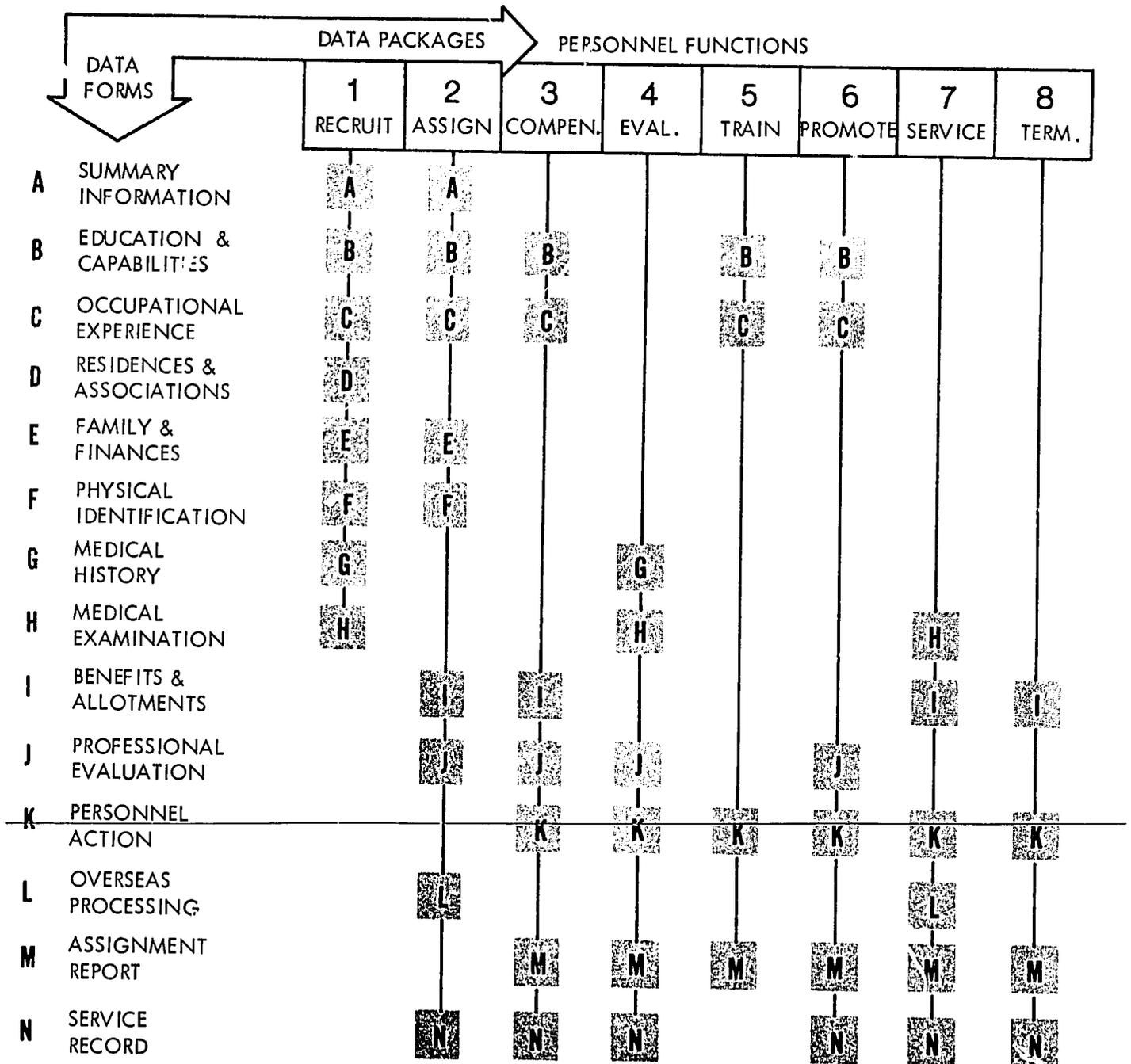
It must be emphasized that the new form designs and "data packages" presented here are conceptual in nature, and require further development in logic and detail before actual application to practice.

## RECOMMENDED NEW FORM DESIGNS

- A. Summary Information
- B. Education and Capabilities
- C. Occupational Experience
- D. Residences and Associations
- E. Family and Finances
- F. Physical Identification
- G. Medical History
- H. Medical Examination
- I. Benefits and Allotments
- J. Professional Evaluation
- K. Personnel Action
- L. Overseas Processing
- M. Assignment Report
- N. Service Record

Figure E-2

## FUNCTIONAL DATA PACKAGES



A

SUMMARY INFORMATION

NAME

ID NO.

ADDRESS

CITY/STATE

BIRTHDATE/PLACE/SEX

MARITAL/CHILDREN

CITIZENSHIP/SOCIAL SECURITY NO.

HEALTH

PRE CLAIM POSITION

ORGANIZATION/LOCATION

POSITION SOUGHT (IF ANY)

ORGANIZATION/LOCATION

QUALIFICATIONS SUMMARY

- EDUCATION
- WORK EXPERIENCE
- MILITARY SERVICE
- CAPABILITIES
- ACHIEVEMENTS

AVAILABILITY

- TIME
- LOCATION (TRAVEL)
- SALARY
- TECH
- LIMITATIONS
- CONDITIONS

DISQUALIFICATION DATA

CERTIFICATION

OTHER

# B EDUCATION & CAPABILITIES

NAME  
ID NO.

HIGH SCHOOL

LOCATION

DATES

DIPLOMA

COLLEGE/UNIV. - MAJOR

LOCATION

DATES

DEGREE

OTHER SCHOOLS

LOCATION

DATES

CERTIFICATE

FOREIGN LANGUAGES

CAPABILITY  
READING  
SPEAKING  
UNDERSTANDING  
WRITING

SPECIAL SKILLS & INTERESTS, ETC.

AWARDS, PRIZES, PUBLICATIONS, ETC.

OTHER

# C OCCUPATIONAL EXPERIENCE

NAME

ID NO.

FIRM

POSITION

1 LOCATION

FUNCTION

TYPE

TIME

SUPERVISOR

FIRM

POSITION

2 LOCATION

FUNCTION

TYPE

TIME

SUPERVISOR

FIRM

POSITION

3 LOCATION

FUNCTION

TYPE

TIME

SUPERVISOR

MILITARY /  
SERVICES  
&  
EMPLOYER

RANK / FUNCTION

TIME

GOVERNMENT  
SERVICE  
&  
AGENCY

POSITION / FUNCTION

TIME

**D RESIDENCES  
& ASSOCIATIONS**

NAME  
ID NO.

PREVIOUS RESIDENCES

CITY/STATE

DATES

COUNTRIES VISITED

NATURE OF VISIT

DATES

ORGANIZATIONS

ADDRESSES

DATES

REFERENCE 1

ADDRESS

NAME/RELATIONSHIP OF RELATIONSHIP

REFERENCE 3

REFERENCE 2

REFERENCE 4

E

FAMILY & FINANCES

NAME

ID NO.

DATE / PLACE OF MARRIAGE

CIVILIC INFO

SPOUSE INFO

CHILDREN

RELATIVES

INVESTMENTS

TYPE

AMT.

CREDITORS

TYPE

AMT.

PROPERTY

LOCATION

VALUE

# F PHYSICAL IDENTIFICATION

NAME  
ID NO.

SEX

RACE

HEIGHT

WEIGHT

EYES

HAIR

PHOTO

SPECIAL FEATURES

## FINGERPRINTS

RT. THUMB

RT. INDEX

RT. MIDDLE

RT. RING

RT. LITTLE

L. THUMB

L. INDEX

L. MIDDLE

L. RING

L. LITTLE

LEFT FINGERS

L.  
THUMB

RT.  
THUMB

RT. FINGERS

OTHER

# G MEDICAL HISTORY

NAME  
ID NO.

SEX

RACE

BIRTH

OTHER

RECORD OF  
PHYSICAL ILLNESS  
& DISEASE

FAMILY  
MEDICAL  
HISTORY

PSYCHOLOGICAL RECORD

HOSPITALIZATION

PHYSICAL  
DISQUALIFICATIONS

OTHER

# H MEDICAL EXAMINATION

NAME

ID NO.

HEIGHT

WEIGHT

DENTAL

CLINICAL EXAM

LAF REPORTS

PHYSICIAN

DIAGNOSIS

VACCINATION RECORD

QUALIFICATION

RECOMMENDATION

OTHER

# I BENEFITS & ALLOTMENTS

NAME

ID NO.

PENRETMENT

TYPE

(OR WAIVER)

OTHER INFO

BENEFICIARY

AUTHORIZATION

LIFE INSURANCE

TYPE

AMOUNT

(OR WAIVER)

OTHER INFO

BENEFICIARY

AUTHORIZATION

HEALTH INSURANCE

TYPE

AMOUNT

(OR WAIVER)

OTHER INFO

FAMILY MEMBERS COVERED

AUTHORIZATION

UNPAID COMPENSATION (DEATH)

BENEFICIARY

ALLOTMENT (IF ANY)

TYPE

AMOUNT

ALLOTTEE

AUTHORIZATION

# J PROFESSIONAL EVALUATION

NAME  
ID NO.

RELATIONSHIP  
TO INDIVIDUAL

DATES

LOCATION

OCCUPATIONAL  
CONTACT

TECHNICAL  
QUALIFICATIONS

(EVALUATION CRITERIA/RATINGS)

MANAGEMENT  
CAPABILITY

WORK  
CHARACTERISTICS

ADAPTABILITY  
& STABILITY

PERSONAL  
RELATIONS

COMMUNICATION

SENSITIVITY  
& PREJUDICE

ALCOHOL  
HABITS

MOTIVATION  
& INTEREST

FAMILY  
FACTORS

GENERAL COMMENTS

K

PERSONNEL ACTION

NAME  
ID NO.

KIND OF ACTION

DATE

DATA

PREVIOUS POSITION

CODE

GRADE

SALARY

OTHER

ORGANIZATION

LOCATION

NEW POSITION

CODE

GRADE

SALARY

OTHER

ORGANIZATION

LOCATION

APPROPRIATION DATA

REMARKS

REQUEST

APPROVAL

RESIGNATION STATEMENT

SEPARATION DATA

SECURITY ACTION

CANCELLATION ACTION

OTHER

L OVERSEAS  
PROCESSING

NAME  
ID NO.

DEPARTURE POST INFO

ASSIGNMENT POST INFO

DEPARTURE/ARRIVAL DATES

CARRIER/MODE

HOUSEHOLD EFFECTS

PACKER

ALLOWANCE

RESERVATIONS

PASSPORT INFO

VISA INFO

DEPENDENTS (+ SPECIAL INFO)

TICKETS

ITINERARY

FUNDS ADVANCE

AUTHORIZATION

# M ASSIGNMENT REPORT

NAME

ID NO.

PRESENT POSITION

LOCATION

DEPARTURE DATE

SERVICE DATES

OTHER

RETURN TO POST (TOUR NO.)

SEPARATION (RETIREMENT, RESIGN, ETC.)

TRANSFER (REGION, POST)

ROTATION (AID, OTHER)

TRAINING (ACADEMIC, LANGUAGE, ETC.)

EMPLOYEE PERSONAL

POSITION DATA

ASSIGNMENT FACTORS

EMPLOYEE COMMENTS

SUPERVISOR COMMENTS

MISSION RECOMMENDATIONS

# N SERVICE RECORD

NAME

ID NO.

POSITION

ORGANIZATION

DATE

GRADE

PAY

RATING

LEAVE DATA

## **Appendix F**

### **PAT PERSONNEL ACTION TABLES**

This section presents the methods which will be used to follow all functions through all alternative actions. The tables will be used both to design the system and to explain it to programmers and users.

APPENDIX F  
PERSONNEL ACTION TABLES

One of the requirements of the study is to provide procedures which describe activities related to the functioning of the Personnel System. These procedures must be so written that the precise action which must be taken, whenever a particular set of circumstances arises, is easy to identify and to follow.

Procedures are usually written in a narrative form, which is satisfactory if there are not too many choices within the procedure. When there are many alternatives they are linked together with cascades of "if", "then", "else" until the thread of decision logic may be lost to both reader and writer.

To make procedures easier to follow and to insure that all situations are covered, Decision Table logic will be used. This approach to creating and recording a procedure has the potential to eliminate inconsistencies and redundancies in the analysis of the problem. Less often will the user of a procedure be faced with an incomplete document.

Form of a Decision Table

Decision table logic is designed to bring a logical structure to the expression of the relationship of variable conditions in a series of actions. The logic is recorded onto a decision table, which consists simply of a form divided into four sections. One section records decisions to be made, another the alternatives of

each, another the actions which can be taken and the fourth shows which action goes with which alternative. An example, taken from the Overseas Reassignment Process, is:

Are there positions to be filled?	Yes	No
Select a slate of candidates	X	
Take no further action		X

The upper left section is called the "Condition Stub." All decisions to be made are recorded in this portion. The upper right portion is used to record the alternatives available to each decision, and is entitled "Condition Entries."

The lower left section is called the "Action Stub." Precise actions to be taken are listed here. The lower right section is entitled "Action Entries." Both entry portions are ruled into columns. The Action Entries section is used to link alternatives of particular decisions to specific actions to be taken. The four sections are usually separated by double lines.

CONDITION STUBS	CONDITION ENTRIES
ACTION STUBS	ACTION ENTRIES

#### Advantages to Decision Tables

The initial advantage, which can be seen from the form of the table, is the improvement offered in respect to documentation and communication. The table provides documentation of a process as

a normal part of problem analysis. Of equal importance is the assistance the table structure gives an analyst in visualizing the complete solution. Unidentified actions or alternatives tend to show up, and call the attention of the analyst to unaccounted for portions. A considerable reduction in the volume of narrative description is an ordinary by-product of table use.

### Applications for Decision Tables

The major application of decision table logic is in the development of processes. These can be either manual or automated processes. Specifically, tables can be applied to the writing of Manual Orders, error correction procedures, preparation of directives, and certain planning activities.

### Example of Application

To show the use of decision tables on a specific A.I.D. process, the Normal Overseas Reassignment Process, outlined in the "Interim Personnel System" (Draft 6, 7/10/68) was converted to a table (see Figure F.1).

In order to permit evaluation of the example the following instructions are given to assist in reading decision tables.

Columns are read by placing an "if" before any conditions, "and" between conditions, "then" at the double horizontal line, and "and then" between actions:

"If" Positions are to be filled "and"	Yes	Yes	No
"If" A recommendation has been made "then"	No	Yes	No
Determine Candidates "and then"	X	X	
Prepare a slate of candidates		X	Stop

This above example is read, for the first condition entry column:

If Positions are to be filled and if, a recommendation has not been made, then Determine candidates.

The second column is read:

If Positions are to be filled and if a recommendation has (Yes) been made, then Determine candidates and then prepare a slate of candidates.

Generally, then, a decision table says, "If the conditions have been satisfied, then execute the specified actions."

**Table 1. Normal Overseas Reassignment Process**

Are there positions to be filled?	Y	Y	Y	Y	Y		Y	N
Has a recommendation been made?	N	Y	Y	Y	Y		Y	
Was recommendation acceptable?	N	Y	N	Y	Y		Y	
Has an airgram been sent to mission?	N	N	N	Y	Y		Y	
Does losing mission concure?	N	N	N	Y	Y		N	
Does gaining mission concure?	N	N	N	N	Y		N	
Determine candidates, send list to Selection Officers	X							
Defer to Sp. Opns Branch			X					
Prepare slate of candidates		X	X					
Make tentative decision and confirm selection		X	X					
Clear w/others and send airgram to employee mission		X	X					
Send airgram to gaining mission				X				
Change EPL, PPL, and complete paperwork					X			
Go to Table 2					Stop		X	Stop

F-7

Table 2. Not Defined

Figure F.1

<b>URS SYSTEMS</b> CORPORATION  SAMPLE CODE <input type="checkbox"/> FLOWCHART <input type="checkbox"/> DECISION TABLE <input checked="" type="checkbox"/> OTHER <input type="checkbox"/>	DOCUMENT CLASS	MACH. TYPE	PROJECT NO.	REV	APPROVED	DATE
	DOCUMENT TITLE		PROJECT MGR.			
		PAGE OF	PROJECT NAME			
	NUMBER	ISSUE DATE	TASK NO.			
	DRAWN BY	DATE	TASK NAME			