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GENERAL SYSTEM DESCRIPTION of the PERSONNEL SYSTEM

designed for the
Agency for International Development

URS SYSTEMS
CORPORATION

Agency for International Development

Contract No. AID/csd - 2177

PERSONNEL SYSTEMS DEVELOPMENT

PHASE IIA

GENERAL SYSTEM DESCRIPTION

April 14, 1969

Prepared by

URS Systems Corporation

for

Office of Personnel and Manpower
Agency for International Development
Department of State
Washington, D. C. 20523

FOREWORD

This document was prepared by the URS Systems Corporation to meet the requirements of Phase IIA of the work plan. The work plan was presented in the Phase I report and approved by A.I.D. on October 8, 1968.

This document presents the general system description as agreed upon between A.I.D. and URS, based on a coordination draft furnished to A.I.D. on February 14, 1969. It provides the basis for detailed design of the system, and preparation of necessary implementing documents.

No changes will be made in this description unless approved by the A.I.D. Project Director and the URS Project Manager. Any changes agreed upon will be published by the page-substitution method.

W. C. Schaefer
A.I.D. Project Director

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CHAPTER 1

INTRODUCTION

1-1. Purpose. This document is to serve as the vehicle for accomplishing the following:

a. Describe the proposed Personnel System in broad scope using nontechnical language to provide a quick grasp of the total design. This is done in paragraph 1-4 below.

b. Describe each functional area of the design in sufficient depth to permit technically qualified persons to estimate the general extent of the work to be accomplished and to visualize the content of the principal subsystems.

c. Serve as a reference document which, together with workbooks, will guide technical detail-design personnel during the remainder of the project.

d. Serve as a record for both Agency for International Development (A.I.D.) and URS Systems Corporation concerning the previously agreed upon principal features of the system for detail design.

1-2. Background.

a. The project of developing a personnel system for A.I.D. was structured into three parts: Phase I, the charting of the existing personnel system and the development of a work plan for the entire project; Phase IIA, analysis of the system, study of the personnel organization, and general system design; and Phase IIB, the detail design of the described general system as well as its integration, testing, evaluation, and implementation. Phase IIB was planned to also include the drafting of new parts of the A.I.D. Manual necessary to introduce the new system, to provide documentation for guiding operators and managers in using the new system, and to train key persons to operate it.

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b. Phase I was completed September 1, 1968, and the results documented in a two-volume report delivered on September 3, 1968. As a result of that report, URS was directed by A.I.D.'s official response to devote additional time to a thorough study of the A/PM organizational structure. The purpose of this additional effort was to develop an organization which, together with the personnel system to be developed, would permit increased operating efficiency with an accompanying decrease in operating personnel. The interim report of the organization study and related system analysis was presented on October 17, 1968, in a document entitled, Phase IIA Personnel System Development - Initial System Study. Based on official guidance responding to that report, the functional analyses and a final organizational study were completed and delivered on November 26, 1968. The official response to that delivery was received from A.I.D. on December 31, 1968. That response made minor modification to the recommended organizational structure and accepted the analyses without substantive exception. The delivery of this document completes the work of Phase IIA.

1-3. Scope.

a. This system is designed to provide the capability for centralized control over all A.I.D. personnel functions. The design is sufficiently flexible to allow all the bureaus' personnel activities to be centralized in the Office of Personnel and Manpower (A/PM) or to permit some to be centralized while the rest continue to be decentralized. This flexibility was provided to accomodate the existing condition under which the personnel organizations for the Vietnam and Latin America bureaus are decentralized and all others centralized.

b. Emphasis has been placed on developing a sound, basic system to which desirable features could be added in an orderly fashion. Too often, systems are developed with so many sophistications initially that too little attention is given to the basic fundamentals, and, consequently, the base is insufficiently sound to support the sophistications. This design, in the professional judgment of the systems analysts, achieves the goal of providing the proper amount of automation in the system at this time. In addition to this technical reason for limiting the automated portion now, there were two other major constraining influences:

(1) To comply with A.I.D.'s wishes, automation has been limited to the extent that individuals should feel that the system retains a principally human control. An example of the result is evident in the assignment process. In that process, A.I.D. desired that comparisons between vacancies and available personnel not be done on the basis of preset criteria to obtain a one-for-one match.

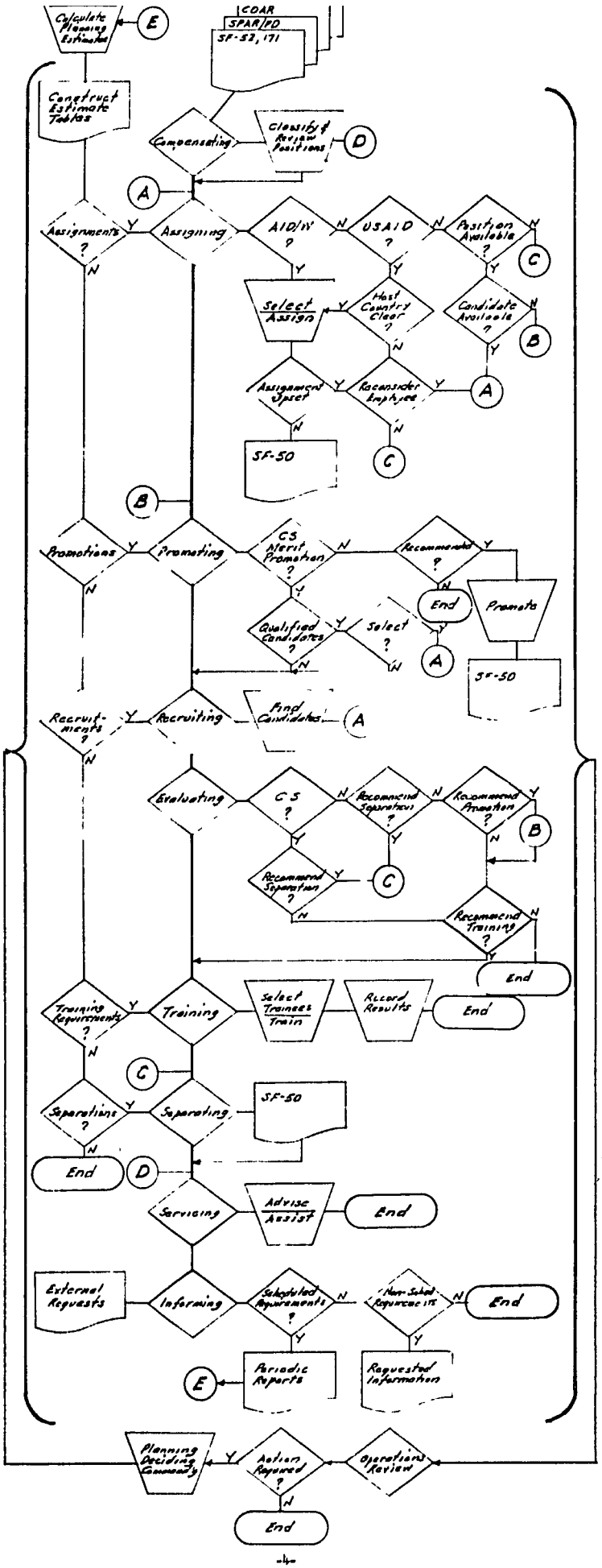
Even with a human intervention step provided to allow rejection of specific machine matches, the machine matching was felt to be too dehumanizing. The technique adopted to follow A.I.D. guidance resulted in an assignment process in which the machine will present candidates and vacancies, but personnel assignment officers will make the matches.

(2) It was considered desirable to avoid the psychological trauma among employees which accompanies the implementation of a new system, especailly one which affects their job security and personal treatment and which effects changes from little or no automation to extensive automation in one fell swoop.

c. The designers also considered the hardware which had been specified and ordered. Remote terminals for direct access to files were not provided. Consequently, the design does not consider their use at this time; however, the opportunity to add such a capability is not lessened or eliminated. The addition of remote inquiry may well prove to be a desirable feature after experience has been gained with the basic system; if so, it can be added. The choice to delay such sophistication appears, however, to have been wise because of the reasonable proximity of all affected personnel offices to the hardware and because the lack of need for real-time response appears to defeat most arguments for remote input devices.

1-4. General. The purpose of this paragraph is to provide the reader an overview of the entire system. The intent is to present the system design in such general and nontechnical language that it will serve two purposes. First, it is to serve as an executive summary for those in management who have interest but do not need the depth of understanding to be gained by reading about each subsystem and related matters in the following chapters. Second, it is to provide an orientation for those who are sufficiently affected and involved to require a full textual reading. In order to present an explanation of the system as it operates outside the computer as well as the most basic internal computer technique to be utilized, this paragraph is subdivided. It will first, and in the main, discuss the functional aspects of the design. It will then present a brief coverage of the essential features of the computer operation.

a. Functional Description. Figure 1 is a graphic portrayal of the entire system in flowchart format. (See Appendix B for flowchart symbology). Reading from top left downward, one starts with the collection of data for the Planning Subsystem. These data are developed by summarizing the personnel requirements shown in the Manpower Programming Annex (MPA) and apply to five of the eight specialized personnel function subsystems. The planning figures which apply are shown to be inputs for the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applicable subsystems by reading the logic line from top to bottom. The Planning Subsystem thus provides inputs to five subsystems and receives inputs from the periodic reports which are generated from the Informing Subsystem. Data for planning, such as annual budget information, also come from sources outside this self-feeding model. The results of the Planning Subsystem are refined projections of the numbers of occupational skills to be needed to fill vacancies, the numbers of persons to be recruited based on separations and promotions, the number of promotions which should be made, types of training to be arranged, and the numbers of separations, all by type of service, grade, and skill.

(1) The flow of the system through the eight personnel functions and the informing process begins with the introduction of data from the PER, SPAR, COAR and other such reports. The Classifying and Compensating Subsystem is responsible for classifying new positions, reviewing old positions which become vacant, and exercising control to see that no positions are entered into the system as valid except those which are within the A/DSM authorization. All position control outside that mechanism resides with A/DSM. The Personnel System will periodically provide to A/DSM current and projected position status reports. Based on that projection A/DSM will exercise its authority to alter position ceilings of organizations as it deems appropriate. As long as a position exists in the system's Position Data File, continuing action will be taken to fill it and keep it filled.

(2) The matter of filling positions is the function of the Assigning Subsystem. Although there are the categories of Foreign and Civil Service, the system will assign them interchangeably with one exception--those Civil Service employees who do not state a willingness for overseas service will not be subject to it. The computer will prepare listings of persons available for assignment within a given time frame and a listing of vacancies that will exist in that same period. An extract of each available individual's data record will also be provided. The listings will be arranged by occupational skill codes. Placement officers, each responsible for a given group of related skills, will match availables to vacancies and nominate to the bureaus or A.I.D./W offices. Both Civil Service eligibles for promotion as well as Foreign Service candidates for rotational assignment will appear on listings for A.I.D./W billets. The determination to fill an A.I.D./W job with a Foreign Service person or Civil Service individual will be decided outside the rules of this system design. Persons subject to reassignment will normally be given notice of their impending move five months in advance. Some, by reason of upset assignments,

elimination of positions, etc., will be given less notice or even assigned to complement temporarily. Contingencies such as these have been provided for in the system. The SF-50 to document the final assignment action will be provided as an output of the computer for authentication by the cognizant personnel office.

(3) A distinction between the methods of promotion for the Civil Service and the Foreign Service requires the two to be handled differently in the system. In the Civil Service, the automated system will support a manual selection process by providing the listings of all eligibles for a particular vacancy and publishing the SF-50 for the assignment action resulting from the final manual selection. The Foreign Service promotion procedure will publish promotion orders for those persons selected by the Evaluation Panel and approved by the Director, A/PM. The recording of quantified evaluations and processing to perform comparative operations using such data will be possible if A.I.D. provides the basic numerical ratings. Such data will be classified and available only by specially coded computer instructions.

(4) When assignment or promotion fails to provide a qualified individual for a vacancy, the system will route the requirement to the Recruiting Subsystem. Automation assists recruiting by maintaining the Applicant Data File. The search for and assessment of individuals outside the automated search of the Applicant Data File is a totally manual process. When a suitable candidate is found, he will enter the system stream in the Assigning Subsystem.

(5) To assist the process of evaluating personnel, the automated process will give notice of evaluations due. It will also provide a current print of the rated individual's automated record for dispatch to the employee and his rater, thus keeping them apprised of the content of the automated record on a scheduled basis, and permitting submission of corrections. The computer records will contain Evaluation Panel ranking for each Foreign Service employee and adjectival rating for each Civil Service employee. Such information is to be considered privileged and available only by specially coded computer instructions.

(6) Recommendations from the Evaluation Panels, training requirement projections from the Planning Subsystem, and applications from employees all feed the Training Subsystem. Definite requirements are determined and individuals are selected by the office responsible for the training function. The capability of the computer to search for individuals who meet specified

prerequisites will be available as part of the Informing Subsystem (discussed below). In addition, the automated record will reflect for each individual the training he has received and his language aptitude and proficiency.

(7) The automated support to the separating function provides production of the documenting SF-50 and the recording of the action by type (retirement, RIF, death, etc.) for use by the Planning Subsystem.

(8) Since servicing is related to actions performed by the employee management relations offices, the benefits to be gained by automation are limited to informational reports such as a listing of employees retiring. Provision has been made to provide these data listings to the PO/EMR office.

(9) Supporting all of the functions to be performed in the system is the Informing Subsystem. From it are generated the reports needed to provide bases for actions by other subsystems. Those reports are classified as scheduled reports, which are produced periodically without special request, and nonscheduled reports, which are produced only on specific request. The scheduled reports are a major source for the Planning Subsystem. They are, therefore, the prime linking device between the planning and operating phases of the system.

(10) The Operations Review activities are those which allow the manager to command the system. The flowchart portrays this role focusing all results of the system through an operations review. This is depicted by the face bracket leading out to the right from the system flowchart, then down to the operations review decision point. This review function is the responsibility of the Director's staff. Problems which are brought to the Director's attention by means of this mechanism are then solved by directives to subordinate offices which results in an input to any or all subsystems (reflected on the chart by the left face bracket and the action line from the bottom).

(11) What has thus far been written is the complete functional description of the system in the most general terms. It is well to point out at this time that the system design was not limited to automation, but encompassed both manual and automated aspects. In the next development phase, the detail design will be done for the automated portions and Manual Order rewrites will be drafted to provide the recommended procedures to incorporate both manual and automated changes.

b. Data Processing Description. Data processing, as it applies to the Automated Personnel System, encompasses those

activities which are mechanized. Therefore, it is appropriate to discuss the capabilities of the computer and its related software. Software is defined as the programs which operate in the computer, whether supplied by the manufacturer or written for the A.I.D. organization.

(1) The computer which has been ordered by A.I.D. is an IBM 360/40 with 256K bytes of main memory. There will be a 2314 Direct Access Storage Facility which will provide the main storage for this system. There are plans to use teletype inputs between A/PM and the computer in A/DSM.

(2) The Personnel System will be written in Common Business Oriented Language (COBOL) and will utilize the Disk Operating System (DOS). The operating system is a monitor which controls the order of tasks to be performed by the computer. The programs that will be written for A.I.D. will be cataloged on a direct access device in order that they can be called into the computer for execution under the direction of the Monitor.

(3) Within the Automated Personnel System, there are two types of files, permanent and temporary. A permanent file is one which is considered to be a master file and is maintained as an integral part of the system. There are four permanent files described and commonly referred to in the subsequent functional descriptions. The four permanent files are Employee Data File (EDF), Position Data File (PDF), Applicant Data File (ADF), and Manpower Planning Data File (MPDF). Files consist of one or more records including histories that make up the content of the file. The four permanent records are defined as Employee Data Record (EDR), Position Data Record (PDR), Applicant Data Record (ADR), and Manpower Planning Data Record (MPDR). Temporary files are defined as working files and will be generated and disposed of as required in the development of the system. An example of a temporary file would be the daily transactions which are input to the system. After these transactions are processed correctly into the permanent files, there is no requirement to maintain the transactions as a permanent part of the system.

(4) The master files to be developed in the Personnel System will be organized using a direct access method. Using this technique, only those records which have activity during the daily file maintenance processing need be accessed. This eliminates the requirement for recopying the entire master file each processing cycle, thus allowing more efficient use of the computing system. Organizing the master files using a direct access method permits teleprocessing.

(5) Each day personnel actions (input transactions) will be forwarded from A/PM and any decentralized personnel offices to PIC. These transactions will be input to the system by teletypewriter. As the transactions are entered, they will be edited to assure that valid and complete data have been submitted. The transactions will then be sorted by Social Security Account Number and processed into the master records. The daily transactions will be matched against the PDF before they are allowed to enter the EDF in order to assure consistent data throughout the system. For example, the system will not allow a new employee to be entered into the EDF without an established position in the PDF. A description of the file maintenance processing is in Section 3-10.

(6) A feature of the computer processing will be a suspense process. This feature will provide notice of impending events which require action. The notice will be primarily by listings but may also be by a partially completed form, such as the Form 1126 for a step increase. Whenever technically possible, and when not in contravention of legal requirements, the computer will be programmed to effect the action on the due date unless a stop action has been input. This technique is used to achieve the greatest effect from the principle of management by exception. For some actions, a positive response must be received. In those cases, an overdue notice will be generated, listing persons for whom no action response has been received.

(7) The items for the suspense process are those mentioned in the subsystem descriptions in Chapter 3. Suspense items will be added during the detail design phase wherever it will assist operations and is within the scope of the work to be done.

CHAPTER 2

TECHNICAL DESCRIPTION OF CONTROL FUNCTIONS

Section 1

GENERAL

2-1. Introduction. This chapter is a description of the functions which together constitute the control activities of personnel operations; namely Planning, Informing and Commanding. These control functions are those which are required for the supervisory aspects of any system.

Planning involves the introduction of a system of projecting manpower requirements and the matching of these requirements against available human resources in A.I.D. This will permit more effective planning of personnel policies and operations. These projections and personnel policies are introduced into the operational subsystems indicated in Figure 1 whenever they may apply.

Informing obtains, stores, and communicates data and information for all the other functions of the system. The information flows along all paths shown in Figure 1. The Informing Subsystem will produce the periodic reports required by each functional subsystem and in addition will produce special reports demanded by internal and external requirements.

The Commanding Subsystem involves the operational review of all activities in the system for compliance with applicable laws, regulations, and policies; monitors the productivity of the A/PM staff; and advises the director of A/PM as to the corrective actions necessary to better implement the mission of A/PM.

The following sections in this chapter describe in detail each of the three control functions. The flowcharts have been placed as appendices to Annex B.

Section 2

PLANNING SUBSYSTEM

2-2-1. General. Planning has two parts:

- Analysis of the situation to ascertain what problems there are and definition of the problems.

- Synthesis of alternative objectives and solutions for the problems and estimating and comparing their costs and the benefits they would produce.

a. Analysis can be systematized provided it is decided in advance what kind of problems are of interest. Synthesis does not lend itself as well to systematization because the invention of alternatives depends largely on the skill and imagination of the planner. Evaluation of the alternatives -- estimating and comparing their costs and benefits -- is best done in the terms of the problem definitions. Therefore, to the extent that the analysis can be systematized, so also can the evaluation.

b. The Planning Subsystem is designed to provide a statistical or numerical information base for analysis and evaluation. This constrains the design to addressing recurrent problems for which the analyses and evaluations are repetitive. The subsystem as designed does not provide information for special studies addressed to special problems. Each such study dictates its information base requirements by its own particular design. And it is not possible to predict all the special studies A/PM might find desirable.

c. Planners may recommend selection from the alternatives they present and they may also assist in the implementation of the selected alternative. However, these activities do not pose any additional information requirement and they are not considered here.

2-2-2. Objectives.

a. A/PM has three objectives:

- Policy - to develop a coordinated body of personnel policy.

- System - to develop a coordinated set of basic procedures in each specialized area of personnel administration.

- Manpower - to plan action programs to meet projected manpower requirements.

These three parts are dependent, each on the others. Policy constrains procedures and programs, procedures implement policies and programs, effective action programs sometimes require new policies. Therefore, while the three parts can be identified, the mission must be taken and discharged as a unified whole.

b. The planning functions apply to all three objectives, although somewhat differently. Each requires analysis. The subject matter of the syntheses differs:

- Policy - legislative proposals and internal A.I.D. policies.

- System - organizations, systems, methods, and procedures.

- Manpower - action programs to eliminate projected manpower surpluses and shortages.

2-2-3. Assumptions.

- An organizational element will exist to do planning for personnel activities in three areas: policy, manpower, and system procedures, methods, organization, etc.

- Planning figures for manpower needs in the midrange will be developed by agencies outside A/PM and provided to A/PM in the form of an MPA for planning personnel availability to meet the stated manpower requirements.

- Planning will specify the form, content, and timing of their input requirement.

- A Manpower Planning Annex may be available, properly completed with the data required as inputs to the calculation of planning estimates.

2-2-4. Subsystem Concept. The focus of the Planning Subsystem is on the synthesis and evaluation of alternatives. Situation analyses and problem definitions are preparatory and supporting to synthesis. Only the analysis can be systematized, not the synthesis. Personnel administration has a specific set of activities, and the situations to be analyzed must refer to them. Therefore, it is feasible to build a subsystem to do the planning analyses. Synthesis of alternative solutions for problems depends on the skill of the planner, and this is beyond the capability of the system designer to build.

a. The subsystem specified herein will produce estimated data to be used as information input to analyses. These estimates will be prediction of such personnel events as separations, promotions, recruitments, etc. They will be usable directly in manpower planning for establishing quantitative goals and in system planning for estimating workloads. They will be usable in policy planning for assistance in defining problems and for evaluating alternative policies in terms of changes in the numerical estimates.

b. The data produced in the Planning Subsystem will not suffice for analyzing all the situations that will arise. For example, the subsystem will produce estimates of the numbers of people who will voluntarily leave A.I.D. employ. It will not be able to tell why these people will leave. To make a thorough analysis of loss-rates would require a specially designed study and the collection of data specifically to fit the requirements of that study. The Planning Subsystem as designed will not provide information for such special studies.

c. The subsystem will produce reasonably reliable estimates for occupational categories in which A.I.D. has a substantial number of employees, at least 20 at the 4-digit occupational code level. The categories to be examined must be selected by A.I.D. The design applies to FSR, FSS, and GS/AD employees, but other classes may be introduced by A.I.D. without changing the process. The basic input data can be obtained from the Manpower Programming Annex (MPA) if it is available and properly prepared; however, provision is also made for estimating requirements and availability if the MPA is not available or satisfactory. Estimates will be produced for individual occupations and also for career fields which contain a number of occupations. Input data and training estimates will be prepared manually; all other operations will be performed by computer.

d. The preferred form of the subsystem uses the MPA for the years for which it is intended. This permits planning estimates with substantially greater validity than estimates calculated on the basis of planning factors and produced for fiscal quarters instead of fiscal years. However, the MPA as presently prepared is not satisfactory for use in this subsystem. In some cases, needed data is omitted, e.g., occupation code and personnel class and grade. MPA's are not available for A.I.D./W. If it is to be used it must contain occupation code, class, grade, number of employees, and quarters in which employed for all classes of personnel for which planning estimates are to be made and for all positions in the Agency. It should be based on an approved budget for advance manpower planning and adjusted to reflect appropriation action for detailed planning for the operating year. M.O. 1023.7 will need revision if this improvement in the MPA is to be obtained.

e. The subsystem will produce reports of the occurrence of personnel events -- separations, promotions, etc. -- for comparison with the estimates to provide a basis for modifying manpower action programs if necessary. These reports will have the same content and will be in the same form as the planning estimates. (See Table 2-2.10, described later).

2-2-5. Subsystem Description. The Planning Subsystem as designed is intended to provide information for analysis and the definition of problems. It will also serve to provide information for evaluation of alternative solutions by successive analyses, first without the possible solutions, then with them. The information component of the Planning Subsystem will provide information for use in the subsystem. Essentially, it will provide estimates of numbers of employees required, employees on board, and personnel actions.

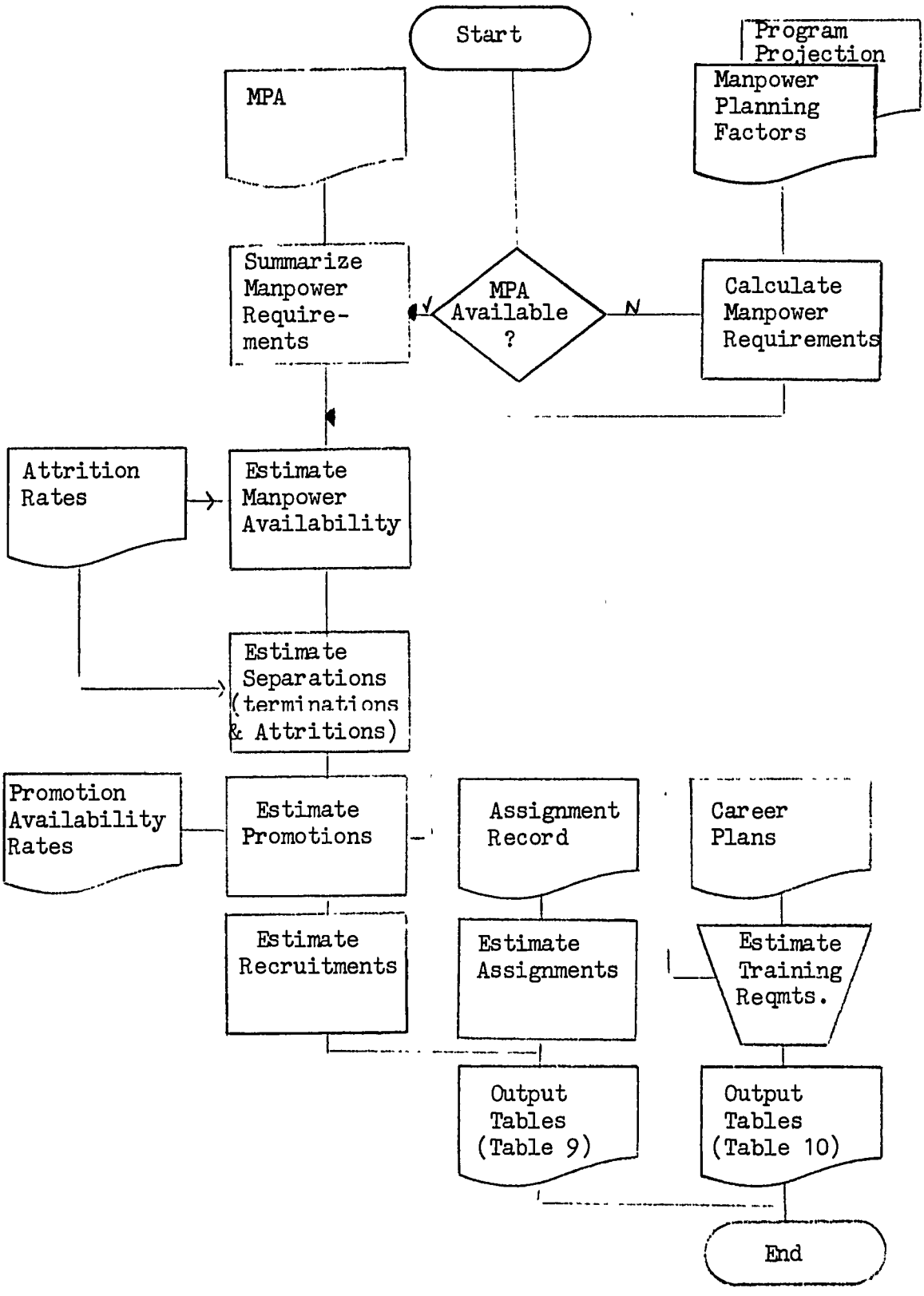
a. General Design. The general design of the subsystem for producing estimates for input to planning is shown in Figure 2-2.1.

This shows a number of input tables (MPA, Manpower Planning Factors, Attrition Rates), processes to produce estimates, and output tables.

The process provides that projected manpower needs will be obtained by summarizing the data from the Manpower Programming Annex (MPA). The process also describes an alternate method to obtain the projected manpower needs by developing from past experience, factors per grade, occupation and classification of personnel needed for each million dollars of planned project cost. This system intended to use the MPA, developed as described in M.O. 1023.7. It was recognized in the general system design stage, however, that the MPA is not being developed as the manual order describes and that some other means would be needed to provide the data should the MPA not become the effective planning tool it should be. In this process, therefore, the factor method is introduced only as a possible substitute for the MPA. If A.I.D. determines that the MPA cannot be made to become a dependable document to project manpower requirements, against which A/PM may assess projected personnel availability, the factor method is available for further study and development. It is recognized that the factor method should be tested to determine the validity of using historical data factors in deriving future needs. Changing technology, culture and other conditions may well operate within a time span, during which the historical data were collected, to invalidate the derived factors.

The purpose of the Planning Subsystem is to estimate manpower availability. In sequence, it produces estimates of separations (terminations plus attritions), promotions, and recruitments

Figure 2-2.1
Planning Estimates



for the planning period. Separately, it estimates assignments and training requirements. Finally, it assembles these estimates into output tables similar to Tables 2-2.10 and 2-2.11 in paragraph 2-2-6.

b. Information Coverage.

(1) Personnel Activities. The Planning Subsystem is designed to treat the following personnel administration activities for which manpower planning seems meaningful and useful: recruitments, separations, assignments, promotions, and training.

(2) Occupations. The Planning Subsystem is designed to permit a number of the largest occupation categories (to be selected by A.I.D.) to obtain coverage of the desired fraction of the staff. This does not affect the general design of this subsystem because, as will be seen later, estimates will be made for one occupation category at a time. In October 1968, A.I.D. employed people in 138 different 4-digit occupation codes, the first 50 of which are shown in Table 2-2.1. Of the total, 22 had only one employee in each, and about 70 had 10 or less in each. The 10 largest occupation categories account for 60 percent of the Agency staff and the 40 largest categories account for 90 percent of the staff. The decision on coverage will be required before final detailed system design can be completed. The numbers shown in Table 2-2.1 will not serve as a basis for the coverage decision because of the restructuring of the occupation codes now under way.

(3) Career Fields. The subsystem will provide information for planning related to career fields and career training. Each career field includes several occupations in a structured pattern providing one or more ladders along which an employee may progress to more responsible and more rewarding positions. At one or more steps (grade levels) in the ladder, the career pattern provides the employee an opportunity to change from one occupation code to another. Career training is related to the career pattern. Planning, while it must consider the individual occupations, must also consider the career patterns composed of these occupations.

(4) Personnel Classes. The subsystem is designed to handle A.I.D. direct-hire U.S. Citizens, but other classes can be added with minor effort when the need arises. Of the many classes of personnel employed on A.I.D. work, the FSR, FSS, and GS/AD classes are of primary interest in planning because they produce the bulk of the A/PM workload. This is not to say that planning for other classes may not be of interest to A.I.D. For example, to the extent that PASA and other contracts need to be planned, the planning base data could be obtained from the Planning Subsystem.

Table 2-2.1

Occupations - Rank Ordered
As of October 31, 1968

Occ	AID/W & Other US					USAID			Tot	Sum
	GS	AD	FR	FS	Tot	FR	FS	Tot		
0301	691	31	150	16	888	347	13	360	1248	
0318	295	1		44	340		539	539	879	
0340	3		39		42	568		568	603	
0083			8		8	395	1	396	404	33%
0510	91	1	39		131	263	3	266	397	3531
0341	68	2	19	3	92	199	61	260	352	
0401	1	1	28		30	185		185	215	
2001	32		19		51	152	2	154	205	
1710	1		12		13	183		183	195	61%
0110	41	6	17		64	117		117	181	4679
0343	45		11		56	83		83	139	
0101	9		6		15	122	1	123	138	
1160	32	9	26		67	71		71	138	
0342	8		4	2	14	55	67	122	136	70%
0312	130			4	134	*	*	*	134	5364
0801	11	1	8		20	114		114	134	
0201	23	2	17	1	43	72	9	81	124	
0212	76	3	19	1	99	*	*	*	99	
0345	21	1	11	1	34	60		60	94	77%
0322	86				86		1	1	87	5902
0610			1		1	86		86	87	
0131	46	2	32		80	2		2	82	
0305	66			3	69		11	11	80	
0203	58			5	63		16	16	79	82%
1102	55		3		58	18		18	76	6306
0810	12		7		19	53		53	72	
0685	5				5	65	1	66	71	
0136	20	6	36		62	*	*	*	62	
0406			2		2	48		48	50	86%
1140	32		9		41	9		9	50	6611
0905	25		7		32	16		16	48	
2150	*	*	*	*	*	41		41	41	
0540	40				40	*	*	*	40	
1811	4		11		15	22		22	37	88%
0560	26		5		31	4	1	5	36	6813
1670	*	*	*	*	*	35		35	35	
1001	9		3		12	21	1	22	34	
1150	10		7		17	14	1	15	32	
0471			1		1	30		30	31	90%

Table 2-2.1

(Cont'd)

Occ	GS	AD	FR	FS	Tot	FR	FS	Tot	Tot	Sum
0602	4				4	26		26	30	6975
0850	5		1		6	23		23	29	
1081	17	8	1		26	1		1	27	
0615			1		1	25		25	26	
0501	22		1	1	24	1	1	2	26	92%
0235	11	1	12		24	*	*	*	24	7107
0334	18	1	5		24	*	*	*	24	
0487			1		1	22		22	23	
1531	18		3		21		1	1	22	
1152	*	*	*	*	*	21		21	21	94%
1640	*	*	*	*	*	21		21	21	7218

(5) Planning Detail. The subsystem is designed to provide estimates for occupational categories selected by A.I.D. at the 4-digit level. This level will be maintained because the 2-digit level is too heterogeneous and the 6-digit level entails too much work and would not produce estimates with acceptable reliability. It is designed to produce estimates by personnel calss and grade, but the detailed design can be adjusted to produce summaries for groups of grades within a class and occupation. The design is based on promotion estimates which require individual treatment of each grade in each class.

(6) Planning Framework. The subsystem is designed to use the analytic framework developed in this study for definition of the specialized areas of personnel administration. It is designed to produce estimates for three periods:

(a) Near-future. In A.I.D., this means the "operating" year; i.e., the year for which the program budget has been established, by the Agency first and by the Congress finally, and for which any significant changes can be foreseen.

(b) Mid-range. In A.I.D. this means the "budget" and "planning" years; i.e., those for which tentative budgets have been made and for which the situation may be predicted reasonably.

(c) Long-range. This includes years beyond the "planning" years for which planning must be based on planning decisions that may not be realized.

(7) Calculation Schedule. The planning frequency at which estimates can be produced depends on the data source used. When the MPA can be used as the source of manpower requirements, planning estimates can be made for each fiscal quarter. When manpower requirements are estimated using planning factors, separate estimate calculations for fiscal quarters would be a waste of effort, and estimates should be made only for the full fiscal year. Fiscal quarter estimates are highly desirable for the operating year because of the detailed support they give to personnel operations.

2-2-6. Information Flow.

a. Basic Projections. Two basic projections are required for planning: manpower requirements and manpower availability. These projections must be in exactly the same form and structure because the calculation involves taking differences between them.

(1) Manpower Requirements.

(a) Separate estimates will be made for occupation, employees class (GS/AD, FSR, and FSS), and grade or rank; and projections of requirements must be made separately for each.

These projections may be obtained from the Manpower Programming Annex (MPA) for near-future and mid-range planning or from an estimated requirement in lieu of the MPA for all periods for which the MPA is not available or not satisfactory.

(b) For use in the calculations the data from the MPA must be summarized in one set of three tables for each planning period, one table for each class of personnel. A sample of one ofthese tables is shown in Table 2-2.2. The quantities in Table 2-2.2 are summations of the programmed numbers of FSR people by occupation and grade for all locations at which these people are programmed. A requirement is counted if a position is shown to be filled in the planning quarter.

TABLE 2-2.2

Manpower Requirements - FY 1970 - FSR

Rank	8	7	6	5	4	3	2	1
Occupation								
0083	1	4	70	140	126	49	12	1
0101	3	34	38	19	15	14	2	1
0110		1	6	19	34	43	25	6
0131		1		5	5	10	7	6
0136					3	10	9	4
0201	12	12	6	14	17	20	6	2
0301	2	31	73	93	101	118	47	27
etc.								

NOTE: Quantities are assumed for demonstration.

When manpower requirements are not available from the MPA, project manpower rates are used to estimate project manpower requirements. The idea is that for a given cost of a given kind of project, a number of employees will be required by class of personnel, grade, and occupation.

(c) The basic framework for estimating project manpower is the technical code. A.I.D. has 116 different technical codes in 10 groups. One set of manpower rates is required for each different kind of project. Therefore, the least detail would require 10 sets; the most, 116 sets. The groups of technical codes may be too hetegeneous to yield meaningful estimates. The individual codes may require too much effort to derive the rates. It will be necessary for A.I.D. to establish within the available effort.

(d) The rates will be derived from historical data. For this it will be necessary to create a data base, listing for each project in each technical code, group, or subgroup 1/

1/ For simplicity, the term "technical code" will include both group and subgroup.

the number of personnel man-years by class, grade, and occupation, the project cost, the man-years of effort, and the number of years for which the cost and man-years data apply. From these, the project manpower rates would be calculated.

Then: $$R_p(c,g,o) = \frac{\sum W_p(c,g,o)}{\sum C_p \sum Y_p} \qquad (1)$$

Where: $R_p(c,g,o)$ = project manpower rate for the given class, grade, and occupation.

$\sum W_p(c,g,o)$ = total project man-years for the given class, grade, and occupation in the given technical code.

$\sum C_p$ = total cost of all projects (in millions) in the given technical code.

$\sum Y_p$ = total years life of all projects in the technical code.

The project personnel rates for that technical code will be the set R_p for all the classes, grades, and occupations which had been assigned to projects in that code. (See Table 2-2.3).

To find the project manpower requirement for a given technical code in a fiscal year:

Then: $$N_p^y(c,g,o) = R_p(c,g,o)C_p^y \qquad (2)$$

Where: $N_p^y(c,g,o)$ = number of personnel required in the fiscal year in a given class, grade, and occupation.

$R_p(c,g,o)$ = project manpower rate for that class, grade, and occupation.

C_p^y = projected cost of the technical code in the fiscal year (in millions).

The total project manpower requirement for that class, grade and occupation will be the sum of the estimates for all the technical codes.

In the same situation, administrative manpower rates are used to estimate requirements for administrative personnel. They are simpler to apply than project manpower rates because they can relate to the total project costs.

Table 2-2.3

PROJECT MANPOWER PLANNING FACTORS
(Positions per $1 million per year)

Technical Code	Ident. Code	Pay Sched.	Occup. Code	Grade 10	9	8	7	6	5	4	3	2	1
110	AG	R	0110							.12	.41		
			0117							.012			
			0301				.89						
			0340						.31	1.36	.10		
			0406						.75	.58	.44		
			0414							.15			
			0437						.15	.15			
			0450							.15	.16	.15	
			0451						.75	.24			
			0471						.30	.15			
			0487							.038			
			1001							.14			
			1146							.15	.014		
			1651						.30				
			1670						.30				
		S	0318		.15								

The derivation of administrative manpower rates is similar to that for project manpower rates. The data base is a listing of the total project costs and the total number of administrative man-years by class, grade, and occupation for each of several fiscal years. These totals will be summed for the number of years selected and the administrative manpower rates by class, grade, and occupation will be calculated.

Then: $$R_s(c,g,o) = \frac{\sum W_s\ (c,g,o)}{\sum C_p \quad Y} \qquad (3)$$

Where: $R_s(c,g,o)$ = administrative manpower rate for the given class, grade, and occupation.

$\sum W_s(c,g,o)$ = total administrative man-years for the given class, grade, and occupation for the selected years.

$\sum C_p$ = total project cost for the selected years.

Y = number of selected years.

Application of these rates will be the same as that of the project manpower rates.

(2) Manpower Availability. Projections of manpower availability are calculated by applying an attrition rate to the on-board strength at the beginning of the planning period. For the operating year, the starting on-board strength, for the first quarter or for the full year, is the year-end strength given in the MPA for the current year or from the PDR if the MPA is not used. For subsequent periods, the manpower requirement for the preceding period is taken to be the starting on-board strength because the planned actions are assumed to meet the requirement. Manpower availability is to be estimated for the mid-point of the fiscal year or for the end of a fiscal quarter. Therefore, the estimated availability (P_y or P_q) will be the starting on-board strength (P_{y-1} or P_{q-1}) reduced by one-half the annual attrition rate (R_a) if the planning period is a full year or by one quarter of R_a if the planning period is a fiscal quarter.

Then: $$P_y = P_{y-1}\ (1 - \frac{R_a}{2}) \qquad (4)$$

Where: P_y = estimated manpower availability at midpoint of the fiscal year.

P_{y-1} = on-board strength at beginning of the fiscal year.

R_a = annual attrition rate.

Or: $P_q = P_{q-1} (1 - \frac{R_a}{4})$ (Quarterly Estimates) (5)

Where: P_q = estimated manpower availability at the midpoint of the fiscal quarter.

P_{q-1} = on-board strength at beginning of the fiscal quarter.

Manpower availability must be in exactly the same form as manpower requirements. Therefore, the starting on-board strength (P_y-1) must be summarized by occupation and by grade for each class of personnel. This will produce a table similar to Table 2-2.2, with the heading "Starting On-board Strength" and different quantities. However, it is not necessary that this table be printed-out in an automated calculation. A sample array of manpower availability estimates is shown in Table 2-2.4.

TABLE 2-2.4

Manpower Availability - FY 1970 - FSR

Rank	8	7	6	5	4	3	2	1
Occupation								
0083	1	5	64	136	120	47	11	1
0101	3	33	36	18	14	13	2	1
0110		1	6	18	32	37	24	5
0131		2		4	5	8	6	4
0136					3	8	8	4
0201	11	11	6	12	16	18	5	1
0301	2	28	69	88	95	110	45	26
etc.								

Note: Quantities are assumed for demonstration.

(3) Attrition Rates. Attrition, as used here, means reduction in staff because of actions of the employees. It includes resignations, transfers, retirements, deaths, and separations for cause. The system is designed for moving average attrition rates calculated in the computer from historical data for manpower planning estimates. Rates for estimates for other types of planning will be derived analytically, based on predictions of the effects of the new policies, procedures, and so on, that are being studied. The overall attrition rate (R_a) is a combination of the rates for each of the several causes.

In FY 1968, nearly 85 percent of all employee-caused losses were attributable to resignations and transfers, including FS employees not accepting a new assignment at the conclusion of a tour. In addition, the retirement rate is a desirable piece of data for planning. Therefore, the overall attrition rate will be taken to be:

$$R_a = R_a^r + R_a^{tr} + R_a^{nr} + R_a^{ret} + R_a^o \qquad (6)$$

Where: R_a = overall attrition rate

R_a^r = resignation rate

R_a^{tr} = transfer rate

R_a^{nr} = non-renewal rate

R_a^{ret} = retirement rate

R_a^o = attrition rate, all other

Attrition rates will be arrayed to match the manpower requirements and availability as in Tables 2-2.2 and 2-2.4. A sample array of attrition rates is shown in Table 2-2.5.

These rates will be calculated in the computer by counting the various kinds of attritions and dividing by the average on-board strength for the period over which the count is kept and normalizing to an annual rate. The on-board strengths for this averaging will be those for the starting of each of the months in the period.

TABLE 2-2.5

Attrition Rates - FY 1970 - FSR

Rank	8	7	6	5	4	3	2	1
Occupation								
0083	.088	.093	.102	.124	.153	.116	.098	.075
0101	.065	.084	.098	.116	.121	.108	.097	.083
0110		.092	.108	.122	.137	.128	.101	.090
0131		.086		.092	.098	.101	.087	.072
0136					.082	.088	.086	.070
0201	.090	.096	.108	.113	.124	.131	.121	.092
0301	.096	.098	.107	.118	.132	.129	.117	.101
etc.								

NOTE: Rates are assumed for demonstration.

b. Personnel Action Estimates. The subsystem is designed to produce estimates for separations, promotions, recruitments, assignments, and training. The estimates for the first three of these are made in a combined calculation because these requirements are dependent; i.e., a separation may establish a requirement for a replacement either by promotion or recruitment. The estimates for the other two are made separately.

(1) Separations, Promotions, Recruitments.

(a) By Occupation. Except to reduce a surplus, separations establish requirements for promotions, recruitments, or lateral transfers. Therefore, they are calculated first. The calculation starts with the basic projections of manpower requirements (Q) and availability (P). Separations are of two kinds: terminations (separations caused by the Government, e.g., by RIF and selection out); and attritions (separations caused by the employee.) The first step in calculating separations is to calculate the number of terminations (T). When the requirement equals or exceeds the availability, no terminations are necessary. When the availability exceeds the requirement, terminations equal to availability less requirement are necessary.

In general, the projected manpower requirement is not the total requirement to be used in planning for an individual grade because promotions from that grade to the next higher grade create an additional requirement.

Then: $Qt(n) = Q(n) + M(n+1)$ (7)

Where: $Q_t(n)$ = total manpower requirement for grade (n)

$Q(n)$ = projected manpower requirement for grade (n)

$M(n+1)$ number of promotions from grade (n) to grade (n+1)

To estimate terminations:

Then: $T(n) = 0 \quad (Qt(n) \geqslant P(n))$ (8)

$T(n) = P(n) - Q_t(n) \quad (Q_t(n) < P(n))$ (9)

Where: $T(n)$ = number of terminations in a given grade

$P(n)$ = projected manpower availability for the given grade

When the total requirement equals or exceeds the availability, the number of attritions is equal to the availability times the attrition rate. When the availability exceeds the total requirement, it is equal to the total requirement times the attrition rate. (The availability is reduced to the total requirement by terminations.)

Then: $A_{(n)} = P_{(n)}R_{a(n)} \qquad (Q_{t(n)} \geqslant P_{(n)}) \qquad (10)$

$A_{(n)} = Q_{t(n)}R_{a(n)} \qquad (Q_{t(n)} < P_{(n)}) \qquad (11)$

Where: $A_{(n)}$ = number of attritions for the given grade

$R_{a(n)}$ = attrition rate for the given grade

And: $S_{(n)} = T_{(n)} + A_{(n)} \qquad (12)$

Where: $S_{(n)}$ = number of separations for the given grade

Assuming a policy to recruit only when a promotion cannot be made, a vacancy establishes a promotion requirement. When the availability exceeds the total requirement, planned separations will decrease the availability to equal the total requirement; no vacancies will be created; and no promotion requirement will be generated. But when the total requirement exceeds the availability, promotion requirements will equal the shortage plus the estimated attritions.

Then: $M_{r(n)} = Q_{t(n)} - P_{(n)} + A_{(n)} \qquad (Q_{t(n)} \geqslant P_{(n)}) \qquad (13)$

$M_{r(n)} = 0 \qquad (Q_{t(n)} < P_{(n)}) \qquad (14)$

Where: $M_{r(n)}$ = number of promotions required within the given grade.

Promotions can be made only to the extent that the next lower grade has employees qualified for promotion. To establish whether the promotion requirement can be filled requires an estimate of promotion availability (M_a). This promotion availability is equal to the number of employees (P) in the lower grade times a promotion availability rate (R_m).

For the Foreign Service, the promotion availability rate will be calculated by dividing the number of promotions made from an occupation and grade for one or more years by the average on-board strength in that occupation and grade in those years, averaging the results, and normalizing the average to an annual rate. For the Civil Service, the rate will be calculated by dividing the number of employees in an occupation and grade who have the required time in grade by the total number in that occupation and grade.

Then: $M_{a(n)} = P_{(n-1)} R_{m(n-1)}$ (15)

Where: $M_{a(n)}$ = number available for promotion to grade n

$P_{(n-1)}$ = number of employees available in next lower grade: n-1

$R_{m(n-1)}$ = promotion availability rate for next lower grade: n-1

When the promotion availability equals or exceeds the promotion requirement, the number promoted equals the requirement. When the promotion requirements exceed the promotion availability, the number promoted equals the availability.

Then: $M = M_r$ $(M_a \geqslant M_r)$ (16)

$M = M_a$ $(M_a < M_r)$ (17)

When the promotion availability equals or exceeds the promotion requirement, no recruitments are needed. When the promotion requirement exceeds the promotion availability, recruitments are required in an amount equal to the difference.

Then: $H = 0$ $(M_a \geqslant M_r)$ (18)

$H = M_r - M_a$ $(M_a < M_r)$ (19)

Where: H = number of recruitments for the given grade.

If some policy other than "promotion first" is adopted, adjustments can be made in the above. If, for example, it is desired to reduce promotions in order to bring in new people, the promotion availability rate can be lowered manually to yield fewer promotions and more recruitments. If, for another example, it is desired to fill some of the promotion requirement by lateral transfers, the calculated estimate of promotions can be taken to be an estimate of "equivalent promotions" to be filled in part by lateral transfer and in part by promotion. In that case the estimates for lower grades would have to be adjusted manually for the number of lateral transfers that are substituted for promotions. However, in this second example, the summary estimates by career pattern may suffice and eliminate the need for manual adjustments.

The calculations are performed in sequence starting with the highest grade in the occupation and proceeding to the lowest. The layout of the calculation is shown in Table 2-2.6. Table 2-2.7 shows a sample calculation for FSR-Occupation 0083, using numbers from Tables 2-2.2, 2-2.4 and 2-2.5 and assuming a promotion availability rate of 0.30 for all grades. This demonstrates the case in

Table 2-2.6

CALCULATION PROCESS

Given: $Q_{1,2,\ldots,8}$ (Table 2.6.1) $R_{a1,2,\ldots,8}$ (Table 2.6.3)

$P_{1,2,\ldots,8}$ (Table 2.6.4) $R_{m1,2,\ldots,8}$

Grade	Estimate	$Q_{t(n)} < P_{(n)}$	$Q_{t(n)} \geq P_{(n)}$	
FSR-1	Total Requirement (Q_t)	$Q_{t1} = Q_1 + M_0$	$Q_{t1} = Q_1 + M_0$	
	Separation Terminations (T) Attritions (A) Separations	 $T_1 = P_1 - Q_{t1}$ $A_1 = Q_{t1} R_{a1}$ $S_1 = T_1 + A_1$	 $T_1 = 0$ $A_1 = P_1 R_{a1}$ $S_1 = T_1 + A_1$	
	Promotions Requirements (M_r) Availability (M_a)	 $M_{r1} = 0$ -	 $M_{r1} = Q_{t1} - P_1 + A_1$ $M_{a1} = P_2 R_{m2}$	
			$M_{a1} < M_{r1}$	$M_{a1} \geq M_{r1}$
	Promotions (M)	$M_1 = 0$	$M_1 = M_{a1}$	$M_1 = M_{r1}$
	Recruitments (H)	$H_1 = 0$	$H_1 = M_{r1} - M_{a1}$	$H_1 = 0$
FSR-2	Total Requirement	$Q_{t2} = Q_2 + M_1$	$Q_{t2} = Q_2 + M_1$	
	Separations Terminations Attritions Separations	 $T_2 = P_2 - Q_{t2}$ $A_2 = Q_{t2} R_{a2}$ $S_2 = T_2 + A_2$	 $T_2 = 0$ $A2 = P_2 R_{a2}$ $S_2 = T_2 + A_2$	
	Promotions Requirements Availability	 $M_{r2} = 0$ -	 $M_{r2} = Q_{t2} - P_2$ $M_{a2} = P_3 R_{m3}$	
			$M_{a2} < M_{r2}$	$M_{a2} \geq M_{r2}$
	Promotions	$M_2 = 0$	$M_2 = M_{a2}$	$M_2 = M_{r2}$
	Recruitments	$H_2 = 0$	$H_2 = M_{r2} - M_{a2}$	$H_2 = 0$

Table 2-2.7

SAMPLE CALCULATION

FSR - Occupation 0083

	1 Q (n)	2 Q t(n)	3 P (n)	4 Q - P t(n)(n)	5 T (n)	6 A (n)	7 S (n)	8 M r(n)	9 M a(n)	10 M a(n)	11 H (n)
FSR-1	1	1	1	0	0	0	0	0	3	0	0
FSR-2	12	12	11	1	0	1	1	2	14	2	0
FSR-3	49	51	47	4	0	5	5	9	36	9	0
FSR-4	126	135	120	15	0	18	18	33	40	33	0
FSR-5	140	173	136	37	0	17	17	54	19	19	35
FSR-6	70	89	64	25	0	7	7	32	1	1	31
FSR-7	4	5	5	0	0	0	0	0	0	0	0
FSR-8	1	1	1	0	0	0	0	0	0	0	0
TOTALS	403	467	385	82	0	48	48	130	113	64	66

which the projected requirement equals or exceeds the requirement in all grades. Table 2-2.8 illustrates the case in which the availability exceeds the supply in some grades.

(b) By Career Field. In career fields which encompass more than one occupation code, lateral transfers can be made between occupations in the field. Promotions can also be made laterally. For example, in Figure 2-2.2, promotions could be made to 0201 from 0230, 0235, 0212, and 0221 as well as within 0201, from GS-9 and above. Therefore, in estimating separations, promotions, and recruitments, estimates must be made for the career field as well as for the occupations it includes. These estimates are made by calculating the total personnel requirements and availability for all the occupations in the field and then proceeding with the calculation outlined in Table 2-2.6.

Or: $$Q^c = \sum_{i_1}^{i_n} Q = i_1 + i_2 + \cdots + i_n \qquad (20)$$

And: $$P^c = \sum_{i_1}^{i_n} P = j_1 + j_2 + \cdots + j_n \qquad (21)$$

Where: i_1 = Q for occupation 1, etc.

j_1 - P for occupation 1, etc.

These summary estimates will be compared with those for the individual occupations to obtain a better basis for planning manpower programs.

(2) Assignments. In planning, estimates of the number of assignments are useful chiefly for estimating personnel work loads. Estimating assignment requirements, in terms of work load, is a simple matter. Terminal dates of current FS assignments will be recorded in the EDF. To estimate the number of FS assignments required in any given period will require only counting the assignments terminating in that period. Estimates will be made by personnel class, grade, and occupation as is done for separations, promotions, and recruitments. Promotions are equivalent to assignments for CS employees, and a separate calculation of assignments is not needed for them.

(3) Training. The subsystem is designed to produce estimates of career training requirements; i.e., those specified in a career plan. Career training can be allocated in two ways:

- Everyone reaching the specified point in a career plan can be given the required training, which may cost more than can be afforded.

Table 2-2.8

SAMPLE CALCULATION

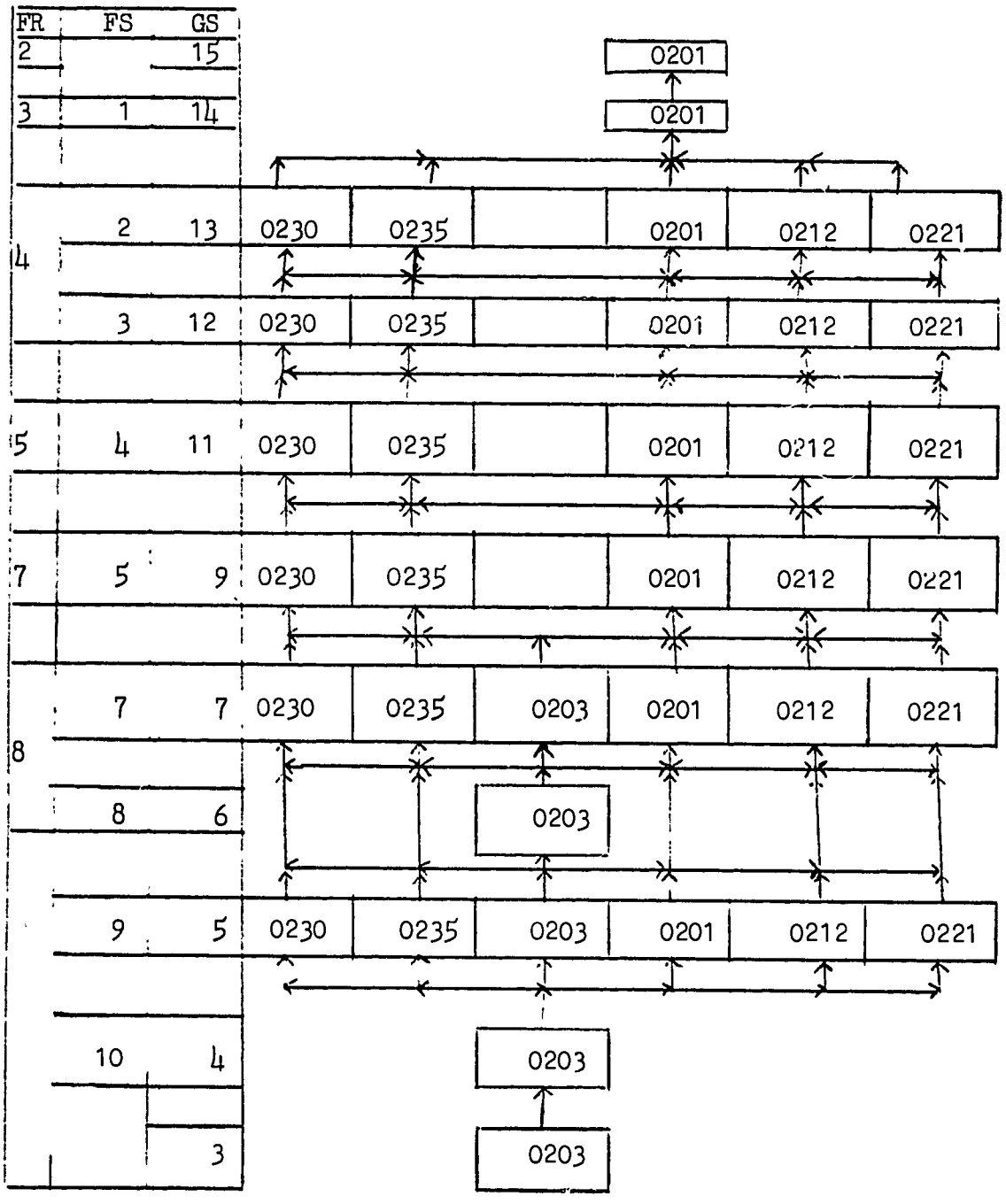
FSR - Occupation 0083

	Q 1	Q_t 2	P 3	Q_t-P 4	T 5	A 6	S 7	M_r 8	N_a 9	M 10	H 11
FSR-1	1	1	2	-1	1	0	1	0	4	0	0
2	12	12	14	-2	2	1	3	0	16	0	0
3	49	49	53	-4	4	6	10	2	41	2	0
4	126	128	135	-7	7	21	28	14	45	14	0
5	140	154	151	3	0	19	19	22	23	22	0
6	70	92	76	16	0	8	8	24	2	2	22
7	4	6	5	1	0	1	1	2	0	0	2
8	1	1	0	1	0	0	0	1	-	0	1
TOTALS	403	443	436	7	14	56	70	65	131	40	25

Figure 2-2.2

CAREER PATTERN - PERSONNEL ADMINISTRATION
(Non - Supervisory)

Normal career progression is in accordance with the arrows shown. However, reassignments may be made between sub-groups, such as from Staffing Specialist to Employee Development Specialist. Entry may be made at any level.



o The required number of employees can be given the required training, which takes a chance that those trained may leave before they advance to a position in which they can use the training.

Some period will pass between the time of training and the time for promotion for which the training is prerequisite. For planning, the information requirement is to know how many must be trained so that the promotion availability at least equals the promotion requirement. This is calculated by expanding the promotion requirement by the attrition rate for the lapse between training and promotion.

Then: $$E_r = \frac{M_r}{(1-R_a)\ Y_e} \qquad (22)$$

Where: E_r = training requirement in numbers of people by class, grade, and occupation in the training year.

M_r = promotion requirement in the promotion year.

R_a = attrition rate

Y_e = number of years between training and promotion.

This estimate for training in any planning year requires an estimate of promotion requirements for the year that is Y_e years later. For example, if $Y_e = 2$, a training estimate for FY 1971 will require an estimate of promotion requirements for FY 1973.

c. Review Reports. In order to check the validity of the estimates for the operating year, records will be kept of the numbers of terminations, attritions, promotions, recruitments, and assignments, each by occupation, class, and grade. Attritions will be counted in detail by each of the kinds of attrition and reported in tables similar to Table 2-2.5. They will also be summarized as in Equation 6 and reported as in Column 4 of Table 2-2.9. Counts will be kept cumulative by fiscal quarter and reported monthly.

d. Outputs. The major output of planning will be primarily narrative: definition, description, explanation,recommendation, and so on. The form and content of the narrative will vary widely with the subject matter, the goal of the planning effort, and the skill and background of the planner. This variety is so wide that it is not feasible to design a formulation for the narrative output of personnel planning.

Therefore, the output design is addressed to the statistical and numerical information produced in the Planning Subsystem as a basis for the planning work. This output will be presented in sets of tables: one as shown in Table 2-2.9 for all items except training; a second as shown in Table 2-2.10 for training; and a third reporting personnel events, similar to Table 2-2.9 but omitting columns 1 and 5.

(1) Planning Estimates (Table 2-2.9). The entries in Table 2-2.9 are extracts from the computation shown (in sample) in Table 2-2.9 plus the assignment estimate (column 7) which is calculated separately. The columns omitted from Table 2-2.9 contain numbers needed in the computation but not needed for planning. The correspondence between Tables 2-2.7 and 2-2.9 is :

Table 2-2.7	Table 2-2.9
Column	Column
1	1
3	2
5	3
6	4
8	5
10	6
11	7

(2) Training Estimates (Table 2-2.10). This is the record of the training estimates (Equation 18). Entries will appear in the table only for the classes and grades scheduled to take each course; i.e., possibly only in one or two columns for each row.

(3) Personnel Event Reports. This is the record of terminations, attritions, promotions, recruitments, and assignments. These data will be presented in a table similar to Table 2-2.10 but omitting Columns 1 and 5. In addition, attritions will be reported in tables similar to Table 2-2.5, one for each kind of attrition.

e. Flowcharts. Flowcharts for the processes involved in producing estimates for planning are shown in Appendix B-3.

Table 2-2.9

MANPOWER PLANNING ESTIMATES

FY: _____ Class: _____ Occupation: _____ Date: _____

Number of Personnel

Grade	Required (1)	On-Board (2)	Terminate (3)	Attrition (4)	Promotion Requirement (5)	Promotion (6)	Recruitment (7)	Assignment (8)

Table 2-2.10

TRAINING PLANNING ESTIMATES

FY: _____ Career Field: _____ Date: _____

Number of Personnel

		Grade												
Course	Class	1	2	3	4	5	6	7	8	9	10	12	13	14

Section 3

INFORMING SUBSYSTEM

2-3-1. General.

a. The Informing Subsystem of the Automated Personnel System is defined as that portion which provides to managers, for use in making decisions or implementing operations, information from the data base maintained in the computer.

b. The Personnel Information Center (PM/PIC) of A/PM is the common office through which all informational requests and responses are funnelled. It is responsible for obtaining and forwarding all information between A/DSM, which operates the computer, and all users.

2-3-2. Objectives.

- To provide available information to management for internal operations as well as to meet external reporting requirements.

2-3-3. Assumptions.

- Operational offices will provide correct data to the Personnel Information Center so that whenever data are processed the resulting information is valid.

2-3-4. Informing Subsystem Concept.

a. Types of Reports. Information obtained from the computer data base will be in the form of reports. There will be two types of reports:

(1) Scheduled Reports. Scheduled reports are defined as those which are prepared on a predetermined periodic basis, such as weekly, monthly, or annually. Scheduled reports have a specified format and distribution and are prepared automatically by the computer on due dates. An example is the monthly Staffing Pattern.

(2) Nonscheduled Reports. Nonscheduled reports are defined as those which are prepared upon request or as dictated by the design of the system, without regard to calendar date. There are two kinds of nonscheduled reports:

(a) Standard. Standard nonscheduled reports have previously specified formats; computer programs necessary to prepare them are already in the computer and available on call when needed. An example of a standard nonscheduled report is the Employee Data Record Print described in d below, which in some instances will be prepared automatically by the system but can also be prepared on request.

(b) Special. Special nonscheduled reports are those for which computer programs have not been previously prepared. Therefore, they must be programmed before they can be obtained. Such reports are usually one-time reports required for special studies. However, once they have been programmed, if it is anticipated that an identical report may be required at a later date, the program can be retained in the computer; it then becomes a standard-nonscheduled report as described in (2) (a) above. If at any time it is decided that the report should be prepared on a regular periodic basis, it would then become a scheduled report as described in (1) above.

b. Responsibilities.

(1) Reports Branch, Personnel Information Center (PIC/R) has overall responsibility for obtaining and distributing computer-prepared reports. It will provide any needed coordination with A/DSM, which operates the computer, and with the report users.

(2) Users of reports will be responsible for making their needs known to PIC/R. This includes requirements for both scheduled and nonscheduled reports.

c. Requests for Reports. Paragraph 2-4-5 below describes how reports will be requested and processed.

d. Employee Data Record Print. The EDR Print is a standard nonscheduled report which is important to the Automated Personnel System. The concepts and uses of the EDR Print are discussed below.

(1) In the Automated Personnel System, an Employee Data Record (EDR) as described in Appendix A will be maintained in the computer files on each employee. An EDR Print is a computer-prepared printing of the information contained in an employee's EDR. The EDR Print will be prepared on a special form (to be designed) which will be similar to the SF-7, Service Record. It will contain more information than SF-7 and, therefore, will be larger. Included will be all information needed in processing most personnel actions, and it will be easier to use for that purpose than the Official Personnel Folder (OPF).

(2) There will be two versions of the EDR Print, designated EDR Print #1 and EDR Print #2 respectively. EDR Print #1 will print all information except data on prior Performance Evaluation Reports. This version will be made available, on request, to all personnel offices and will be used for most purposes. EDR Print #2 will include the data on prior Performance Evaluation Reports. This version will be made available only to specially designated officers within A/PM through use of a special code that may be changed periodically. This version will be transmitted in sealed envelopes. Its use will be limited to those instances involving competitive selection where a record of prior Performance Evaluation Report ratings is considered an important factor.

(3) An EDR Print #1 will be prepared automatically by the computer in certain instances. Two of these are:

- When an employee is nominated for an assignment by the automated assignment model, or when nominated by the merit promotion screening model.

- When an employee is due for an annual Performance Evaluation Report.

(4) Upon finalization of an assignment by the appropriate placement officer, the EDR Print #1 will be forwarded to the executive or administrative officer of the gaining organization for information and file. The file thus created will provide basic information on the employees within each organizational element and should permit elimination of other locally devised forms and files at the executive/administrative officer level.

(5) An EDR Print #1 should be furnished to the employee and his supervisor annually for audit and any updating or corrections necessary. It is important that the employee know and have confidence in the content of his automated record. The best time for this audit is in conjunction with the annual Performance Evaluation Report (see paragraph 3-4 below). Upon completion of the audit, a copy of the EDR Print #1 will be returned to the executive or administrative officer for file; the earlier filed copy will then be destroyed.

(6) Within A/PM and the decentralized personnel offices for Vietnam and Latin America, requests may be submitted for individual EDR Print #1's at any time for use in lieu of the OPF. It will be furnished the day following receipt of the request in PIC/R. As more experience is gained with the EDR Print, it can be expected that far fewer requests will be made for Official Personnel Folders from the file room, since the EDR Print will

contain all the information needed for most personnel actions and will be easier to use than the Official Personnel Folder.

(7) It is neither desirable nor appropriate that personnel officers within A/PM and the decentralized offices accumulate and file copies of EDR Prints. Upon completion of the action for which the EDR Print was furnished, it should be destroyed. As an exception, it may be filed with other back-up papers in the action office if a definite need exists. An EDR Print will not be placed in the Official Personnel Folder except as provided in (8) below.

(8) When a transaction is entered into the computer indicating that an employee is being separated, a final EDR Print will be prepared automatically by the computer. This final EDR Print will be placed in the employee's Official Personnel Folder prior to transfer of the folder.

2-3-5. Informing Subsystem Description.

a. All requests for computer-prepared reports will be forwarded to the Reports Branch of the Personnel Information Center (PIC/R).

b. Requests for reports received from sources outside A.I.D. will be coordinated by the receiving office with PIC/R to determine whether all or part of the report can be prepared by computer.

c. Requests for additional copies of scheduled reports will be forwarded to PIC/R by memorandum indicating number of copies and the reason they are needed.

d. Requests for EDR Prints will be made on a Transaction Form (to be designed).

e. Requests for other standard and for special nonscheduled reports will be forwarded to PIC/R on a Request for Personnel Report Form (to be designed). This form will provide for the requestor to indicate the date on which the report is required and a means for establishing the priority for the report. Usually a standard nonscheduled report can be furnished within two days following receipt of the request in A/DSM. The length of time necessary to provide a special nonscheduled report will depend upon the complexity of the report and the amount of programming which will be required.

f. If the request is for a special report, PIC/R will analyze the request to determine whether any previously programmed

reports will fulfill the requestor's requirements. If so, PIC/R will arrange with A/DSM to have the report prepared.

g. If there is no previously programmed report which will fulfill the requestor's requirement, PIC/R will examine the requested report layout. If the layout is not suitable for computer preparation, PIC/R will prepare a preliminary design for the report. The preliminary design will be coordinated with the requestor and A/DSM prior to execution.

h. A/DSM will prepare the necessary program and provide the report to PIC/R for forwarding to the requestor.

i. It is emphasized that reports which require new programs will require additonal time to be obtained, the length of time depending upon the complexity of the report. Therefore, requirements for reports of this nature should be anticipated as far in advance as possible.

j. During the first several months after installation of the Automated Personnel System, many of the needs for special nonscheduled reports will be identified and programmed. Thereafter, these reports will become standard nonscheduled reports which can be obtained quickly. Moreover, as operating officials throughout A/PM become more familiar with the information that can be obtained from the data base, special reports will become increasingly more sophisticated and more useful.

2-3-6. Subsystem Information Flow. The related flowcharts and input/output requirements are contained in Appendix B-2.

Section 4

COMMANDING SUBSYSTEM

2-4-1. General. Commanding is a two-part function. It consists of:

- The causing of actions to implement decisions--normally accomplished by issuing commands.

- The review of these actions to ascertain whether the command is achieving its expected results--normally accomplished by collecting information about the actions and analyzing it.

Command is of the essence of organized activity. It is the means by which the organization makes use of the authority delegated to it.

a. In the exercise of command, the commander assumes the responsibility to insure that the authority is used properly, effectively, and efficiently. To do this he employs the review part of the command function. When the command and the response are direct, the review is usually simple; it can be made by direct observation. But when part of his authority is delegated, the review is more complex and the commander usually needs assistance from staff support. The A/PM Director exercises his command, for the most part, in the conduct of personnel activities within the constraints established by law, regulation, and policy through the processes and procedures ordained for the A/PM personnel administration system. His review, then, must be focussed on two aspects of the operation:

- Whether the conduct of A/PM activities is held within the constraints.

- Whether the operations are effective and efficient.

b. The exercise of command is an executive prerogative based on his interpretation of his function and responsibility. Therefore, the system must not constrain its commander. For this reason, this design of the Commanding Subsystem does not address the exercise of command, but is concerned only with the collection, processing, and producing of information for use by the Director in the review part of his command function.

c. Providing staff support to the Director in review is a different matter. This is providing a part of the system to produce an information output to the Director for his use. The

structure of this part of the system, its processes, and its procedures can be established, just like any other part of the system, by authority of the Director. Since he is reviewing the operations of A/PM, this part of the A/PM system will be referred to as Operations Review.

2-4-2. Objectives.

• The mission of Operations Review is to assist the A/PM Director in the accomplishment of the A/PM mission by judging the functioning of personnel activities and auditing these activities for compliance with law, regulation, and policy.

• To accomplish this mission, Operations Review will develop performance standards; review accomplishment against these standards; audit personnel activities for compliance with applicable laws, regulations, and policies; and suggest corrective actions.

2-4-3. Assumptions.

• The Operations Review functions will be performed by the immediate staff in the office of the A/PM Director.

• The Informing Subsystem will collect, store, and retrieve the required input data for the current period and communicate them to the Operations Review staff.

• The Operations Review staff will store the data for preceding periods required as inputs to the review for the current period.

2-4-4. Subsystem Concept.

a. The mission and functions of Operations Review are to provide information and advice to the A/PM Director on the operation of the Personnel Administration System within A/PM. This requires Operations Review to address its attention to three aspects of its job:

(1) Quantity Control. This is the measurement of productivity, not only in the sense of efficiency of the worker, but more importantly in the results obtained. In essence, A/PM is a service organization; it exists to provide a staff that meets the requirements of the employing offices as to skill, competence, timeliness, productivity, and morale. It has a further objective to avoid waste--in money, time, and effort. Operations Review must inform the A/PM Director of how well A/PM is meeting the requirements for Agency staff; e.g., the

number of vacancies, delays in recruiting, in establishing new positions, or in making new assignments. It must keep him informed about employee resignations and transfers out, personnel in nonproductive complements, and other events and situations which cause waste of money, time, and effort. Finally, it must inform the Director of the efficiency of the A/PM staff.

(2) Quality Control. This is the measurement of the product of A/PM's effort in terms of how well the staff they provide meet the requirements of the employing offices, as measured by performance evaluations, and of the Agency. It is also a measurement of how well A/PM assists the Agency in avoiding difficulties with regulatory agencies by adhering to law and regulation and how well the A/PM staff assists the Director in avoiding difficulty by adhering to policy.

(3) Advising. Merely informing the Director of the numbers will not discharge the mission of Operations Review sufficiently. Operations Review must also interpret the numbers, deriving meaning from them, explaining deviations, and identifying problems and their sources. Operations Review must also advise the Director as to the optional courses of action available to him.

b. The subsystem as specified herein provides the information input for the quantity and quality reviews. The review will be performed by the analyst in Operations Review. His findings, conclusions, and recommendations depend on what he sees in the data as well as his skill and background. The essence of the analysis is comparison. While the subsystem includes comparing, it does not specify how the findings and conclusions will be drawn.

2-4-5. Subsystem Description.

a. Quantity Control. The essence of quantity control is comparison with an expectation; i.e., how much was done compared to how much was expected or desired to be done. (Data derived from the Planning Subsystem should be used, where applicable, in establishing expectations and desires.) The expectation may be expressed as an absolute number or a rate; e.g., 40 recruitments may be the projection for the month being reviewed, or 8 percent per year, the expected maximum loss rate. In this subsystem, expectations are established by standards. The quantity control review will be made as follows:

(1) For Numbers.

(a) The quantity of the item for the review period is obtained.

(b) It is compared with the number for some like period or with the average for a number of like periods.

(c) If the comparisons show inconsistencies, explanations for the differences are sought.

(2) For Rates.

(a) The quantity of the item for the review period is obtained.

(b) The quantity of the base for the review period is obtained.

(c) The rate is calculated.

(d) The rate is compared with the rate for some like period or with the average for a number of like periods.

(e) If the comparisons show inconsistencies, explanations are sought for the differences.

(3) Standard Rates. Standard rates (e.g., placement actions per man-month) may be obtainable, but they may not be applicable since the situations could be different. Therefore, it is to be expected that standard rates will have to be derived as experience is gained and a data base built. Until then, comparisons with another period, with an average or a moving average, or with a trend may have to suffice.

b. Quality Control.

(1) The essence of quality control is comparison with a standard to determine whether the action meets the standard. Three kinds of standards are identified for the conduct of personnel activities:

(a) Law. Numerous standards are enacted by the Congress for personnel administration: salary rates, waiting time for promotion, veteran's preference, to name a few.

(b) Regulation. Each authority in a channel establishes regulations by placing limits on the use of delegated authorities. These have much the same effect as law, although they are not usually as inflexible. In general, the ease of obtaining exceptions decreases and the severity of the

possible penalties increases with the organizational distance from the point of action.

(c) Policy. Policy differs from law and regulation in that it establishes guidelines to be followed most of the time, but permits exceptions for good and sufficient reasons. Policy is set at all levels in the authority channel and usually becomes more specific as it is set closer to the point of action. Generally, policies set at different levels are consistent, but inconsistencies are not unknown.

(2) Quality Control Review. The quality control review will be made as follows:

(a) A random sample of the actions accomplished in the review period is drawn. For this, the Civil Service Commission sampling technique may be used; i.e., copies of the papers are sent to CSC for each action involving an employee whose Social Security Number ends in five. However, on the chance that such cases might be receiving special attention, some other final digit might be used.

(b) Each of the cases is reviewed for adherence to law, standard, and policy.

(c) The deviations found are summarized.

(d) The deviations are analyzed to ascertain whether patterns are developing and the causes are ascertained.

c. Advising. The Director is informed of the statistical summaries and the comparisons and of the inferences that may be drawn from them. He is also advised of the courses of action available to him. In general, two kinds of problems will be found:

o People are not adhering to established law, regulation, and policy (here policy includes the establishment of processes and procedures) and the results are unsatisfactory.

o People are adhering to established law, regulation, and policy and the results are unsatisfactory.

In the first case, the Director has two options:

o He may require adherence to give the law, regulation, or policy a fair chance to succeed.

o He may order a study to determine whether a change in law, regulation, or policy may obtain improved results.

In the second case, it appears that the Director has only one option: to order the study. In both cases, unsatisfactory performance by those taking the action may underlie the failure. The Director then has the further option to attempt to improve employee performance. Operations Review, having analyzed the situation, will be in the best position to have a basis for judgment, even though they may not have hard evidence. Therefore, they must advise the Director which course of action they recommend.

d. Review Coverage.

(1) Class of Personnel. A/PM's concern is with A.I.D.'s direct-hire, U. S. citizen employees. The preponderance of such employees is in three classes: FSR, FSS, and GS/AD. Operations Review can discharge its mission sufficiently if it addresses its reviews to these three categories.

(2) Personnel Activities. Some personnel activities, such as assigning, recruiting, position classification, and the like, are continuous. Others, such as performance evaluation and FS promotions occur all-at-once. Reviews will be conducted similarly: monthly for continuing activities and ad hoc for sporadic activities.

(a) Events and situations subjected to continuing review will be:

Vacancies
Separations
Recruitments
Assignments
Establishment of new positions
Classification of existing positions
Complements

(b) Events subjected to ad hoc reviews will be:

Performance evaluations
Promotions
Reductions in force

(3) Area Coverage. All A.I.D. GS/AD positions are in A.I.D./W or in a complement managed in A.I.D./W. Review of the GS/AD personnel class automatically covers A.I.D./W. FS personnel are located both in A.I.D./W and in the overseas missions. Since the A/PM Director must be concerned about equitable treatment of all employing offices, Operations Review should cover the bureaus separately for overseas positions. All

FS personnel activities in A.I.D./W and the complements should be reviewed separately for comparisons between FS and GS/AD in this area.

2-4-6. Information Flow.

a. Comparisons. Two kinds of comparisons are made in the Operations Review function: numerical for quantity control and documentary for quality control. The input requirements and methods of reporting differ between the two.

(1) Quantity Control. Quantity control compares counted members either as of a given day or in total for a given period, depending on the nature of the item being appraised. Situations are appraised as of a given day; rates, either of events or of productivity, are appraised as of a given period.

(a) Situations will be appraised by comparing the following quantities for the reporting date, the previous reporting date, and the average for the preceding six months.

- Vacancies: the number of positions vacant as of the given day, the numbers of those positions that have been vacant more than 60 days, 120 days, and 180 days.

- New Positions: the number of new positions for which requests to establish are pending on the given day and the numbers of these actions that have been pending more than 60 days, 120 days, and 180 days.

- Recruitments: the number of recruitment requests pending on the given day and the numbers of these actions that have been pending more than 60 days, 120 days, and 180 days.

- Complements: the number of employees in each complement on the given day.

- Performance Evaluations: the number of performance evaluations which have not been received after the due date has passed.

(b) Recurrent Events will be appraised by comparing the numbers of separations, recruitments, assignments, new positions, and classifications of existing positions occurring in the given period and the indicated annual rate for the given period with those for the next previous period and the average for the next previous six months.

(c) Sporadic Events will be appraised by comparing the following:

- Performance Evaluations: the proportion of evaluations by rating for the year with those for the next preceding year.

- Promotions: (for the Foreign Service only) the numbers recommended for promotion, the numbers promoted for the year, and the rates for the year with those for the next preceding year.

(d) Productivity. Productivity will be appraised for assignments, recruitments, and classifications; i.e., for new positions and review of existing positions. In each case, productivity will be the rate of number of actions per man-day calculated by dividing the number of actions in the period by the number of personnel people assigned to the work in the period including professional, supervisory, and clerical. Rates will be compared for the given period, the next previous period, and the average for the next previous six months.

(2) Quality Control. Quality control compares actions taken with the laws, regulations, and policies governing these actions. Which laws, regulations, and policies apply depends on the nature of the action and the class of personnel involved. Comparisons will be made for:

Separations
Recruitments
Assignments
Performance evaluations
Promotions
Reductions in force

Comparisons will be made for a random sample of the staff. The size of the sample will depend on the work load and the amount of effort that can be made available.

b. Outputs and Inputs.

(1) Quantity Control. As defined, quantity control compares numerical quantities and interprets the comparisons. Both statistical and narrative reports are produced. The statistical reports are structured below. The narrative report depends for its form and content on the subject matter and the skill of the analyst. The statistical reports require input data; they are inputs to the narrative. The content and source of the input data are indicated below.

(a) Personnel Activity Status Report (Table 2-4-1 - Flowchart Appendix B-3-1). This lists vacancies, new positions awaiting establishment, and pending recruitments by personnel class and by area: A.I.D./W, regions, and nonregional. It gives lists for the totals on the reporting date and for actions pending for more than 60, 120, and 180 days.

Column 1	Authorized Strength. The number of positions authorized for each organization on the reporting date; data from the Position Status Report.
Columns 2, 5, 8 and 11	This Period. The numbers of vacancies, new positions awaiting establishment, and pending recruitments as of the reporting date; data from the Position Status Report.
Columns 3, 6, 9 and 12	Last Period. The numbers of vacancies, new positions awaiting establishment, and pending recruitments as of the next preceding Status Report; data from the next preceding report.
Columns 4, 7, 10 and 13	6-Month Average. The average of the numbers of vacancies, new positions awaiting establishment, and pending recruitments as of the reporting dates in the next preceding six months; data calculated manually from the Status Reports for the next preceding six months.

New input data are required only for columns 1, 2, 5, 8, and 11. These will be provided by PM/PIC in a table of the same form as Table 2-4.1 with entries only in these columns. The remaining input data are obtained from previous Status Reports.

(b) Complement Status Report (Table 2-4.2 - Flowchart Appendix B-3-2). This lists the number of employees assigned to each complement as of the reporting date.

Column 1	This Period. The number of employees by personnel class in each of the complements as of the reporting date; data from the complement roster.
Column 2	Last Period. The number of employees in each of the complements as of the next preceding reporting date; data from the next preceding Complement Status Report.

Table 2-4.1

PERSONNEL ACTIVITY STATUS REPORT As of: _____

	Area	Auth Strength	Total			Pending Over 60 Da			Pending Over 120 Da			Pending Over 180 Da		
			This Per	Last Per	6-Mo Ave	This Per	Last Per	6-Mo Ave	This Per	Last Per	6-Mo Ave	This Per	Last Per	6-Mo Ave
		(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)
FSR														
Vacancies	AID/W													
	AFR													
	NESA													
	LA													
	EA													
	VN													
	Non-Reg.													
	TOTAL													
Pending New Pos.	(do)													
Pending Recruits	(do)													
FSS														
(do)	(do)													
GS/AD														
(do)	AID/W													
Total Vac.	___													
Total New Positions	___													
Total														

TABLE 2-4.2

COMPLEMENT STATUS REPORT

As of: _____

Complement	This Period (1)	Last Period (2)	6-Month Average (3)
I. Foreign Service			
A. Detail Support			
B. Reassignment/Medical			
II. Training			
A. General Training			
B. I D Intern			
III. Civil Service			
A. Detail Support			
B. Recruitment			

Column 3 — 6-Month Average. The average number of employees in each of the complements as of the reporting dates in the next preceding six months; data calculated manually from the Complement Status Reports for the next preceding six months.

New input data are required only for column 1. They will be obtained by Operations Review from the Staffing Pattern. The remaining input data are obtained from previous Complement Status Reports.

(c) Personnel Action Report (Table 2-4.3 - Flowchart Appendix B-3-3). This lists for the reporting period the number of separations by type: resignations, transfers out, and other; recruitments, assignments, new positions established, and existing positions audited by personnel class and area; and the indicated annual rates.

Column 1 — Authorized Strength. The number of positions authorized for each organization on the reporting date; data from the SP/PR.

Column 2 — Number This Period. The number of each kind and type of personnel action completed in the reporting period, by personnel class and area; data from records to be kept in the computer.

Column 3 — This Period. The indicated annual rate for each row, calculated manually from columns 1 and 2 for the reporting period.

Column 4 — Last Period. The indicated annual rate for each row for the next preceding reporting period; data from next preceding Personnel Action Report.

Column 5 — 6-Month Average. The indicated annual rate for each row, calculated manually for the reporting periods in the next preceding six months; data from the Personnel Action Reports for the next preceding six months.

New input data are required only for columns 1 and 2. These will be provided by PM/PIC in a table of the same form as Table 2-4.3. The remaining input data will be obtained from Personnel Action Reports for preceding reporting periods.

Table 2-4.3

Personnel Action Report

From: _____
To: _____

	Area	Authorized Strength (1)	Number This Period (2)	Annual Rate This Period (3)	Annual Rate Last Period (4)	Annual Rate 6-Mo. Ave. (5)
FSR						
Attritions						
Resignations	A.I.D./W					
	AFR					
	NESA					
	LA					
	EA					
	VN					
	Non-Reg					
	Total					
Transfers Out	(do)					
Other	(do)					
Total						
Recruitments						
Assignments	(do)					
New Positions	(do)					
Position Audits	(do)					
FSS (do)	(do)					
GS/AD (do)	A.I.D./W					

(d) Productivity Report (Table 2-4.4 - Flowchart Appendix B-3-4). This lists the rate of personnel action per man-day for assignments, classification actions--new positions and audits--and recruitments by personnel organization.

Column 1	Number This Period. The number of each personnel action completed by each personnel organization in the reporting period; data from record to be kept.
Column 2	Man-Days This Period. The number of man-days--professional, supervisory, and clerical--assigned to the responsible organizational element in the reporting period; data from the personnel office rosters.
Column 3	This Period. The rate of personnel action per man-day for each row, calculated manually from columns 1 and 2 for the reporting period.
Column 4	Last Period. The rate of personnel action per man-day for each row for the next preceding reporting period; data from the Productivity Report for the next preceding reporting period.
Column 5	6-Month Average. The average rate of personnel action per man-day for each row calculated manually for the reporting periods in the next preceding six months; data from the Productivity Reports for the preceding six months.

New input data are required only for columns 1 and 2. Those for column 1 will be provided by PM/PIC; those for column 2 obtained by Operations Review from the Staffing Pattern. The remaining input data will be obtained from Productivity Reports for preceding reporting periods.

(2) Quality Control (Flowchart, Appendix B-3-5).

(a) The input to quality control is the employee's Official Personnel Folder. Folders are provided to Operations Review for a sample of the actions taken. The sample will be randomized to avoid systematic error. The size of the sample must be adjusted to the amount of effort available for the work.

Table 2-4.4

Productivity Report

From: _____
To: _____

Action	Org.	Number This Period (1)	Man-Days This Period (2)	Rate: This Period (3)	Rate: Last Period (4)	Rate: 6-Mo. Ave. (5)
FSP Assignments	A/PM					
	LA					
	VN					
CSP Assignments	A/PM					
FSP Classifications	A/PM					
	LA					
	VN					
CSP Classifications	A/PM					
Recruitments	A/PM					
	LA					
	VN					

(b) A random sample can be drawn on the basis of the employee number (SSN). This can be done by specifying that cases will be reviewed for selected digits of the employee number. For example, a ten percent sample can be drawn by selecting files with a specified terminal digit such as 5. A five percent sample can then be drawn by selecting files with the specified terminal digit and any of five penultimate digits, resulting in 15, 25, 35, 45, and 55, for an example. Other sizes can be established in a similar way.

(c) Actions that occur in large numbers will be audited in this kind of sample, including appointments, promotions (especially those in the Civil Service), assignments, and separations. The size of the sample may vary. For example, a larger fraction of merit promotions than assignments may be audited. On the other hand, it may be well to audit all actions that result in an appeal since these tend to be most troublesome.

(d) When the Personnel Information Center receives the document confirming an action for an employee falling within the sample, it will send the folder to Operations Review instead of returning it immediately to the file.

c. Flowcharts. Flowcharts for the processes for producing the information for Operations Review are shown in Appendix B-3.

CHAPTER 3

TECHNICAL DESCRIPTION OF FUNCTIONAL SYSTEM

Section 1

GENERAL

3-1. Introduction. This chapter is a description of the personnel operational functions which, together with the control functions, comprise the complete Personnel System. The personnel operational function subsystems are: Recruiting, Assigning, Evaluating, Compensating, Promoting, Training, Separating, and Servicing. Also included in this chapter is a description of File Maintenance, a function which applies to the entire Personnel System.

The detailed analysis and description of each functional subsystem is included in this chapter. Each of the functions has also been described in flowchart which indicates the flow of activity, inputs and outputs of each subsystem. The flowcharts have been placed as appendices to Annex B.

Section 2

RECRUITING SUBSYSTEM

3-2-1. General.

a. Recruiting, for the purposes of this system, is considered to include those acts of solicitation and assessment that will produce a serious application for employment. It does not include the actual hiring and assignment. It includes all the activities necessary for the following:

(1) Finding applicants outside of A.I.D. and receiving applications for employment.

(2) Evaluating an applicant's qualifications and suitability for employment.

b. Within the Recruiting Subsystem specific actions which must be performed are:

(1) Determining whether the individual's application indicates an adequate level of skill to qualify for Agency hire.

(2) Coordinating and monitoring the consideration of an applicant's professional competence by Agency prospective employers.

c. The Recruiting Subsystem will also provide for an automated Applicant Data File of unplaced applicants.

d. The Candidate Supply Branch of Personnel Operations is responsible for the Recruiting Subsystem.

3-2-2. Objectives.

- To provide qualified suitable candidates for employment within A.I.D.

- To maintain a sufficient supply of candidates in the Applicant Data File and expand the Applicant Data File to include all applicants considered to be in short supply.

- Based on manpower planning estimates, to develop a recruiting program to assure a steady flow of qualified applicants to meet A.I.D.'s needs.

3-2-3. Assumptions.

- A Candidate Supply Branch will be formed to recruit, assess, and supply slates of candidates for review.

- All pertinent data regarding qualified applicants will be made available to the Applicant Data File from the other bureaus whose personnel operations are not centralized within A/PM.

3-2-4. Subsystem Concept. The function of recruiting has been stated earlier. It is to provide qualified candidates to fill A.I.D. positions. The job of recruiting can be carried out only if adequate information and tools are supplied. Recruiting effort is broken down into the following basic categories:

a. Individual Foreign Service Recruiting. When the requesting bureau submits requirements to A/PM, it will be determined whether there are any qualified in-service personnel available to fill the position. If there are, placement action can be initiated. If not, PO/CS will search the Applicant Data File to determine the availability of qualified applicants. Recruiting action takes place in the event that an insufficient number of applicants is present.

b. Individual Civil Service Recruiting. The procedure for securing applications for Civil Service positions differs since registers are available from the Civil Service Commission. However, these registers are not entirely adequate and other sources of candidates must be developed. Especially affected are those vacancies in the scarce-skills category.

c. Block Recruiting. Block recruiting is the solicitation of applications to fill common usage type positions which have recurring vacancies. Attrition data will be gleaned from the Employee Data Records (EDR) of employees being separated. The Planning Subsystem will then provide PO/CS with meaningful projections upon which to base a recruiting program.

3-2-5. Subsystem Description. The basic recruiting process does not lend itself to automation; however, it would seem that the key to successful operation is placing in the hands of the recruiters sufficient information to perform their function. The system will provide data on turnover by skill area. Projections for recruiting purposes can be made from this information.

a. The historical data available for analysis on all the employees who terminate will provide a manpower basis for making projections of future needs. The Planning Subsystem will provide tables showing by occupational skill the number of recruitments

necessary. These tables will provide information to Candidate Supply upon which to plan their activities.

b. The processes of recruitment, assessment, and the subsequent placement actions, for the purposes of this discussion, are predefined processes. Therefore, in the presentation of the system they will only be shown as processes and not elaborated upon.

c. The Applicant Data File will be developed to include those personnel with qualifications necessary to meet A.I.D.'s requirements for both A.I.D./W and overseas posts. Applicant data from the other bureaus will also be supplied to the system in order that all A.I.D. candidates can be identified. Those applications which indicate they meet the Agency qualifications as established by CSP and FSP should be entered for six months beyond date of availability. Applications will be entered into the Applicant Data File weekly.

(1) Included in the Applicant Data File (ADF) will be such additional data elements as: available date, grade (estimated or certified) and classification series.

(2) On request, Applicant Data Records will be printed by selected occupational code. If the applicant has multiple codes, he will appear under each area.

(3) A report will be developed and produced on a monthly basis showing those applications which have reached the terminal date of consideration (six months after date available). A form letter utilizing the standard approved paragraphs will then be sent notifying the applicant that he will no longer be considered unless he advises that he wishes to be considered for a longer period of time. If the reply is negative, the application will be dropped from the file. If the applicant responds with additional data or indicates that he would like to be considered longer, a maintenance transaction will be entered.

d. In order to make the applicant supply system work, a central registration on SF-52 requirements must be established. Even when the bureaus submit candidates, these will be compared to any available applications to determine the most highly qualified candidate. Applicants rejected by the employing offices for cause will be purged from the file by entering a maintenance transaction.

e. The design of the Applicant Data File must be consistent with the Employee Data File (EDF) so that both files can be accessed during the assignment run. Therefore,

applicants in the Applicant Data File can be considered for assignments which cannot be made utilizing in-service personnel. The transactions processed to enter employees into the EDF will be matched against the ADF, automatically purging those who are hired from the ADF.

f. A copy of the Positions Available Report will be made available to the Candidate Supply Branch to indicate the current status of vacancies and the classification of new positions. The SF-52 requirements submitted to Candidate Supply will be compared with the Positions Available Report to assure that adequate recruiting effort is being maintained.

g. Applications received will be screened based on the apparent suitability of each candidate. Those rejected for lack of qualifications will be sent back to the applicant with a form letter. A form AID 4-432 will be made out, noting on the form the type of letter that was sent. If future inquiry is necessary, the action taken can be gleaned from the form without having bulky filing cabinets. Since the form letters will use standard paragraphs, the wording of each letter can be determined.

(1) Those applicants considered qualified will also receive a form letter indicating that they are being placed in the Applicant Data File. If the applicant submitted a resume, a form will be sent in order to get any additional information needed for the ADF and the length of time for which he would like to be considered. The applications will be filed in one location by occupational code.

(2) The form AID 4-432 is presently a five-part snapout from which two separate files are maintained and at least two copies are thrown away. This form is used to maintain history and control the application. This form will be reduced to a one-part form to be filed alphabetically in Candidate Supply by itself. It can then be updated from the referral actions taken. Those applications rejected would have only limited data recorded.

h. The system will have the capability to search the Applicant Data File on parameters and produce a listing of candidates to be researched. Parameters such as skill code, or codes, language requirements, experience in years, and position availability date will be submitted and all candidates matching those parameters submitted will be selected. This type of reporting is on a demand basis and should be provided to Candidate Supply no later than 24 hours after submission.

3-2-6. Subsystem Information Flow. The input documents to Candidate Supply flow from Manpower Planning, Position Classification, employing offices, and applications from outside sources. These inputs will initiate action either in the form of recruitment, assessment, or referral. The accompanying flowcharts, inputs, and outputs are shown in Appendix B-4.

Section 3

ASSIGNING SUBSYSTEM

3-3-1. General.

a. The primary purpose of the Assigning Subsystem is to identify qualified persons for assignment to positions which are or are scheduled to become vacant.

b. The subsystem will begin operation when it is known that a position is to be vacant at a particular time. The qualifications of persons who are expected to be available at the time of vacancy will be compared to the stated requirements of the position. If there appears to be a match, the person's qualifications will be assessed in more detail, and if suitable, the person will be presented to the organization having the vacancy. If selected, an assignment will be made and the process will be considered complete except for record keeping and assistance given to physically place the person at the employing organization.

c. Automated techniques will be used to assist in the assigning process, particularly in the areas of candidate identification and record keeping. Candidates will be identified as far ahead of the expected date of a vacancy as appears reasonable.

d. The assignment process applies to both Foreign Service and Civil Service employees. The steps through which the process must move are quite similar in general, but differ substantially at the detail level. Special consideration must be given to executive assignments (FR-1 and 2 and GS-16 through 18).

e. The Recruiting, Promoting, Compensating, and Separating Subsystems interface particularly with Assigning, since each of them has substantial influence on assignment.

3-3-2. Objectives.

- To consider all persons available for an assignment who are basically qualified.

- To maintain the assignment status of all employees and positions.

- To reduce the number of requests for Official Personnel Folders by providing through automation all data necessary for assignment consideration with the name of a candidate.

• To initiate action to achieve an assignment as early as possible, generally the first assignment cycle after notice of an impending vacancy.

3-3-3. Assumptions.

• Position requirements which are specific (e.g. language) to the position will be encoded and recorded on the position description or SPAR and the same skills coding scheme that is used for individuals will be followed.

• Skills data for applicants being considered for direct-hire will be recorded and entered into the automated system using the same scheme as applies to on-board personnel.

• Civil Service personnel who have indicated that they would accept an overseas assignment will be considered for them.

3-3-4. Assigning Subsystem Concept. The Assigning Subsystem is centered around a process which will find basically qualified candidates for existing and projected vacancies. This process is referred to as the Assignment Model.

a. The Assignment Model is a device for matching people to jobs. A job consists of an active position. People may include those already on board or those who may come on board. As visualized in Figure 3-3.1, the model would require that jobs and people qualifications be described in identical terms. After data on each job and person and on certain time factors are entered into the model, matching will be done according to strict rules.

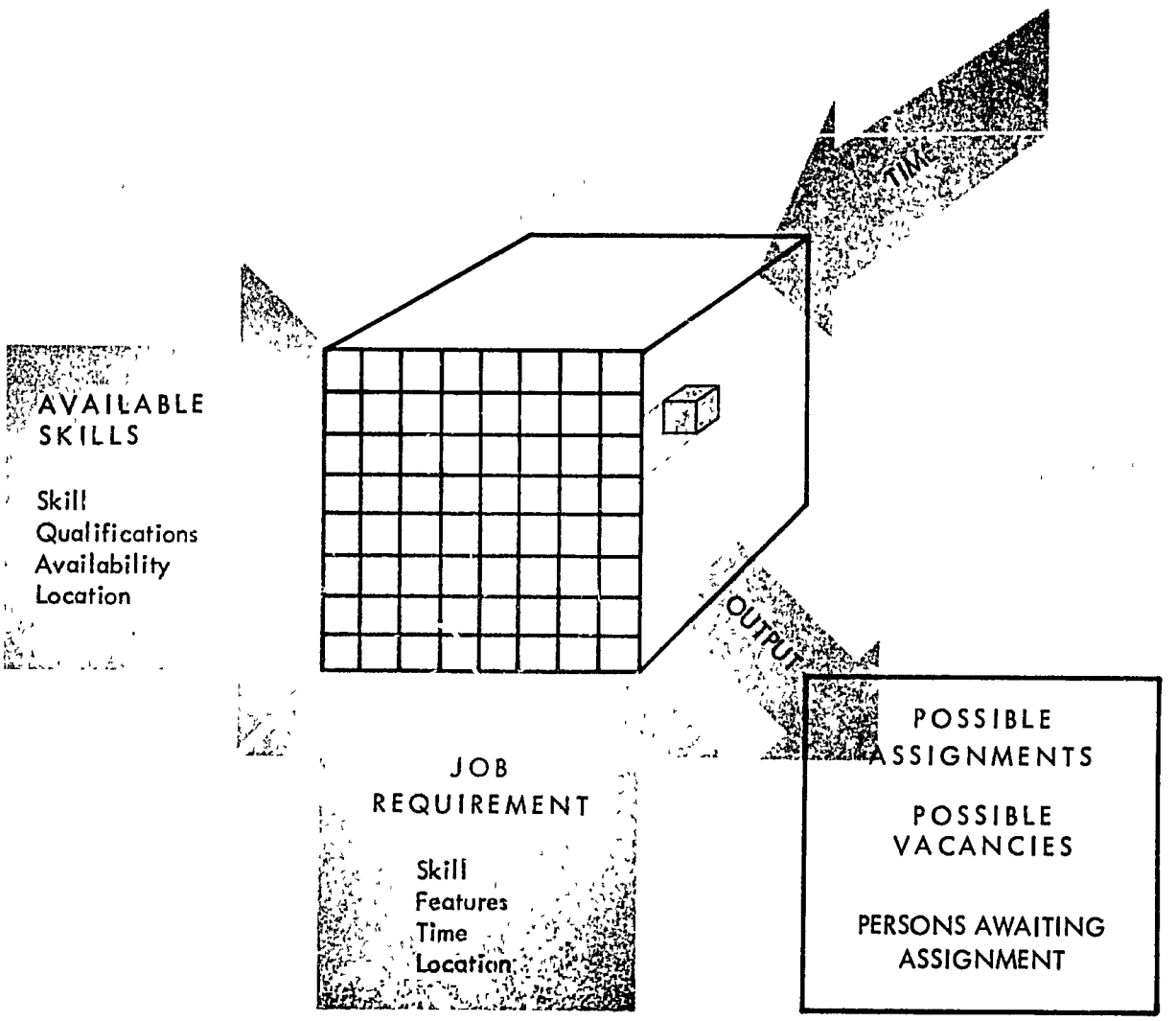
b. The model will attempt to match FS and CS personnel to positions for which they will be available and appear to be basically qualified. All positions within an occupational specialty becoming vacant within a given time frame will be listed, together with a list of all personnel with that occupational specialty who are to become available in the same time frame. Placement officers, organized by occupational specialties, will match candidates to positions and will deliver the name of a matched candidate to the placement officer responsible for the office or bureau having the vacancy.

c. To achieve maximum selection potential, both FS and CS employees will be considered for all vacancies for which they are qualified and eligible. The time over which matches are considered is divided into two frames:

(1) The long-range time frame covers the period between six and ten months into the future and consists almost entirely of

Figure 3-3.1

ASSIGNMENT MODEL



FS encumbered positions.

(2) The short-range time frame covers the period from the present to the near edge of the long-range frame and consists mostly of unexpected vacancies, primarily in Civil Service.

This division is made because of the different situations that predominate in each frame.

d. The objective of the model is to answer the question, "What is the set of people I can consider to fill these positions?"

3-3-5. Assigning Subsystem Description.

a. Scope. The function of assigning includes all of the activities necessary for:

- Finding candidates within A.I.D. to fill vacancies or, failing to do this, stating a recruiting requirement.

- Assessing the qualifications and suitability of candidates.

- Presenting one or more suitable candidates with a recommended selection to the bureau or office with the vacancy, or initiating separations to eliminate employee surpluses.

- Completing the placement process for persons selected for assignment.

b. Vacancy Considerations.

(1) Definitions for position and position ceiling are found in M.O. 333.7 (January 17, 1967). Closely related to this topic is position control discussed in paragraph 3-5-5. A vacancy is defined as an active position to which no individual has been assigned. The assigning process does not wait until a vacancy actually exists. When an expected date of a vacancy is known, an attempt to locate a qualified candidate will be initiated during the next assignment cycle.

(2) If the organization having the vacancy does not wish to have the position filled as currently constituted, they must cancel the position. Cancelling a position will not change the position ceiling granted the organization by A/DSM/MGT. Candidates will be found for all active positions which are, or are projected to be, vacant.

(3) Notification of impending vacancy is accomplished by establishment of a new position, a separation, or a Completion of Assignment Report (COAR).

(4) The Completion of Assignment Report (COAR, form AID 4-253) will be completed by all Foreign Service employees except the FSR-1 level. The present form will be modified to permit the employee to indicate Agency Occupation Specialties in which the assignment is preferred.

The items listed must be as approved by the employing bureau or office. The COAR will be completed, approved, and forwarded to PM/PIC for entry of data into the computer not later than 11 months before the end of tour. The mission departure date plus three months will be considered as the employee availability date. A request for return to post by the bureau will not exclude an employee from consideration for worldwide assignment possibilities after two consecutive tours at a post.

c. Identify Candidates. Each month, a search will be initiated to find candidates who are basically qualified for impending vacancies. A different set of factors and procedures must be applied to the two groups (FS and CS) of people and positions. The search for basically qualified candidates will be an automated process which compares data available from the Employee Data File and the Position Data File. The primary data elements to be considered are date available, AOS, and grade. Their importance in assignment considerations will be approximately the same as the order in which they are listed, with the first ranked most important. Experts and consultants will not be identified as potential assignees, nor will positions classified for them be available for assignment of FS or CS personnel. Applicants (i.e. potential direct-hires) will be considered available if basically qualified on-board personnel cannot be found.

(1) Foreign Service Candidates.

(a) Executive level Foreign Service officers (which includes FSC-1 and FSR-1 levels and FSR-2s occupying deputy positions or having 631B appointments, or who have been recommended for promotion but not promoted) are assigned at the direction of Director of A/PM. Each month, two reports will be prepared for the Director to assist him with executive assignments. The first is a list of all executives who are due for reassignment within the coming six months. FR-1s do not submit COARs and are due for assignment consideration every two years. The list will be in alphabetical order and contain:

Name
SSAN

Position title and location
(or complement)
Date available (end of tour)
Grade

An EDR print will also be furnished. When an assignment has been recommended by the Director, the name will be dropped from the list. The second is a report on all supergrade FR-1 and FR-2 positions which are to become vacant in the coming six months. This list will contain, in date available/grade sequence:

Date available
Grade
Position number
Position title and location
Medical limitations
Current incumbent's name

The lists will include A.I.D./W positions incumbered by Foreign Service grades 1 and 2. Upon arriving at an assignment decision, the Director will deliver the assignment information to Employee Utilization for completion of the assignment process.

(b) For positions below the executive level, a person will be considered basically qualified if the following conditions are satisfied:

- Availability date is within the time span under consideration.

- His grade is within one grade (either way) of the grade of the position.

- His primary occupation code matches that of the position.

- He has not been excluded from the country where the position is located.

(2) Civil Service Candidates.

(a) GS personnel grade 14 and below will be considered as basically qualified for a position if the following criteria are satisfied:

- His primary AOS is the same as the position.

- If the position is in A.I.D./W, his grade is one below that of the position, and he has not received a promotion within 12 months prior to the date the position is to become vacant.

• If the position is overseas, he has previously indicated availability for such an assignment, and his grade is within plus or minus one of the position.

(b) Requests for assignments may frequently have a specific individual named as a candidate for the position. If completing the assignment with the named person will result in a lateral transfer without change of grade and where the merit promotion plan does not apply, the request will be sent directly to the appropriate placement officer for review of the request and the qualifications of the named individual. If the placement officer agrees, assignment will be made when concurrence of losing office and employee is obtained. In the event that the placement officer does not concur, the same process as for unnamed assignment requests will be followed (as in (2) (a) above).

(c) A priority grouping has been established (M.O. 415.3) for assignment considerations. Qualified candidates in the highest two groups must be identified as a slate and subsequently lawfully rejected before candidates in a lower category will be considered. Persons who are not currently employed by the Agency, but who can exercise reemployment rights, will have their EDR retained on the master Employee Data File until their right expires. Upon exercise of the right, the date available will be entered in the EDR and, during a normal assignment run, an attempt will be made to locate a position. If this does not result in locating a position, the placement officer for the bureau or office in which he last held an A.I.D./W position will assign him to that or an equal position.

d. Position/Candidate Matching. To match the positions and candidates identified above, it is first necessary to establish the time span over which the matching is to be performed. All positions vacant or due to become vacant between the current date and ten months in the future are to be considered in attempting the match. The matching prospects are shown in Figure 3-3.2.

(1) To present the possible assignment alternatives, a Position/Candidate Availability Report is produced with each assignment run.

This report is distributed to occupational area placement specialists.

(a) This report (see Table 3-3.1) shows all positions due to become vacant in the period 8 through 10 months in advance of the report date and all candidates for those positions due to become available in the same time frame. The report will be prepared in occupation code/month available/grade sequence.

Figure 3-3.2

EXPECTED ASSIGNMENT SITUATION BY TIME

	Months	Available People	Available Positions	Remarks
FUTURE	11-13			
	10	FS FS/CS	AID/W Overseas	Information used for planning only People not assigned to positions if both in this month
	9	Same	Same	Matching across 5th to 7th months is expected as the normal procedure
	8	Same	Same	
	4-7	FS	Overseas - AID/W	Upset Assignments
	3	Initiate Merit Promotion	AID/W	Identify surplus employees Initiate separation actions
	2	PS not assigned	Overseas New AID/W	
	1	FS not assigned CS being promoted	Overseas	Check complements for ceiling availability
	Time = 0			
PAST	-1	FS in complement	Hard to fill slots	
	-2	FS in complement	same	Consider separation
	-3	FS last month in complement	same	Separation

Table 3-3.1

RESULTS OF THE AUTOMATED ASSIGNMENT PROCESS

Position/Candidate Availability Report

Position Data	Candidate Data
Date available	Date available
Position number (POSNO)	Social Security Account No. (SSAN)
Post code	Name
Position title	Position Number (POSNO)
Occupation code	Grade
Grade	Language and proficiency
Position ID	Primary, secondary, and tertiary awarded AOSs
Language and proficiency	Primary, secondary, and tertiary employee preference AOSs
Medical facilities	
Schools availability	
Housing availability	

Assignments Made Last Month

Position number (POSNO)
Post code
Grade of position
Position occupation code
Name of person assigned
Social Security Account No. (SSAN)
Grade
Primary AOS
Effective date of assignment

(b) All positions and personnel awaiting an assignment in the period from date of report through seven months in advance will be listed as a separate part of the availability report.

(c) All assignments which were made during the last month will be listed separately showing the position and person assigned. This report will be produced in occupation code/position number sequence.

(d) An additional report will be provided the placement officer showing the employee's assignment preference by AOS in those cases where his primary AOS differs from his preference as indicated on the COAR. This report will be distributed to the placement officer responsible for the preference AOS. He will use this for information, and if interested in obtaining this employee he will make request to the placement officer responsible for the primary AOS.

(2) The occupational area specialists will make recommended assignments with the assistance of the placement officers who serve the bureaus or offices. Upon receipt of rejection, sustained by appeal, of a candidate by a bureau or office, the placement officer will work with the occupational area specialist to secure another recommendation.

(3) Candidates are recommended according to the following rules:

(a) Positions/candidates who are both available during the 8th, 9th, and 10th months are matched until either candidates or positions are exhausted. To assist this operation, for each candidate whose name appears on the report, an EDR Print will be provided. This three month period is the time frame wherein it is most desirable to establish assignments. CS employees basically qualified for overseas assignments will be listed as candidates for overseas positions in this time frame only.

(b) The remaining seven months will consist mainly of FS personnel whose assignments were upset and positions which have become vacant due to separation actions. CS employees who are basically qualified for overseas vacancies will not be listed as candidates in this frame. CS employees who may qualify for A.I.D./W positions under merit promotion will be listed; however, these candidates may not be recommended except through the merit promotion procedure. They are listed only for information purposes.

e. No Candidate/Position.

(1) The placement officer will determine the candidate he feels to be most suitable for the position. If he feels none are suitable, he will check the SPAR or position description against the computer filed position data to ascertain whether or not an error exists. If an error exists, he will work with Candidate Supply to rectify it and obtain a new candidate list. If no error exists, he will discuss directly with the requesting organization possible modifications to the position. If a modification is not decided upon, the placement officer will request recruiting authorization.

(2) Applicants found in the Applicant Data File will not count as candidates even though they will be listed if no on-board candidates are found. A report will be produced showing all vacant positions for the next 10 months for which no on-board personnel are readily available. This Positions Available Report will be prepared each month and will be sequenced by occupation code and date assignment desired. The report will include:

Position number, title, and location
Position grade
Date available
Date recruitment authorized (if applicable)

(3) In some instances, for either service, no positions will be available for persons who need assignments. For Civil Service this can include persons exercising reemployment rights or under RIF notice. For Foreign Service, it can include persons under RIF notice or whose COAR indicates a change in post is to be expected, but for whom no new assignment has been found. Such persons will be indicated on the second part of the Positions/Candidates Availability Report (see d(1) above). Persons listed on this report who are within six months of availability for assignment will be considered by PO/CS and Employee Utilization branches for retraining or recoding of their occupational skills and for probability of an assignment opportunity appearing. If the chance of assignment to a vacancy within five months of availability is considered remote, further action, dependent upon the employee's status, must be taken. Notification will be given to the employing organization.

f. Position/Candidate Imbalances.

(1) Since the number of candidates will not always be as great as the number of available positions, a mechanism must exist to provide at least as many candidates as positions.

(a) For positions classified FS, the secondary occupation code of all FS employees will be checked. All persons so found who will be available at the appropriate time will be added to the list of candidates. If a sufficient number is still not found, the third occupation code will be used with the same procedure followed. All candidates added to a list will be so noted. Assignment of those individuals may not be made without the concurrence

of the occupational placement specialist responsible for the primary AOS.

(b) The Position/Candidate Availability report for CS classified positions will be reviewed by PO/CS. Any positions in the one to three month time frame which are found to have too few candidates will require action under the merit promotion procedures (see paragraph 3-6-5).

g. Complete Assignment. Once it has been decided that a particular individual is to be assigned to a given position or is to be separated from the Agency (see paragraph 3-8-5), the activities necessary for accomplishment must be performed. These activities apply to all classes of personnel for whom a SF-50 must be produced; e.g. FS, CS, consultants, experts, executives. The activities necessary are the updating of records, preparation of the SF-50, and such other documents that may be required to successfully complete an assignment action.

(1) Assignment in Suspense.

(a) Once losing and gaining placement officers and the employee have agreed upon an assignment action, and a completed Assignment Transaction Form prepared, an assignment is considered to be in suspense until the SF-50 is produced. The Assignment Transaction form will be completed by the regional placement officer, who will approve it and forward it to PM/PIC. It is this document which will cause an entry to be made on the next Assignments Made Last Month Report. On the Assignment Transaction form must be recorded:

Employee Social Security Account Number
Effective date of new assignment
Position number of new assignment

During the suspense period, the position and person will not be considered available for further assigning considerations by the automated portion of the system.

(b) At the time the Assignment Transaction form is entered into the system, the EDR file will be annotated with the position number and effective date, and the position file annotated with the Social Security Account Number of the employee and the effective date. If an Assignment Transaction form assigns a person to a position which is already in suspense status, the transaction will be rejected by the computer and an error message created advising the placement officer to this effect. The placement officer must then decide whether to let the assignment in suspense stand or change it.

(c) An assignment becomes an assignment in fact when the SF-50 is produced. This form will be prepared and the EDR and PDR updated not sooner than five months before the effective date. The effective date will be the date action is effective, regardless of the time the action physically takes place. After the SF-50 is reviewed, special remarks will be added, it will be signed, and PM/PIC will distribute it.

(d) Complement control is administered by Complement Management (PO/CM). Complements may be viewed as organizational subelements of that section, with the exception of the Training Complement, which is administered by the Training Branch. Complements are assigned position ceilings and can be controlled for assignment purposes, just as are other A.I.D./W organizations. Procedures for complement entry and exit requirements will be as specified in M.O. 418.6 (December 1968). The principal difference concerning assignments is that short-time assignments will be permitted. A large number of complement assignments are completed within 90 days.

3-3-6. Information Flow.

a. Required Input.

SF-52 (name, assignment, separation)
COAR
Assignment transactions

b. Required Output.

Executive due for reassignment
Executive positions due to be vacant
SF-50
Position/Candidate Availability Report
Assignments made last month
Positions Available Report
EDR Print

Section 4

EVALUATING SUBSYSTEM

3-4-1. General.

a. The present Evaluating Subsystem is completely manual. Separate subsystems exist for Civil Service and for Foreign Service employees. The differences in requirements and purposes preclude merging both into one system. However, both systems have similar problems which can be minimized through automation.

b. The Evaluating Subsystem for Civil Service employees will be administered by the Employee Utilization Branch of Civil Service Personnel (CSP/EU), and for Foreign Service employees by the Evaluating Branch of Foreign Service Personnel (FSP/EV).

c. The Evaluating Subsystem as described herein affects the Performance Evaluation Report (PER) only. The Development Appraisal Report (DAR) required on Foreign Service personnel is not affected.

d. Each employee should audit a printout of his EDR once each year. In this way, the employee will know what his EDR contains, he can indicate any needed corrections or additions, and his confidence in the system will increase. Occupational skills data on the EDR should also be checked by the supervisor for any appropriate updating. The best time to accomplish this audit would be in conjunction with the annual (regular) performance evaluation. Therefore, the Evaluating Subsystem has been designed to include provisions for the annual audit of the EDR by the employee and of the occupational skills data thereon by the supervisor.

3-4-2. Objectives.

- To provide suspense controls on PER's due.

- To provide periodic reports to management reflecting numbers and percentages of PER's due, received, and overdue.

- To provide lists of employees on whom PER's are overdue, for use in initiating tracer actions.

- To provide for recording selected performance data on each employee's EDR for use in personnel actions which require competitive selection.

- To provide a data base that can provide information for special studies and reports on the Evaluating Subsystem.

- To provide for an annual audit of each employee's EDR.

3-4-3. Assumptions.

- The basic procedures for accomplishing PER's will not change. Such procedures include rater and indorser responsibilities, administrative intermediate reviews of completed PER's, and the basic functions of the A.I.D. Performance Rating Committee and the FS Evaluation Panels.

- The three rating factors, quality of work, quantity of work, and personal relations on the job, will be eliminated from the PER for Civil Service employees.

- Career patterns will be developed by A/PM, and these patterns will be used in lieu of backstop codes in the formulation and operation of FS Evaluation Panels.

3-4-4. Subsystem Concept.

a. Each employee's EDR will contain two groups of data pertaining to the Evaluating Subsystem:

(1) Data pertaining to the type and due date of the next PER. This is called PER suspense data.

(2) Data pertaining to all PER's submitted on the employee. Thi is called PER history data. This data will start accumulating effective with implementation of the system; prior PER's will not be entered.

b. There are three basic types of PER's:

(1) Annual PER's.

(2) Probationary PER's including specially timed reports for Internation Development Interns.

(3) Interim PER's.

c. EDR audits, as described in paragraph 3-4-1 above, will be required only for annual and probationary PER's. They will not be required for interim PER's.

d. Based on the assumption that rating factors for CS employees will be eliminated, the PER form for CS will be changed to a punch card (to be designed) which can be output by the computer, completed by the rater and indorser, signed by the employee, and the rating data reentered into the

computer via the punch card. This is not feasible for the complex FS PER form, which will not be changed.

e. The suspense data will be used to prepare the following documents for annual and probationary PER's:

(1) Lists by major organizational element or location of all individuals on whom PER's are due the second subsequent month.

(2) An EDR Print #1 for each employee on the above lists.

(3) The punch card PER form for each CS employee on the above lists.

(4) For use by FS Evaluation Panels, separate lists will be prepared in career field or occupational area sequence, together with forms AID 4-153, Personnel Evaluation Card, on which the Panels enter their recommendations.

f. The sequence lists, EDR Prints, and, for CS employees, the punch card PER will be sent to the employing offices for action.

g. Upon receipt of evaluation documents back in A/PM, necessary file maintenance transactions will be entered into the computer to update each employee's EDR and appropriate documents forwarded to the A.I.D. Performance Rating Committee (CS) and the Evaluation Panels (FS) for appropriate additional action.

h. By matching suspense data against PER completion data, the computer will prepare a monthly report of the status of evaluations due, received, and overdue. Lists of employees, by name, on whom PER's are overdue will be included for use in initiating tracer action if desired.

i. Manual Orders pertaining to the evaluation program will be changed to provide that the employee audit his EDR Print in conjunction with the performance evaluation interview. They will further provide that the supervisor will review the AOS's (A.I.D. Occupational Specialties) shown on the EDR Print and recommend any needed updating. Since the AOS's will be used in the Assigning Subsystem, it is important that they be kept current and reflect the employee's highest skills; the above review will help to ensure this.

j. Whenever an employee or rater is reassigned after a period of three or more months subsequent to the last PER submitted, an interim PER is required. The feasibility of having the computer output a notice that an interim PER is due was studied. Though it could be accomplished, the increase in data input, programming, and computer time required, measured against possible benefits, indicate that it would not be economical to use the computer for this purpose. Therefore, automation of interim PER's will be limited to recording them on the EDR when received in A/PM. Manual procedures for implementing the Personnel System will be strengthened in the area of interim PER submission.

k. The data base generated by the Evaluating Subsystem will be sufficient to permit a wide variety of special reports for use in management studies. Examples are: summaries of ratings and percentiles; summaries of recommendations made by Evaluation Panels; correlations between evaluation percentiles or ratings and other data in the EDR, such as grade, occupational code, career pattern, educational level, age, and years of service in A.I.D.

3-4-5. Subsystem Description.

a. The automated Evaluating Subsystem will provide for two sets of data elements to be included in the EDR:

(1) For suspense purposes.

(a) Type of next rating due.

(b) Terminal ("to") date of next rating due.

(2) For recording purposes after evaluation has been completed.

(a) Type of rating.

(b) "From" date of rating.

(c) "To" date of rating.

(d) Date report received in A/PM.

(e) For CS - adjectival rating.

(f) For CS - verification by A.I.D. Performance Committee, if applicable.

(g) For FS - rank order.

(h) For FS - recommended for promotion but not promoted, if applicable.

(i) In addition for FS, rank orders for previous four years will be retained automatically by the computer.

b. For new employees, the suspense data elements described in a(1) above will be entered at the time the employee's EDR is initially created. Thereafter these data elements will be changed automatically by the computer.

c. The monthly periodic suspense process will produce lists of employees on whom PER's are due the second subsequent month. These lists will be titled "Roster of (Civil Service) (Foreign Service) Evaluation Due (Month and Year)". Separate sheets will be used for each major change in organization and/or location. Information included will consist of the employee's identification, organization, location, type of evaluation due, and terminal date of the evaluation due. These lists are referred to below as Suspense Rosters.

d. Concurrently, the computer will produce in duplicate an EDR Print #1 for each employee due an annual evaluation.

e. For Civil Service employees only, it will also produce a punch card Performance Evaluation Rating form.

f. The Personnel Information Center will forward the Suspense Rosters, EDR Prints, and CS PER cards, as appropriate, to the organizational element listed on the Suspense Roster.

g. In addition, the computer will prepare a roster of all FS personnel on whom evaluations are due by career pattern or occupational group. Sequence will be by grade and alphabetically within grade. It will be prepared in triplicate. Original and one copy will be forwarded to FSP/EV, where the copy may be used as a worksheet and the original by the Evaluation Panel. Triplicate copy will be forwarded to FSP/EU for use by placement officers. The title of this list will be "FS Evaluations Due, by Career Patterns." At the same time, the computer will also print the name and other basic data on A.I.D. 4-153, Personnel Evaluation Card, which will also be forwarded to FSP/EV.

h. All evaluation documents received in A/PM will be routed to CSP/EU or FSP/EU as appropriate. Upon receipt, EU will prepare necessary file maintenance transactions to update

the EDR. This includes any changes resulting from the audit of the EDR Print, plus all data elements listed in a(2) (a) through (d) and, in the case of CS employees only, (e).

i. EDR Prints for Civil Service employees will be destroyed. EDR Prints for Foreign Service employees will be placed in Evaluation Folders for later use by the FS Evaluation Panels, after which they will be destroyed by FSP/EV.

j. After review of PER's for Foreign Service employees, FSP/EU will forward PER's to PIC for filing in Evaluation Folders. PER's for Civil Service employees who were rated outstanding or unsatisfactory, or satisfactory but the employee appended a statement, will be forwarded to the A.I.D. Performance Rating Committee; all rated satisfactory without attached employee statement will be sent to PIC for filing in Official Personnel Folders.

k. Actions by the A.I.D. Performance Rating Committee will be in accordance with current procedures. Upon completion of action by the Committee, CSP/EU will submit a file maintenance transaction to update the data element in a(2) (f) above. If the Committee has changed the rating, the transaction will also update the data element in a(2) (e) above.

l. Actions by the FS Evaluation Panels will be in accordance with current procedures and directives, except that the audited EDR Print that has been placed in the Evaluation Folder will be used in lieu of a Biographical Sketch. In the automated system, manpower planning information reflecting current status and future needs for personnel by career pattern, as described in paragraph 2-2-5, will be made available to the FS Evaluation Panels. This information will provide guidance to the Panels as to the number of employees who should be recommended for promotion and training.

m. Upon completion of action by the FS Evaluation Panels, FSP/EV will prepare file maintenance transactions to enter data elements in a(2) (g) and (h).

n. The data entered into the computer as described above will permit preparation of monthly reports by the computer showing the status of the evaluation program. These reports will reflect CS and FS separately and contain summaries, by organizational element, of the number of PER's due for the given month, number received to date, number not received but not overdue, number overdue, and percent completed. For CS they will also reflect the number and percentage of outstanding, satisfactory, and unsatisfactory ratings. Totals by major

organizational elements will be included, plus an A.I.D. total. In addition, a list of employees by name and organization included in the overdue category will be reflected as a part of the report for use in initiating tracer action if desired. This report will be called Status of (Civil Service) (Foreign Service) Evaluations Due (Month and Year). PIC will be responsible for making distribution of this report in accordance with requirements to be established.

o. After all FS Evaluation Panel entries have been made in accordance with m above, an annual report will be prepared by the computer listing all FS employees in alphabetic sequence showing current percentile and rank orders for the past five years. This report will receive limited distribution and must be carefully controlled within A/PM. It will be called the Annual Foreign Service Evaluation Roster.

3-4-6. Information Flow.

a. Appendix B-6-1, contains information flow for CS evaluation reports.

b. Appendix B-6-2, contains information flow for FS evaluation reports (including PER and DAR)

c. Flows of computer outputs within the Evaluating Subsystem are as stated in paragraph 3-4-5 above.

Section 5

CLASSIFYING AND COMPENSATING SUBSYSTEM

3-5-1. General.

a. The function of this subsystem covers two rather different areas. One, it accounts for the establishment of the amount of pay that a position is worth. Two, it assists employees in obtaining salary and awards to which they are or may become eligible.

b. Position Classification is the activity which makes possible operation of the "rank-in-the job" concept. All positions are classified into a grade which established the money range that should be paid for performing the duties attributed to the position. For Civil Service employees the classification process as prescribed by law tends to be complex, and the results rigidly adhered to. For Foreign Service, where by law the "rank-in-the-job" concept does not apply, but rather a "rank-in-the-man" concept, classification is less complex and compensation for work in a job is not always according to the classification value of the assigned job.

c. Every employee is entitled to certain basic benefits and a basic salary. From time to time, an employee becomes eligible for additional compensation. It is a primary purpose of this subsystem to insure that an eligible employee is considered for the additional compensation, and if awarded, to insure receipt by the employee through the preparation of the necessary documentation. Many of the additional compensations accrue as a result of outstanding or special performance and are not always in the form of money.

3-5-2. Objectives.

- To assist the making of timely assignments by processing classification actions expeditiously.

- To assist an employee in receipt of additional compensation or awards through early notice to supervisors of eligibility.

- To assist the Agency in conforming to position and employment limitations by maintaining accurate strength records and production of timely strength reports.

3-5-3. Assumptions.

- Positions in A.I.D./W are not to be considered as either Civil Service or Foreign Service positions but will be termed A.I.D./W positions. A.I.D./W positions may be incumbered by either FS or CS employees.

- All A.I.D./W positions which are classified will be classified initially under the Classification Act of 1949. When the position is used to accommodate a Foreign Service incumbent, it will be given the FS grade equivalent to the CS grade (as already established) and not the personal grade of the FS incumbent.

- The qualifications required for the position will be encoded onto the position description using the same qualifications coding scheme as for employees.

3-5-4. Subsystem Concept. The subsystem is comprised of three activities which are sufficiently different in nature to be handled as completely separate entities. The activities are: position classification, monitoring step increases, and assisting with awards and special benefits.

a. Position classification actions are substantially different for A.I.D./W positions and overseas positions. Position classification is based primarily upon the information provided by operating officials. Foreign Service positions will continue to be classified through FSR-[illegible] by the requesting office and recorded in A/PM. A.I.D./W positions will be classified by position classifiers using accepted and authorized techniques. The automated system will maintain a Position Data File (PDF) which contains data on all active positions and their organizational relationship. The PDF will be structured to allow ready identification, through reports prepared from it, of the number of positions authorized for every organizational unit and the number of current active positions. Vacancies and projected vacancies will also be identifiable.

b. Step increases will be granted when an employee becomes eligible in virtually every case. A notice to the supervisor in advance of his eligibility date is required. Upon approval of the increase, the appropriate form will be forwarded to payroll, where the change in step and salary will be recorded. The change data will be transmitted from payroll to the Personnel System so that manual and automated records may be updated. In the few cases where the increase is denied, the participation of A/PM will be limited to providing advice to management and employees regarding procedures and appeals, and

insuring that procedural requirements have been met.

3-5-5. Subsystem Description. The function of compensating includes all of the activities necessary for:

- Establishing a fair and equitable grade level for a position.

- Insuring that an employee receives the salary and perquisites associated with his employment.

- Rewarding an employee--in money or otherwise--for special or outstanding performance.

a. Position Management. As described in BOB Circular A-64, position management is that process which allocates positions among organizations in an economical manner and insures that positions are appropriately graded and are established in numbers no greater than can be funded. The number of positions which an organization may have is specified on form AID 3-203 (AAPLE) which will be forwarded to A/PM by A/DSM/MGT. It will be prepared whenever an organization's position or employment allocation is changed, which is not expected more often than quarterly. The position ceiling given on the form is to have an effective date which will usually be three to six months from the time of receipt of the form.

(1) Definitions for position, position ceiling, and employment limitation are found in M. O. 333.7 (January 17, 1967). A vacancy is defined as an active position to which no individual has been assigned. Vacancy control encompasses those processes which must be completed to cause recognition of the existence of a vacancy and to authorize assignment to the position or its elimination. Any vacant position may have an assignment made to it.

(2) Offices and bureaus will submit an SF-52 whenever a position is to become vacant through resignation, retirement, or other separating action. A position will be considered vacant as of the effective date specified on the SF-52. An approved request for transfer (e.g. COAR) will also cause a position to be projected vacant as of the effective date of transfer. If assignment to the vacated position is not desired, then it must be indicated on the document causing the vacancy that the position is to be canceled. Cancelling the position will in no way affect the number of authorized positions which have been allocated to an organization.

b. Position Control.

(1) No more positions may be established or occupied than the numbers provided in the AID 3-203. Before a position may be legally incumbered, it must first be classified by a position classifier in accordance with applicable Manual Orders. When the classification of a position has been determined, it is referred to as an active position. An active position may also be called an established position. An active position will be created only when there are fewer active positions than authorized positions.

(2) Position control includes vacancy control. Before an assignment may be made to a position, it is first necessary to:

(a) Insure that the position is and will be active and that the position is vacant or is projected to be vacant by the date of requested assignment.

(b) Have the position reviewed by a position classifier who will determine the grade of the position.

(3) To assist in position control, a Staffing Pattern will be produced each month. The report will be in two parts, one covering A.I.D./W positions and one covering overseas positions. Each part will be in organization sequence and contain, for each position:

Position Number
Position Title
Position Description Number
Grade
Occupation Code
Competitive Level
Language and/or other skills
Last certification date
Position status code
New position effective date
Date position expires
Expected vacancy date
Incumbent data (to be determined)

For each organization which has been granted a position ceiling, a summary will be printed containing the following:

Organization No./Name/Location
Current position ceiling and effective date
Projected position ceiling and effective date
Current total of active positions
Projected total active positions (as of projected position ceiling effective date)

A summary is also to be made for all of A.I.D.

c. Position Classification. Position classification is a necessary procedure for establishing the grade level of a position. The procedure must be initiated whenever a position is created, duties changed, a person assigned to the position, and other occasions. Whenever a position classification is approved, the following information must be entered into the PDF, using a Position Review form (to be designed):

Position No./Title
Position Description No.
Grade
Language and/or other skills
Occupation Code
Competitive level
Date of certification

If the position currently is active, only those items which have changed need to be entered.

(1) Overseas positions, except the FSR-1 and 2 levels, are to be classified at the missions and forwarded through the bureaus to A/PM. Although the classification procedure will be conducted in the field, the position will not be considered active until the classification is approved by the bureau and entered into the PDF by FSP/PCM.

(a) A request for classification approval will be received on SF-52 with attached or existing SPAR referenced. When a SPAR is received, the steps under Position Control (b above) will be followed, and if approved the position information will be entered into the PDF and the position is then active. If an SF-52 requesting assignment accompanies the SPAR, the SF-52 will be forwarded to Candidate Supply.

(b) Requests for activation of positions for FR-1 and 2 levels will require position classification by FSP/PCM. Approval of a classification at those levels must be given by the Director of A/PM.

(2) All A.I.D./W positions will be classified by CSP/PCM. The position will be classified (or reclassified) whenever the duties of the position, as listed on the Position Description (PD) form have changed materially. Except for surveys, classification will be initiated by receipt of a SF-52 from the organization having the position identified on the form.

(a) To accomplish a classification, the classifier must have a draft of duties to be performed and an organization chart showing job relationships of the organization containing the position. Only those classification actions taken as a result of a SF-52 will be considered here. When the SF-52 is received, it is first checked to determine that action to be taken will not cause the position ceiling to be exceeded. The SF-52 is next checked to determine that the action to be taken is consistent with the position referenced. Classification action will then be started.

(b) If the requested action is to establish a position, the position will be classified, the results entered into the PDR, and the SF-52 forwarded to Candidate Supply. Assignment action will proceed automatically.

(c) When the action involves an existing position, position classification will be reviewed and, if no change in grade is made, the date of review and other changes will be entered into the PDR and the SF-52 forwarded to CSP/EU. If a change in grade occurs, the requesting office will be notified of the change.

(d) When the action involves a position for or the assignment of an expert or consultant, the position will be identified as one which is to be filled only by personnel so classified. The classifier must also establish the daily rate of pay which the individual who incumbers the position is to receive. Upon determining the rate of pay, the SF-52 will be forwarded to CSP/EU for completion of assignment when a specific individual is identified.

(e) To assist position classifiers, a series of reports will be needed. One of these is the Occupation Series Breakout. This report, produced monthly, will summarize (by pay grade) the number of positions in each occupation code. For overseas positions it will be prepared by mission and summarized by bureau and by total overseas, using FR pay grades. For A.I.D./W positions it will be prepared by pay schedule in office and bureau sequence and summarized.

The Whitten Amendment report (annual for FY actions, to be delivered not later than July 31) shows the total of all types of classification actions which have been taken. A running total of positions established, abolished, grade changed, and reviewed must be maintained for both CS and FS positions.

d. Within-Grade (Step) Increases. Step increases are a compensation possibility for all direct-hire employees except experts and consultants and those persons already in the maximum step of a grade. Procedures and processing for employees of all pay schedules are similar; however, computations regarding eligibility differ between FS and GS schedules. The computations and procedures are to be as described in M. O. 432.5 (in final draft as of January 10, 1969).

(1) Using data available from the EDR and the processing per M. O. 432.5, a monthly Due for Step Increase Report will be produced for all employees who are to be eligible for a step increase in the third month in advance of the report (minimum 90 days from report date). The report will be in organization/employee name sequence:

Employee name/SS No.
Date eligible
Current grade step

The section pertaining to an organization will be sent to the organization's administrative or executive officer. Also sent with the report will be a preprinted copy of SF-1126, Notification of Basic Pay Change, for each person on the report. The form will be preprinted with the following information:

Organization
Name/SS No.
Current grade and step
Date of last equivalent increase
Effective date for this change
Nature of action code 893

The forms will be distributed to the employees' supervisors, who will take such actions as they have responsibility for. Upon completion of the SF-1126, it is to be returned to the officer who distributed it. He will extract various file copies and forward the SF-1126 to payroll.

(2) Payroll, upon completing their processing, will forward to A/PM a machine readable record for each employee for whom an increase was processed. This record, to be called the Pay Increase Record must contain:

Employee SS No.
Effective Date of increase
New grade and step
Nature of action code

This record will be used to automatically update the EDR file. It is desired that the record be provided by payroll on a twice monthly schedule, and in Social Security Number sequence.

(3) Quality/Meritorious Pay Increases. Quality increases are granted to GS and AD schedule employees; meritorious increases are granted to FS schedule employees. The purpose, effect, and procedures for each of these types is nearly identical and is as described in M. O. 432.8 and .9, except as modified here. Q/M increases will be initiated by an employee's immediate supervisor who will prepare the SF-1126 and AID 4-404. These forms will be forwarded to the appropriate Awards Committee, who will review the requested action and endorse the AID 4-404. All forms will be forwarded to the appropriate approval authority who signs the SF-1126 and the AID 4-404. The payroll copy of the SF-1126 will be sent to payroll and the employee's copy to the employee. The remaining copies of the SF-1126, copy of the congratulatory letter, and the AID 4-404 will be sent to the custodian of the employee's Official Personnel Folder and filed there.

If the request is denied at any step, the AID 4-404 will be sent to the custodian for filing in the Official Personnel Folder. A pay increase record will be returned by payroll as described above in paragraph d (2).

(4) Other Awards.

(a) Other awards are those which do not involve a change in payroll status. They include cash awards for suggestions or special service, medals, and letters of commendations. These awards may be automatic under some circumstances (service pins) or as a result of a recommendation approved by the A.I.D. Committee. A/PM need be involved in this only to the extent of furnishing support to the A.I.D. Committee and filing copies of the award grant in the Official Personnel Folder.

(b) During the preparation of the Due for Step Increase Report, all employees who will have completed sufficient service to be eligible for a service pin will be identified (also 90 days in advance) and the name included on the Step Increase Report. An additional entry will be made along with the name: Eligible for n year pin (where n is as determined).

2-10-6. Information Flow.

The required input/output documents and the related flowcharts are shown in Annex B-7.

Section 6

PROMOTING SUBSYSTEM

3-6-1. General. Promotion is the change of an employee to a higher grade or to a position with a higher rate of pay. Both Foreign Service and Civil Service systems have separate and distinct promotional policies and procedures. In discussing the development of the system, these groups will be treated separately since they are so dissimilar in promotion practices. The basic promotion concept in the Foreign Service is to evaluate and promote the individual with "rank in the man". Civil Service promotion is based on matching the qualification of the man to the requirements of the job with "rank in the job".

a. Foreign Service employees are recommended for promotion on an annual basis as a result of the performance evaluation process. For further discussion leading to the recommendation or disapproval see Section 3-4. In the Promotion Subsystem, the results of the evaluation process should be the input to the subsystem and the subsystem develops from that point.

b. Civil Service employees are judged on their qualifications and ability to perform in a position. Therefore, as positions are established or declared vacant, competition develops among employees aspiring to advance to a higher grade.

3-6-2. Objectives.

o To develop a slate of candidates to consider for promotion under the requirements of the merit promotion plan.

o To provide the administrative support and method which will assist management to assure that all promotions are based on merit and competition.

3-6-3. Assumptions.

o Career patterns will be developed by A/PM prior to implementation to the system. Career patterns might be used in the selection of candidates qualified for promotion.

3-6-4. Subsystem Concept.

a. Civil Service promotions fall into two categories: those made under competitive procedures as required by the Federal Personnel Manual (FPM) and all others.

(1) Before it is determined that a position will be filled under the merit promotion system, the priority grouping

must be established (M. O. 415.3). Qualified candidates in the higher groups must be considered before lower priority groups. A suggested alternative priority grouping is outlined in paragraph 3-3-5.

(2) The "all-other" category encompasses those career promotions effected because the individual is growing within a job series or through upgrading or reclassification caused by the impact of the man. These promotions do not require that competitive procedures be observed. The SF-52 is submitted, processed, and the SF-50 prepared by the data system.

(3) The promotions arising from new positions or a vacancy are handled under the merit promotion program. Since CSC requirements determine eligibility for consideration, a semimanual approach appears feasible. The system will produce a roster of those who meet the basic criteria. Selection factors such as language proficiency and specific functional specialties can also be considered in producing the roster. Only those elements recorded in the skills portion of the EDR can be considered. Vacancy announcements should be posted to handle those individuals outside the normal framework who want to be considered. For example, an individual might be interested in a lateral transfer.

b. In the Foreign Service, the Promoting Subsystem works as an outgrowth or continuation of the evaluating process. The Evaluation Panel recommends those employees considered to be deserving of promotion based on performance. Because employees are rated annually and at that time recommended for promotion, the problem of identification inherent in the Civil Service procedure is avoided. The only situation in the Foreign Service promotion system which lends itself to automation would be to identify those employees recommended but not promoted. These employees will be recorded in the system.

3-6-5. Subsystem Description.

a. Civil Service. Before promotions are processed, personnel people must ascertain whether the competitive requirements of the merit promotion plan apply to this position. If this action does not require competition, the procedures can proceed according to the established method. This must remain a manual operation with the data gleaned from the SF-52, updated in the individual's record, and the SF-50 produced by the data system. However, if competition is required, the task will be to identify those candidates qualified to compete. This is a time-consuming administrative exercise which needs amplifications.

(1) Each potentially qualified candidate must be considered for each position concerned. Therefore, to consider all possibilities, a semimanual operation is preferable. The candidate must meet Civil Service minimum qualifications for the position. CSP/EU will prepare the request for merit promotion listing and forward to PM/PIC. This request will include occupation code, grade, and any special selection factors necessary for the job. A roster will be prepared listing people potentially eligible for promotion who are within the career pattern of the position in question. Selective factors such as language requirement or special functional proficiency as recorded in the record will be considered. The system will not automatically list a person in a lateral job or one interested in changing fields. Therefore, vacancy announcements must be posted to assure equitable consideration to all employees. In some cases, more candidates might be selected than desired, but the feeling of being selected should benefit morale. If none of the A.I.D. candidates are highly qualified, an effort will be made to secure highly qualified candidates from other sources.

(2) It is personnel's function to notify each candidate that he will be considered if he is interested in the position. This notification will use standard nomenclature on programmed Selectric typewriters (MT/ST) and specify the required terminal date for consideration. The announcement will inform the applicant that his SF-171 should be updated. At the closing of the open announcement period, applications received will be considered and processed in accordance with established regulations. The SF-50 resulting in the termination of the activity will be recorded in the system. Those candidates not selected must receive a notice that the position has been filled.

(3) Temporary promotions must be noted in the system in order that they do not become lost. The system will produce a notice as part of a printout to indicate that the temporary promotion should be reviewed and either made permanent or the employee placed in his previous grade.

b. Foreign Service. Foreign Service promotions are performed in an environment different from Civil Service. When Foreign Service employees are evaluated, they are also rated for promotion. Unlike Civil Service, where employees are competing for a position, Foreign Service personnel are rated on their performance on the job and in competition with their peers. This eliminates the need to identify candidates and puts pressure on the individual since he must compete with people in like occupations for promotions.

(1) Administration fixes the number of promotions which will be allowed in the coming year. The Evaluation Panel, when preparing the rank order list, will indicate those employees recommended for promotion. Should the number of employees recommended for promotion exceed the number authorized, the identification of the excess will be retained. Since this data will be recorded in the master record, the assignment function can act in future openings where they might be considered. The rank-order list will also be available, allowing personnel to make any individual recommendations necessary. Rather than having the bureau initiate SF-52's, the authorizing list will be the authority to promote. This will expedite the promotion process and eliminate follow-up action or suspense-type activity by the central office.

(2) Other promotions which occur during the year, such as those administratively authorized, will be handled on a one-for-one basis.

(3) SF-50 data elements on all promotions will be recorded in the data system to update the employee record.

3-6-6. Subsystem Information Flow. The related flowcharts and input/output requirements are referenced in Appendix B-8.

Section 7

TRAINING SUBSYSTEM

3-7-1. General.

a. The training function can benefit from an automated personnel system, particularly if combined with an adequate career planning function.

b. The design concepts described in paragraph 3-7-4 below will assist in planning training requirements, selecting employees for training, recording training, and preparing training reports. In addition, the design provides for recording language aptitude and language proficiency of employees.

3-7-2. Objectives.

- To provide data on which projected training requirements can be based.

- To provide better means of planning the training function, including deciding budgetary needs and making arrangements with activities which conduct the training.

- To provide a means of identifying individuals whose value to A.I.D. would be increased by training.

- To provide for computer preparation of the statistical portion of the annual training report to the Civil Service Commission.

3-7-3. Assumptions.

- A/PM will develop career patterns prior to implementation of this system.

3-7-4. Training Subsystem Concept.

a. Two basic tools have been added to the Automated Personnel System which have great impact on the Training Subsystem.

(1) A/PM has undertaken the task of developing career patterns for each group of related occupational skills or career fields. The career patterns will show the various types of positions at succeedingly higher grade levels within the occupational group. They will also reflect the types of training which an individual should receive at or prior to attaining each level. These patterns will furnish a guide for all employees, supervisors, and personnel managers. For personnel managers in particular, they will provide a basis for planning and for making decisions affecting individual employees.

(2) The automated Planning Subsystem will provide data on expected personnel requirements in future years. The manpower planning data will identify by career field, within the specified future year, the number of positions required at each grade level, the number of employees expected to be available, and the shortages which are expected to exist. This data can be used for planning promotion and training requirements for all employees. For example, if the data reflect a shortage of 10 employees next year at a specific level within a career field, and more than 10 are potentially available from the next lower grade level, then plans should be made to provide training for 10 or more employees from the lower grade if the career pattern identifies a training requirement for the higher grade. The Planning Subsystem will provide other data useful in developing training requirements. Projected overages in certain skills may be used in development of plans to retrain surplus employees. Projected recruiting requirements affect plans for orientation training.

b. Career patterns and manpower planning data thus provide an integrated basis for projecting training requirements. Projections will be subject to modification by personnel managers within A/PM based on factors unknown to the automated system. For example, due to the importance of having trained personnel available within a certain career field, it may be decided by management that 12 should be trained instead of the 10 indicated by the manpower planning data. Or, it may be decided that within the specific discipline involved, they should hire 2 new employees, reducing the training requirement to 8. Thus, the computer projections need not be followed rigidly.

c. Career patterns and manpower planning data will also provide a basis for selecting individuals for further training.

(1) For Foreign Service employees, the FS Evaluation Panels may use the career patterns and the manpower planning data to identify employees to be recommended for promotion. If a training requirement exists prior to or in conjunction with promotion, the FS Evaluation Panel should also recommend the training shown in the pattern. Of course, if the employee has already received that training or should be given constructive credit for it due to other training or experience, the FS Evaluation Panel need not recommend the specified training, but may even recommend some other training, such as nominating the employee for selection to a special long term course.

(2) For Civil Service employees, the manpower planning data will provide an indication of the number of employees needed in the future at the next higher level within the career field. The merit promotion plan will provide for preparing lists of employees who should be considered for such expected vacancies. Those listed will be evaluated by a Merit Promotion Board, at which time recommendations for training may be made similarly to those made by the FS Evaluation Panels.

d. Recommendations for training made by FS Evaluation Panels and CS Merit Promotion Boards will be forwarded to the appropriate occupational area placement officers for action and to the Training Branch for information. The placement officer will consider any timing aspects, such as delay until end of tour for a foreign service employee serving overseas, and will dispatch a form letter to each employee identified in c above inviting him to apply for the training recommended. Though the letter should be forwarded through supervisory channels, the letter will be addressed to the employee. The employee and his supervisor can arrive at a decision as to whether a formal application will be submitted, and when.

e. The elements of the Training Subsystem described above will be more responsive to the needs of A.I.D. since they are based on manpower planning projections and career patterns. This does not mean, however, that employees will be excluded from submitting applications for training on their own initiative. If the manpower planning data reveal an expected shortage of 10 at a specific level, and 50 employees are currently at the next lower level, it would not be economical to attempt to train all 50. However, it would be unfair to exclude 40 from receiving consideration for training required for advancement. The present policy of encouraging employees to submit applications will, therefore, be continued. When these applications are received by the Training Branch, each must be individually appraised and the decision made whether to approve the training. The applicable career pattern will be a primary guide used by the Training Branch in making this decision.

f. Employees may be transferred from one career field to another, either at their own request or for the benefit of A.I.D. When such a transfer is effected, appropriate training in the new career field will be authorized if practicable and desirable.

g. Since the manpower planning data does not provide for training based on the employee's own initiative or due to transfer between career fields, an estimate of such training should be added to the projected training requirements. In future years, as experience is gained in the amount of such additional training actually required, appropriate planning factors to provide for it can be worked into the manpower planning model. In the meantime, this must be a subjective judgment of A/PM personnel managers.

h. In addition to the assistance provided the training mission by career patterns and manpower planning data, each employee's automated Employee Data Record (EDR) will provide for a great deal of information pertinent to the Training Subsystem. It will include language proficiency data similar to that in the current system, plus language aptitude test scores, and a record of each course received while a member of A.I.D. starting with orientation training. (Prior training will be entered as a part of the employee's preemployment qualifications, except that those pertinent to the A.I.D. mission, such as FSI courses, may be listed with those received while a member of A.I.D.) A printout of an employee's EDR will thus reveal the training history of that individual. Special computer-prepared reports may be requested indicating the names of employees who have, or conversely who have not, attended a certain course. The statistical portion of the annual training report to the Civil Service Commission will also be prepared from this data.

i. The automated system will not identify those individuals who require supervisor training. The employing office must initiate requests for such training.

j. When a new requirement for training is identified, such as recently occurred in the area of population control, or if a list of possible candidates for some special course such as the Army War College or residency at Harvard is needed, the Training Branch may request a special computer-prepared report listing all employees meeting the prerequisites. Normally, the more prerequisites, the shorter the list. Therefore, only mandatory prerequisites should be used. If other attributes are desirable but not mandatory, the request may ask that the report list such attributes. For example, if a master's degree is mandatory, but major field of study in economics is merely desirable, the list would include all employees with a master's degree and show the major field of study. If the list is for a course which has been given previously, the request for the list will specify that anyone whose EDR reflected prior attendance would not be included. Such a list will normally be used as a preliminary screening device; after the preliminary screening, requests can be made for EDR Prints on each remaining employee for use in the final selection process.

k. The subsystem also provides for entry of data on each employee indicating training desired during the next five fiscal years. This information is obtained by the Training Branch through use of a periodic questionnaire completed by each employee.

1. Language training is not materially affected by the new system, except for the addition of Modern Language Aptitude Test (MLAT) scores to the EDR. Language proficiency reports similar to those presently provided will also be provided in the new system, with the added feature of the language aptitude test scores.

3-7-5. Training Subsystem Description.

a. Establishment of Training Requirements. Future training requirements will be established on a projected basis as described in paragraph 3-7-4, using manpower planning data plus any other considerations not included in the automated system. The training requirements thus established will provide a basis for budget requests and for making necessary arrangements with the activities that will conduct the training.

b. Selection of Employees for Training. Selection of employees for training is also discussed in paragraph 3-7-4.

c. Training Complement. If an employee is to be assigned to the Training Complement during a period of training, the Training Branch will forward a request to the Employee Utilization Branch of FSP or CSP, as appropriate, asking that the assignment be made and that an appropriate reassignment from the Training Complement be made upon completion of training.

d. Recording Training Received. Upon completion of any course of training, including orientation, career, or language training, a report of completion will be received in the Training Branch from the activity which conducted the training. The Training Branch will prepare a file maintenance transaction, entering for each course reported the following data elements into the EDR of the employee concerned:

- Course code
- Training activity
- Classroom days (or indicate correspondence course)
- Date completed
- Level of attainment
- Date of completion of obligated service
- Type of training (as prescribed by CSC for annual training report)
- Type of training activity (as prescribed by CSC for annual training report)
- Tuition cost
- Per diem cost (estimated)
- Travel cost (estimated)

e. Recording Language Proficiency. The Training Branch will prepare a file maintenance transaction for each employee whose language proficiency has been established, either as a result of testing by the Foreign Service Institute or through self evaluation as in the present system.

f. Recording Language Aptitude. The Training Branch will prepare a file maintenance transaction for each employee who has been given the Modern Language Aptitude Test (MLAT), either during orientation training or by the Foreign Service Institute. Data elements to be entered are date tested and test scored.

g. Recording Training Survey Data. Upon receipt of training survey questionnaires, the Training Branch will prepare file maintenance transactions to enter first, second, and third choices for each fiscal year covered by the survey.

h. Computer-Prepared Reports.

(1) A language proficiency report similar to that in the present system will be furnished to the Training Branch. This report will also contain the MLAT score and date tested.

(2) EDR Prints of individual employees may be obtained in accordance with paragraph 2-3-4 above when required for evaluative or selective purposes.

(3) All other reports of interest to the Training Branch, including the annual report required by the CSC, are nonscheduled reports as defined in paragraph 2-3-4 above. The Training Branch will request reports from the Reports Branch, Personnel Information Center as prescribed in paragraph 2-3-5 above.

3-7-6. Information Flow.

a. Recording of data into the EDR for course completion, language proficiency, and language aptitude is shown in flowchart in Appendix B-12.

b. Requests for computer-prepared reports will be as described in Appendices B-2-2 and B-2-3.

c. Processing of recommendations for training received from panels is shown in Appendix B-9.

Section 8

SEPARATING SUBSYSTEM

3-8-1. General. The function of separating includes all of the activities necessary to remove an employee from A.I.D. payroll.

a. Performed for both FS and CS employees, the function begins when an employee is identified for separation and terminates when he is removed from the payroll.

b. Although there are many reasons for separating, the procedural aspects suggest that separations may be considered as two broad types: (1) those which involve appeals and death and (2) all others.

(1) Those involving appeals may or may not result in a separation, depending on the results of the appeal process. These separating actions should be kept apart from the others until it is a certainty that a separation from the payroll will take place. Death is included in this group because A/PM may have to take special action. Those persons handling appeals should also handle deaths. It is expected that little of the appeals process can be automated because of the special handling each case requires.

(2) The second category is simply a movement out of the Agency.

c. All separations, regardless of source, require the preparation and distribution of the SF-50. A/PM should also conduct an exit interview before the separatee leaves.

3-8-2. Objectives.

o To provide for the simplification of procedures to reduce work load.

o To identify the reasons for separating and record them in the data system to assure that such data will be available and may be correlated with other data to provide meaningful decision-making information.

o To provide information to assist the separating actions of time-limited appointments.

o To provide that the Employee Data Record (EDR) contains all necessary data elements so that Retention Registers can be made available to effect RIF procedures.

3-8-3. Assumptions. None.

3-8-4. Subsystem Concept.

a. The function of separating involves a work load of approximately 200 actions per month. Almost 43 percent of these are terminations and resignations, which do not constitute a time-consuming process. These activities in themselves cannot be predetermined and, therefore, do not lend themselves to automated techniques. Time-limited terminations, which make up 33 percent of the work load, can be automated. Statistical data generated by this subsystem to assist in the planning function of A/PM will constitute the major automated portion of this function.

b. In reviewing the function of separating, the only activities which lend themselves to automation are termination of time-limited appointments and portions of RIF actions. The remaining activities, because of their nature, must remain a manual process. In all separating activities, it is important to remove the employee from the payroll and record the specific reason for separation for the purpose of analysis. A/PM should initiate a procedure to utilize attrition reports in the follow-up on new hires to attempt to reduce the turnover rate.

c. Types of Employee Separations.

(1) Separations at the Discretion of the Employee.

(a) Transfer to Another Government Agency. This usually requires two types of actions: negotiation with the receiving agency and the physical transfer of records.

(b) Resignation. This also requires two kinds of actions. The employee must be counseled and the records must be closed and moved to storage.

(c) Permanent Retirement. The proper counseling must be provided along with certification by the Civil Service Commission. The records must then be closed and moved to storage.

(d) Trial Retirement. The Agency permits the employee to return at the end of a year of retirement, with certain exceptions, at the same grade he held before retiring. The Agency must, therefore, consider these factors: the employee has reemployment rights, the duties of his position must be performed during his absence, and temporary promotions might be required. Consequently, the records cannot be closed out nor the activity completed. These records must be retained in the

Employee Data File. The employee is required to inform the Agency 60 days prior to end of the year if he intends to return. If he does not do so, his reemployment rights are lost.

(e) Resignation to Enter Military Service. As in trial retirement, the employee may or may not have reemployment rights. Although there is no approval required to enter military service, the records must remain open.

(2) Separations at the Discretion of the Government.

(a) Reduction-in-Force. This is very complex and time consuming and includes the following requisites:

- Positions are abolished.
- Registers are prepared by veterans preference, tenure, service computation date, and competitive level.
- Employees are selected to be reassigned or separated.
- Employees are advised of rights.
- Employee appeals are adjudicated.

The Personnel System will contain all data elements required to assist in the RIF procedure. Only RIF retention registers will be provided since all necessary data will be contained on the EDR.

(b) Termination of Time-Limited Appointments. The system will provide a mechanism to advise the bureaus that the terminal date is approaching. A notice using standard nomenclature should be sent to inform the field that SF-52 data must be received by a given date, or the SF-50 will be prepared and the employee terminated. A/PM will initiate the personnel action terminating the employee, advising the field and payroll if such action does not materialize. Those employees who have worked on a time-limited basis and performed well will be recorded in the Applicant Data File for future consideration.

(c) Selection-out in Foreign Service. The evaluation ratings will be stored in the EDR. The convening of the panels and appeals, which are the remaining portions of the selection-out procedures, must remain a manual process. The ratings will be classified and accessible only if appropriate authorization is presented.

(d) Separation for Cause. The primary action in a separation for cause is taken by the employing office. Because a case must be prepared and the employee counseled, this activity does not lend itself to an automated process. The reason for the termination will be recorded on the SF-50 in order that historical data can be maintained and reviewed on a periodic basis.

3-8-5. Subsystem Description.

a. The function of separating in its simplest form involves the preparation and receipt of the SF-52, Request for Personnel Action, followed by the preparation of the SF-50, Notification of Personnel Action. The reason for the separation will be analyzed and coded for input to the system. This action as input to the system will terminate the employee's active record. The SF-52 will constitute the input to the personnel data system, and the EDR will be officially terminated with the preparation of the SF-50. Thereafter, the data will be available for analysis by the Planning Subsystem.

b. After recording the terminal date on temporary appointments, other than Foreign Service, the system will provide a monthly report indicating those appointments which will expire one month and three months in the future. This will make it possible for action to be taken immediately by CSP/EU to effect these separations. The employing office will be notified that an SF-52 is required to either extend the terminal date or separate the employee. If no action is taken to continue the requirement for the employee, the SF-50 will be produced to inform the field and payroll of the termination. Thereafter, no additional time and attendance reporting will be honored. Termination of temporary appointments in the Foreign Service will be handled outside this procedure.

c. After the yearly evaluation process has been completed on Foreign Service employees, the rank order listings will be compared to determine which employees meet the selection-out criteria. Separating action will be initiated by FSP/EU after an administrative decision has been made regarding each case. When this separating action is completed, the SF-50 will be the instrument used to terminate the record and to inform the payroll system. Each time an SF-52 separating action is updated in the EDR, an EDR Print will be provided for insertion into the employee's Official Personnel Folder. The EDR Print will show the historical activity record of the employee and the current action taken. The system will also provide for the transfer of EDR's to the Applicant Data File for those employees involved in a RIF who are recommended for future consideration. The EDR's for employees separating to enter military service or entering trial retirement will remain in a passive state until they are either closed out or reactivated. All other EDR's will be transferred to the Separated Employee File.

3-8-6. Subsystem Information Flow.

a. The basic input document to the separating functions for those actions initiated by the employee will be the SF-52. This document will flow through manual processes necessary to effect the separation action in accordance with the applicable manual orders. Those activities effected by the Agency will prompt the initiation of an SF-52 and later an SF-50 to terminate the process. Personnel will be informed by computer reporting of the necessary action for temporary appointments.

b. Each month, a roster will be prepared indicating those time-limited appointments one month and three months in the future. CSP/EU will then forward a notice to the employing office advising them that in the event action is not taken prior to the terminal date of the appointment, proceedings to terminate the activity will be initiated. Therefore, SF-52 information will be submitted by the employing office if they intend to renew the appointment. If the SF-52 is not received, the SF-50 will be prepared automatically and distributed, thus removing the employee from the payroll and separating him.

c. The related flowcharts and input/output requirements are referenced in Appendix B-10.

Section 9

SERVICING SUBSYSTEM

3-9-1. General. The Servicing subsystem is defined as those portions of the Personnel System performed by the Employee-Management Relations Branch (PO/EMR).

3-9-2. Objectives. None.

3-9-3. Assumptions. None.

3-9-4. Servicing Subsystem Concept.

a. A study of the functions of PO/EMR reveals that the primary benefits of an automated personnel system would be in the by-products of the system, such as being on distribution for a copy of the Staffing Pattern and the Alphabetic List, which should be furnished to PO/EMR monthly.

b. In addition, a recurring monthly report of employees who retired during the preceding month would assist PO/EMR in their function of planning and executing retirement ceremonies.

c. Summary-type statistical data on various types of leave used would also be of value to PO/EMR as a morale indicator. However, leave recording is a part of the payroll system, as differentiated from the personnel system. Therefore, any requirements for such reports should be imposed on the payroll system.

3-9-5. Servicing Subsystem Description.

a. PO/EMR will receive one copy each of the monthly computer-prepared Staffing Pattern and the Alphabetic List.

b. In addition, a report will be prepared by the computer each month listing the following data elements on each employee who retired during the preceding month:

- Name.
- Social Security Number.
- Retirement date.
- Service computation date.
- Office from which retired.
- Forwarding address.

3-9-6. Subsystem Information Flow. The related flowcharts and output requirements are referenced in Appendix B-11.

Section 10

FILE MAINTENANCE

3-10-1. General.

The Automated Personnel System uses several master computer files, as described in Annex A. Each file consists of similar records. For example, the Employee Data File contains an Employee Data Record for each employee, and the Position Data File contains a Position Data Record for each position.

3-10-2. Objectives.

- To provide an orderly and simple method of collecting and storing data concerning employees and positions.

3-10-3. Assumptions.

- All data will be provided from personnel offices in an accurate and timely manner.

3-10-4. File Maintenance Concept.

a. There are three elements in every automated system which are fundamental: initial input, updating (file maintenance), and output reporting. The user is primarily concerned with what he sees, namely output. The success or degree of confidence users have in a system is determined by the accuracy of the output. The key to accurate output is accurate input--the collection and recording of the proper data into the computer. If the data has not been recorded, it cannot be correlated and information cannot be made available. If it has been inaccurately recorded, the information furnished will be inaccurate.

b. The inputting of data into the system requires conscious effort and organization on the users' part. The system, therefore, must be designed to provide organization for fast but accurate and timely recording of data.

c. The primary flow of input documents will be from the various branches within A/PM and the decentralized bureau personnel offices to the Personnel Information Center (PM/PIC). The Personnel Information Center will monitor all inputs to the system as well as review and coordinate all output reports.

3-10-5. File Maintenance Description.

a. The preceding sections of this chapter describing functional areas of the Automated Personnel System also identify responsibilities of the various personnel offices for file maintenance input. This paragraph describes in more detail the mechanics of file maintenance.

b. Each file maintenance change to an automated record is called a transaction. A multipurpose Transaction Form (to be designed) will be the primary vehicle for personnel offices to forward changes required in automated records.

c. Each transaction will contain an origin code which identifies the personnel office which prepared the Transaction Form.

d. The Transaction Forms prepared by the personnel offices will be forwarded daily to the Personnel Information Center where they will be reviewed for completeness and accuracy, and entered into the computer via teletype terminals. Within the computer, each transaction will be subjected to special edits provided in the computer program. Transactions found to contain errors will be rejected by the computer and listed on a Transaction Error List by origin code. The Transaction Error List will be forwarded daily by PM/PIC to the originating personnel office where a new and corrected transaction must be entered on that day's Transaction Form.

e. It is advisable for originating personnel offices to establish suspense files in which are placed source documents on which transactions are based. After the computer update cycle, if no errors are found in the transactions at that time, the source documents may then be sent to permanent file.

f. Certain transactions will cause the computer to generate SF-50's. The SF-50's will be forwarded, through PM/PIC, to the originating personnel office for final verification and signature. If the SF-50 contains an error, the originating personnel office must assume that an error existed in the transaction which resulted in the SF-50, and a correcting transaction must be entered.

g. Although the computer programs can perform certain edits and thus identify many errors, there are some data elements that cannot be fully edited. For example, it can edit a pay grade to ensure that the entry is numerical rather than alphabetic, and that it is within limits of possible numerical values. But if the grade entered was 11 and should have been 13, the computer would have no way of identifying this as an error.

3-10-6. Information Flow. The flow of transaction data is shown in Appendix B-12.

CHAPTER 4

PLAN FOR DEVELOPMENT

4-1. General.

a. This section provides information regarding the scheduling of effort to provide the technical work necessary to complete the project in accordance with this design.

b. In the discussions preceding, each functional area has been described and the areas for automation highlighted. For a description of the processes and the flow of information by functional area, see the respective paragraphs in Chapter 3 and their applicable flowcharts in Annex B.

c. To date the planning effort has been twofold: organizational and functional. The organizational plan has been presented previously. The intent here is to present the plan for development of the detail design, estimates of the resources necessary to implement the system, and a brief discussion of future development considerations.

4-2. Technical Design Requirements.

a. Because of the functional breakdown within the Personnel System, the technical design requirements have been discussed in Chapter 3 as part of the systems description. The logical processes have been developed in flowcharts included in Annex B.

b. The system development effort is described in the PERT network referenced in paragraph 4-6.

4-3. Programming.

a. DSM/SD will provide computer time for the systems integration phase of the contract. The preliminary programming effort will begin about May 15, 1969, with the file maintenance routines for the master files. The major programming effort will begin approximately June 1, 1969, and continue until completion.

b. The programming will be performed for the 256K IBM 360/40 using 2314 disk (the specified hardware). All programs in the main system will be written in COBOL and linked together in the 360 DOS operating system. RPG will be utilized for non-scheduled reporting on a special request basis.

c. An estimate of the programming effort was delivered March 3, 1969. Contractural arrangements must be agreed upon by A.I.D. (A/PROC).

4-4. System and ADP Procedures.

a. The schedule for the development of the manuals and related documentation is presented in the projected work schedule. The documentation effort must be directed toward several documents, namely: A/PM procedures manuals, A/DSM ADP operating manual, systems design documentation (general system description and detailed design specifications), manual order revision drafts, and system conversion plan.

b. The drafts of the manual order revisions will be written from the detail design specifications. The A/PM procedures manuals can then be constructed from detail design specifications and the manual order drafts reviewed by A.I.D.

c. The ADP operating manual will be structured after the programming begins, the systems flowcharts are complete, and all reports are formatted. The last documents projected are the training plan and the system conversion plan. These must be written when the programming is in the final testing stages.

d. The schedule for the remaining portions of the project varies slightly from that visualized earlier and as presented in the Phase I Report for this project. This does not substantively alter the amount of work to be accomplished but is only a refinement and more complete schedule which can be discerned more clearly now than at the earlier time.

4-5. System Testing.

a. Each program will be tested by the programmer as required in order to insure that it operates in accordance with the specifications received from the analyst. After all programs have been completed, they will be integrated into the overall operating system.

b. System check-out will then be performed by the analyst using criteria as developed in the system specifications. Output from the system will be coordinated with the respective user to assure a smooth conversion in systems implementation.

c. Each type of transaction called for will be tested according to the edit criteria specified and all output reports will be evaluated against the input transactions and the content of the master files.

4-6. Schedule. The systems and documentation effort is shown in the PERT network (Figure 4-1.1). This work plan was developed for the coordination draft of this General System Description, published February 14, 1969, and was intended to show the logical integration of tasks to implement the system by January 1, 1970. Necessary modifications will be coordinated and approved by the A.I.D. Project Director and the URS Project Manager.

4-7. Future Developments.

a. The master files will be organized on disk in such a manner that the system can be expanded in the future without major reprogramming.

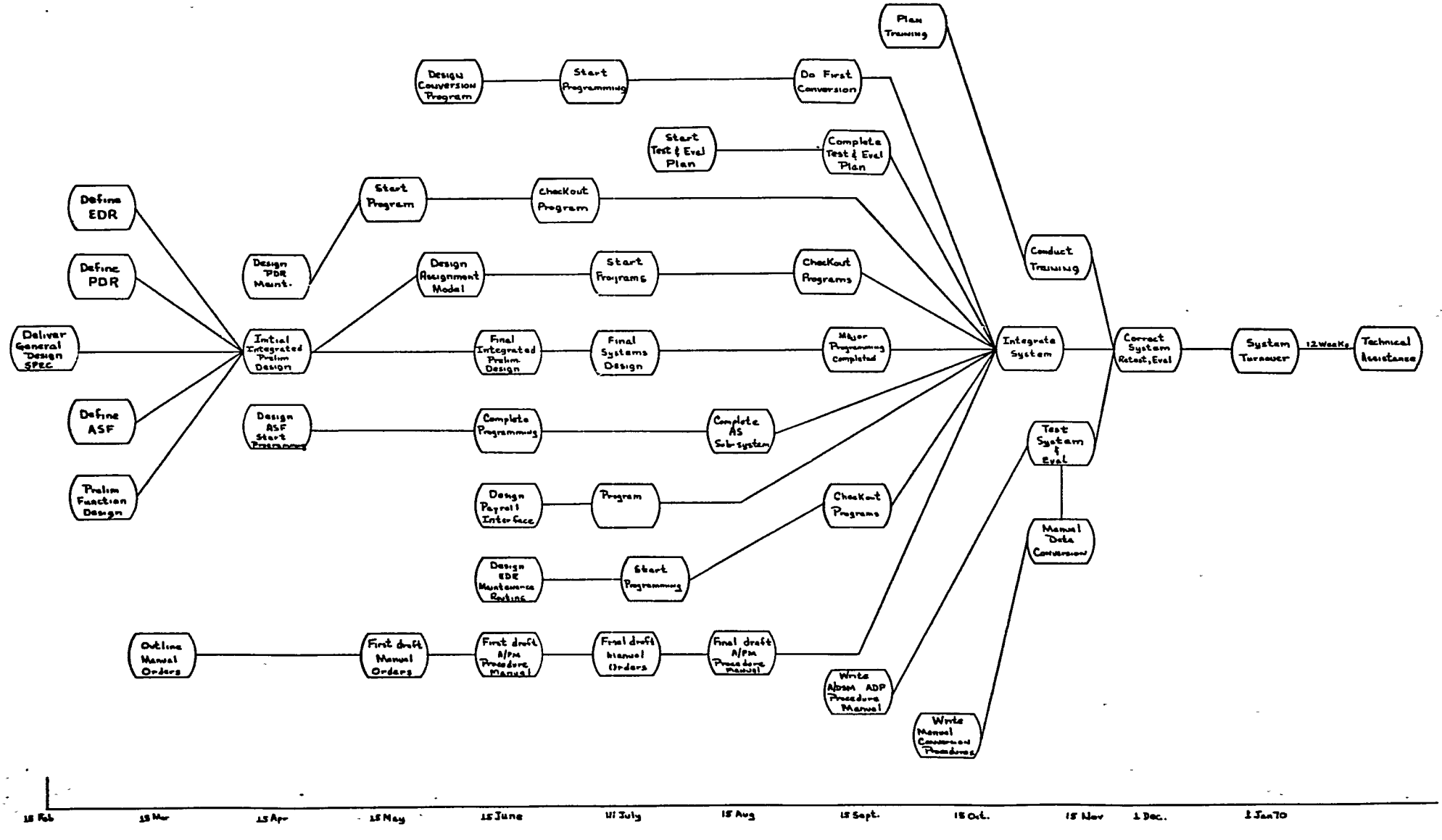
b. The inclusions of teletypewriters for input to the system will allow the system to be expanded in the future. On-line inquiries could be made regarding employee or position status and immediate response capabilities should be provided on the teletypewriters or another on-line device.

c. The utilization of operations review to compare past projections with actual ensuing performance can lead to the improvement of the input (MPA) to the Planning Subsystem. This document should be dynamic and updated periodically by Program and Policy Coordination and the Office of Data System and Management in order to provide the Office of Personnel and Manpower valid, projected personnel requirements to use in the Planning Subsystem.

d. The implementation of this basic personnel data system for A/PM will constitute the basis for expansion into an integrated A.I.D. management information system. Improvements desired should be planned as the ideas for them emerge; however, their implementation should be planned for a date which will not be prior to the implementation of the basic system.

e. The personnel data system will provide the basic framework for future integration with the payroll system. Since considerable reporting is done from each system and the two systems are affected by mutual updating they should at some point be combined to use a common data base and processing job schedule.

Figure 4-1.1
Phase II B System Development Plan



Annex A

COMPUTER FILES

General

This Annex contains the identification and description of the master files maintained in the computer and used in the A.I.D. Automated Personnel Data System.

There are five master files: the Employee Data File, the Position Data File, the Applicant Data File, the Separated Employee File, and the Manpower Planning Data File. Each file contains records as described below.

The initial data necessary to establish these records is contained in either the existing automated records or manual form. The existing data will have to be validated by A/PM personnel before conversion to the new system can be implemented. Data not presently contained in the existing automated system will have to be recorded on transaction sheets and entered into the system. For a description of file maintenance and data recording techniques, refer to paragraph 3-10.

Following is a brief description of the content of each record to be utilized in the automated system. Certain explanatory remarks have been shown for clarity. There is no attempt to specify the number or characteristics of spaces allocated to each data element; these will be determined during the detail design phase.

Employee Data Record

The Employee Data Record (EDR) is the master record which contains all identifying data necessary to meet the reporting requirements within A/PM and other requiring organizations. The file will include all direct-hires, experts and consultants, and PASA type employees. Only limited data will be maintained on experts, consultants and PASA employees. The data elements will be so structured as to contain constant data collected on all employees and inconstant data pertaining only to certain classifications of employees; i.e. Civil Service, Foreign Service. The data elements to be included are shown in Appendix A-1.

Position Data Record

The Position Data Record (PDR) describes the position, its placement within its organizational element, and the requirements of the position. There will be two stratifications within this

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record. The organizational section will contain gross organizational elements and descriptive information for report preparation. The position section will contain detail data describing the specific position, and data necessary to identify the incumbent occupying the position. The data elements to be included are shown in Appendix A-2.

Applicant Data Record

The Applicant Data Record (ADR) will be used to record information on applicants who meet the qualification requirements of A.I.D. but cannot be placed at the present time. As such, it supplants the talent bank. Data to be recorded will be in sufficient detail to determine the applicant's qualification for a position. It will be structured similar to the EDR to facilitate its use in the automated assignment model although all data elements shown in Appendix A-3 will not necessarily be recorded while the applicant is on file.

Manpower Planning Data Record

The Manpower Planning Data Record (MPDR) is the summary statistical record necessary to operate on the planning data supplied. The purpose of the records in this file is to summarize all data necessary to implement the manpower planning model. For a complete description of the file processing, refer to Section 2, Chapter 2. The data elements to be included are shown in Appendix A-4.

Separated Employee Record

The Separated Employee Record (SER) is the accumulation of all inactive records on past employees covering the previous three years. This file will be identical to the EDR in format and content. The data elements to be included are shown in Appendix A-1.

Appendix A-1

CONTENT OF EMPLOYEE DATA RECORD

Data Element Title	Remarks
Identification:	
Social Security Account Number	Record identifier.
Name	Last, first, middle initial.
Pay Data:	
Pay plan	GS, FS, AD, WB, etc.
Grade	Numerical grade.
Step within grade	Numerical step.
Effective date	Effective date of change which established the above grade and step.
Type of last change	Code to identify whether promotion, quality increse, regular step increase, etc.
Personal Data:	
Sex	Self-explanatory.
Date of birth	Self-explanatory.
Marital status	Self-explanatory.
Country of legal residence State of legal residence	County and state considered by the employee to be his legal residence.
Reportable handicap	Any physical handicap reportable under CSC regulations.

Security clearance	Type of security clearance.
Functional classification	Special classification for scientists and engineers.
Special category identifier	A code to identify management interns, IDIs, etc.

Appointment Data:

Type of appointment	A code to identify the type of appointment in which serving.
Authority for appointment	Self-explanatory.
Effective date of appointment	Self-explanatory.
Date entered duty with A.I.D.	Self-explanatory.
Service computation date.	Date from which an employee's length of service is calculated.
Veterans preference	Preference given an employee for prior military service.
Tenure	Retention rights of employee.
Retirement system	Civil service for most; may be Social Security for experts, consultants, etc.
FEHB	Federal Employee Health Benefits coverage.
FEGLI	Federal Employee Group Life Insurance coverage.

Permanent Home Address:

Three line home address	Address through which employee can be contacted at any time.

Military Status:

Selective service classification	Draft classification.
Uniformed service	Army, Navy, Air Force, etc.
Military reserve status	Current status in military service.
Mobilization assignment	Assignment in the event of a national emergency.

Suspense Data:

Type of next PER due	Type of next Performance Evaluation Report due.
Date next PER	Terminal date of next PER due.
Reemployment rights	Indicator whether employee has reemployment rights of any kind.
Reemployment rights expiration date	Date reemployment rights expire.
Date eligible for next regular step increase	Self-explanatory.
Date eligible for conversion to career status	Self-explanatory.
Limited appointment expiration date	Self-explanatory.
Temporary promotion expiration date	Self-explanatory.

Evaluation Data:

Type of PER	Type of last Performance Evaluation Report.
"From" date	Self-explanatory.
"To" date	Self-explanatory.
Date received in A/PM	Date PER received in A/PM.
CS adjectival rating	Outstanding, satisfactory, or unsatisfactory.
CS rating verification	Verification of outstanding or unsatisfactory CS PER by the A.I.D. Performance Committee.
FS rank order	Rank order for FS. (Record will also retain rank order for past five years).
FS recommended for promotion but not promoted	Indication in record if this has occurred.

Education Data:

Academic education level	Highest level of academic education.
Degrees	Entry for up to three degrees, including field, year, and school.
Other education or training	Entry for up to four other types of education or training.

Prior Experience Data:

Prior work history	Entry for up to three prior jobs, showing occupation code, and number of years.
Geographical experience	Entry for up to three foreign countries and years experiences in each.
Other special qualifications	Entry for up to three other types of special qualification, such as typing and occupation certificates.

Language Data:

MLAT score	Score attained on Modern Language Aptitude Test.
MLAT date	Date test was taken.
Language proficiency	Entry for up to six languages showing language code, speaking and reading proficiency, method determined, and year determined.

Agency Occupation Specialities:

Career held	Designator for employees career field. (If career patterns not established, Backstop Codes will be used.)
AOSs awarded	Entry for up to six AOSs, showing code, grade at award, and whether or not verified.

Training Data:

Training survey data	Entry for up to five surveys, showing fiscal year, and 1st, 2d, and 3d choices for courses.
Training courses completed	Entry for up to five courses completed, showing: Course code Training activity Classroom days Date completed Level of attainment Obligated service date Type of training Type of training activity Tuition cost Perdiem cost estimate Travel cost estimate

Assignment Consideration Data:

Home leave eligibility date	Self-explanatory.
Number of consecutive tours overseas	Self-explanatory.
Departure date	Date employee expected to depart present assignment.
Availability date	Date employee is available to enter a new assignment.
Employee preference for location of next assignment	Entry for up to three choices of next assignment location.
Employee preference for AOS of next assignment	Entry for up to three choices of next assignment AOS.
Medical limitations	Any medical limitations applicable to the employee.
Dependents data	Includes data on dependents which affect overseas assignment, such as number, level of educational, housing, and medical facilities required.

Mission recommendations	Entry for up to three recommendations of the mission for employee's next assignment.
Countries excluded from	Country codes for any countries from which employees have been excluded.

Chronological Data:

Nature of action code Effective date Description of action	Entry for up to ten actions. This group will reflect each action which resulted in the issuance of a SF-50 or other action as determined in the final design. It will supplant data presently recorded on SF-7.

Position Data:

Current position number (POSNO)	The POSNO of the position to which currently assigned.
Effective date of assignment	Effective date of assignment to current position.
Position title	Title of current position.
Position occupation code	The six digit numerical code for the position.
Position description number	Number assigned to the position description..
Competitive level	Applicable to CS positions only.
Position pay plan	Pay plan of the current position.
Position grade	Authorized grade for the position.
Next POSNO	POSNO of the position to which being assigned. Entered only when assignment has been determined.
Next position effective date	Effective date of next assignment.

Appendix A-2

CONTENT OF POSITION DATA RECORD

Data Element Title	Remarks
ORGANIZATIONAL STRATIFICATION	
Identification Data:	
Organization number	Record identifier. The code number assigned to the element of the organization, down to unit level.
Organization name	Alphabetic title of the element of the organization (authorized abbreviations may be used).
Location of the organization headquarters	GSA code.
Ceiling Data:	Note: Below data elements entered only at those levels authorized a position ceiling by A/DSM. For all lower levels, these data elements will be blank.
Current position ceiling	As established on AAPLE.
Current active positions	Actual count of the number of current active positions.
Projected position ceilin	As established on AAPLE.
Projected position ceiling effective date	As established on AAPLE.
Projected active positions	Number of current active positions, plus projected new positions to be established, and less projected positions to be abolished, as of the effective date of the projected ceiling.

POSITION STRATIFICATION

Identification and Location:

Position number (POSNO)	Record identifier. This number includes the organization number described above plus a sequence number for each position within the organizational element.
Post code/location code	Post code for overseas, GSA location code within U.S.

Status Data:

Position status code	A code to indicate status of position; i.e., whether presently active, to be activated in the future, to be deleted in the future, etc.
Type of position	Codes to identify incumbency, nationality, permanency, and workweek.
Position effective date	Date position was established, or is to be established.
Date position expires	Not to exceed date for temporary positions or those to be abolished.

Appropriation Data:

Appropriation	Type appropriation charged for the position
Project number	Third and fourth segments of the project number

Descriptive Data:

Position title	The descriptive title of the position (not the occupation code title, though in some instances they may be the same.)
Career field	Career field designator (or the backstop code if career fields not developed).

Occupation code	The six digit occupation code number.
Competitive level	Applicable to CS positions only.
Position description number	Number assigned by Position Classifier to the position description.
Last certification date	Date position was last classified or audited by a Position Classifier.
Pay plan	Authorized pay plan for the position such as FS, GS, AD, ED, WB.
Grade	Authorized grade for the position (must be consistent with the pay plan).

Assignment Consideration Data:

First language requirement	Codes for first language (and proficiency) required, if applicable.
Second language requirement	Codes for second language (and proficiency) required, if applicable.
Medical limitations	Any medical limitations at the post, such as altitude.
Supervisory level	Whether position is supervisory level.
National Interdepartmental Seminar required	Whether attendance of incumbent at NIS is required.
Post medical limitations	Indication of any medical limitations at the post affecting dependents.
Post housing limitations	Indication of any housing limitations at the post.
Post school availability	Indication of schools availability at the post.

Incumbent Data:

Identification of incumbent	Social Security Account Number of the incumbent.
Anticipated departure date	Date the current incumbent is due to vacate the position. INDEF if departure is indefinite or not applicable.

Replacement Data:

Identification of replacement	Social Security Account Number of employee designated as replacement. Entered only when an employee has been assigned to a position but has not yet taken over the assignment.
Effective date of assignment	The date the assignment is to become effective, as published on SF-50.

Appendix A-3

CONTENT OF APPLICANT DATA RECORD

Data Element Title	Remarks
Basic Data:	
Social Security Account Number	Record identifier
Name	Last, first, middle initial
Grade data-- Schedule Grade	Entry level determined by qualifications of applications
Equivalent Grade	If not certified
Source of application	Recruiting program, Congress, White House, etc.
Recruitment Source	Source from which the application was received.
Date available	As indicated on application
Availability for overseas	As indicated on application
Veteran Preference	Self-Explanatory
Personal Data:	
Same as for EDR	
Prior Qualifications Data:	
Same as for EDR	
Language Data:	
Same as for EDR	

Appendix A-4

CONTENT OF MANPOWER PLANNING DATA RECORD

Data Element Title	Remarks
Organization code	A.I.D. organization code
Pay schedule	Self-explanatory
Pay grade	Self-explanatory
Occupation code	First four digits only
Gains-- Appointments Transfers Reinstatements	Totals of each
Losses-- Resignations Separations Transfers Terminations Retirements Deaths Reductions-in-Force	Totals of each
Changes-- Promotions Demotions Suspensions Leave w/o Pay Training Courses Completed	Totals of each
Reason for leaving-- Personal reasons Cause Military etc.	Specific reason as indicated on SF-50

Annex B

INFORMATION FLOWCHARTS

General

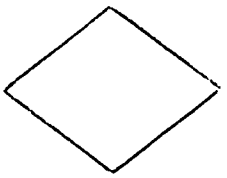
Information flowcharts and related input/output charts pictorializing the flow of information as described in Chapters 2 and 3 are contained in Appendices B-1 through B-12.

The symbols used in the flowcharts are as prescribed by the American Standards Association and are as follows:

Terminal Symbol. This symbol represents a terminal point in a system at which data can enter or leave; e.g., start, stop, halt, delay, or interrupt.

Document Symbol. This symbol represents an input/output function in which the medium is a document.

Manual Operation Symbol. This symbol represents any off-line process geared to the speed of a human being.



Decision Symbol. This symbol represents a decision or switching type operation that determines which of a number of alternative paths is to be followed.

Process Symbol. This symbol represents the processing function; i.e., the process of executing a defined operation or group of operations resulting in a change in value, form, or location of information, or in the determination of which of several flow directions are to be followed.

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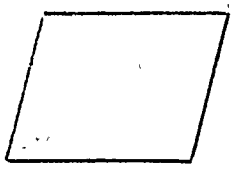
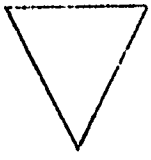
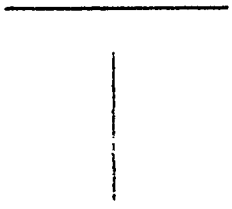


Input/Output Symbol. This symbol represents the input/output function; i.e., the making available of information for processing (input), or the recording of processed information (output).

Predefined Process Symbol. This symbol represents a named process consisting of one or more operations that are specified elsewhere; e.g., referral of an application for employment to a Placement Officer for possible hire.



Off-line Storage Symbol. This symbol represents any off-line storage of information, such as file cabinets, regardless of the medium on which the information is recorded.



Flowline Symbol. These symbols represent the flowline function; i.e., the indication of the sequence of available information and executable operations. Flow direction is represented by lines drawn between symbols. Normal direction is from left to right and top to bottom. When the flow is not left to right or top to bottom, arrowheads are placed on the reverse direction flowlines.

Connector Symbol. This symbol represents a junction in a line of flow. A set of two connectors is used to represent a continued flow direction when the flow is broken by any limitation of the flow chart. Alphabetic letters or numerals are entered in each connector to show relationship between two or more connectors; i.e., line of flow.

Appendix B-1

PLANNING SUBSYSTEM

The flowcharts for the Planning Subsystem consist of a series of interrelated flowcharts as shown on subsequent pages. They are listed below for ease of reference.

Estimate Separations, Promotions, Recruitments
- Derive Manpower Planning Factors.....Appendix B-1-1
- Compute Manpower Requirements.....Appendix B-1-2
- Derive Attrition and Promotion Availability Rates.....Appendix B-1-3
- Estimate Starting On-Board Strength.....Appendix B-1-4
- Estimates by Occupation.....Appendix B-1-5
- Estimates by Career Field.....Appendix B-1-6

Estimate Assignments.....Appendix B-1-7

Estimate Separations, Promotions, Recruitments and Assignments
- By Occupation.....Appendix B-1-8
- By Career Field.....Appendix B-1-9

Estimate Training Requirements.....Appendix B-1-10

Report Numbers of Personnel Events.....Appendix B-1-11

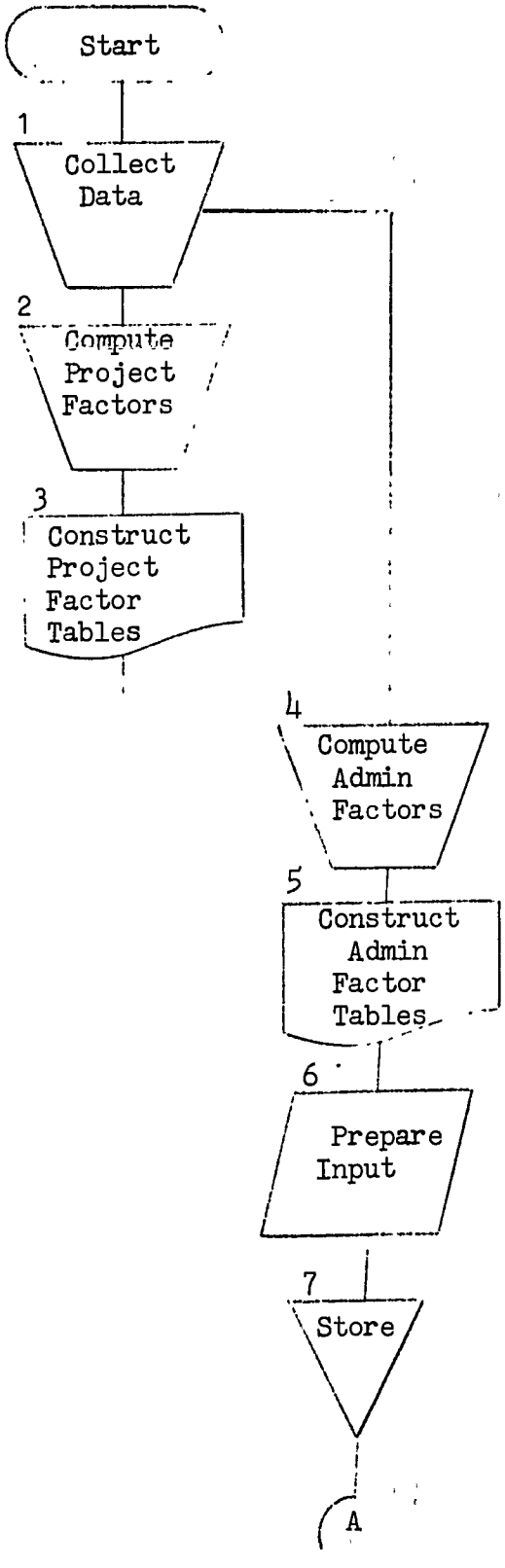
The input/output chart for the Planning Subsystem is Appendix B-1-12.

NOTE: The symbol A/DSM used on the flowcharts identifies computer operations and output.

Appendix B-1-1

ESTIMATE SEPARATIONS, PROMOTIONS, RECRUITMENTS

Derive Manpower Planning Factors



1. PM/PL obtains data on project costs by technical code, project manpower by technical code, and adminstrative manpower by total project cost, both by class, grade, and occupation -- from budget documents and other data sources.

2. PM/PL computes project manpower planning factors (Equation 1).

3. PM/PL constructs sets of project manpower factor tables similar to Table 2-2.3.

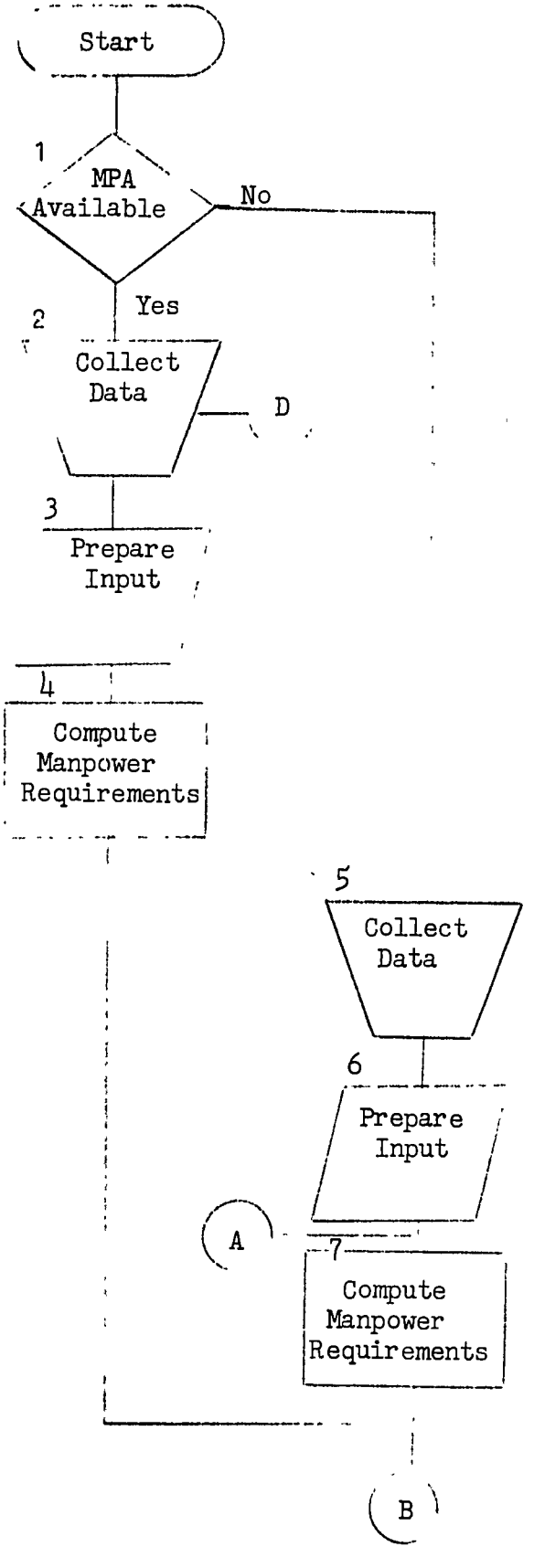
4. PM/PL computes administrative manpower planning factors (Equation 3).

5. PM/PL constructs sets of administrative manpower factor tables similar to Table 2-2.3.

6. PM/PIC converts factor tables into computer input form.

7. A/DSM stores manpower planning factor input.

Appendix B-1-2
ESTIMATE SEPARATIONS, PROMOTIONS, RECRUITMENTS
Compute Manpower Requirements



1. PM/PL ascertains whether manpower programming annex (MPA) is available for year and conditions of the study.

2. PM/PIC obtains manpower planning annexes for all organizational elements of A.I.D.

3. PM/PIC prepares input containing numbers of FSR, FSS, and GS/AD employees by class, grade, and occupation programmed for each organizational element.

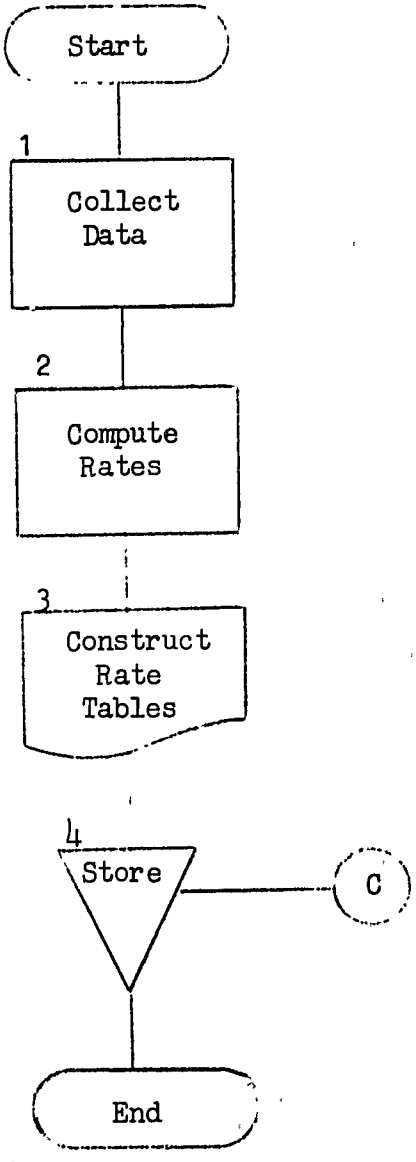
4. A/DSM computes total numbers of employees programmed by class, grade, and occupation.

5. PM/PL obtains projection of program by project technical code from program planners or assumes one for the study.

6. PM/PIC converts program projection into computer input form.

7. A/DSM computes total numbers of employees required by class, grade, and occupation using stored manpower planning factors (Equation 20 for project manpower and similar equation for administration.

Appendix B-1-3
ESTIMATE SEPARATIONS, PROMOTIONS, RECRUITMENTS
Derive Attrition and Promotion Availability Rates



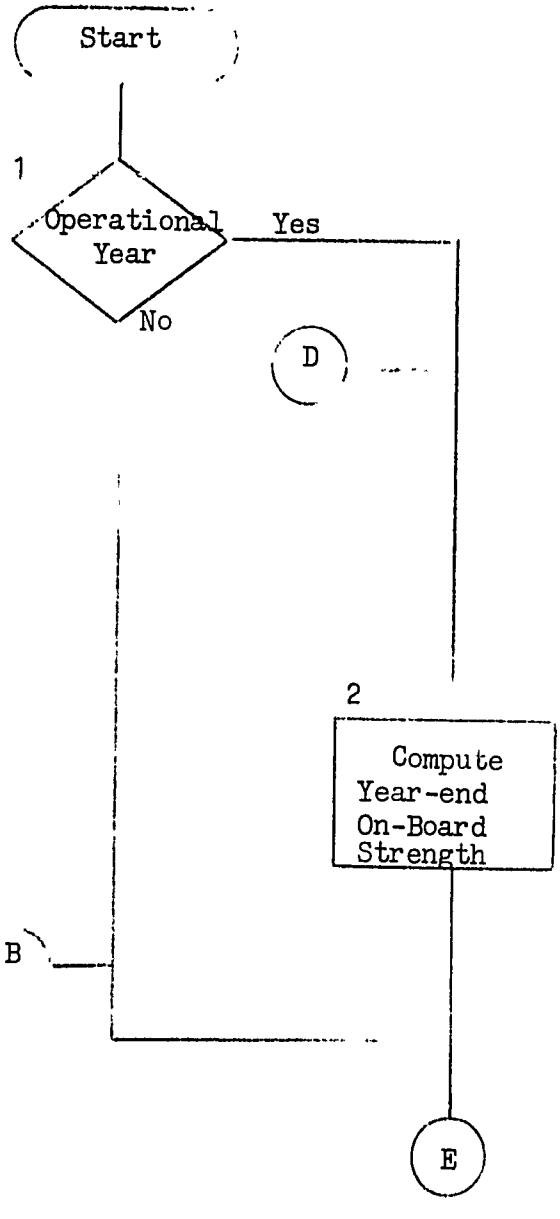
1. A/DSM obtains data on attritions, promotion recommendations, and on-board strength from historical records and personnel reports.

2. A/DSM computes attrition and promotion availability rates (Equation 6 for attrition rate).

3. PM/PL constructs tables of attrition and promotion availability rates similar to Table 2-2.4.

4. A/DSM stores attrition and promotion availability rate inputs.

Appendix B-1-4
ESTIMATE SEPARATIONS, PROMOTIONS, RECRUITMENTS
Estimate Starting On-Board Strength

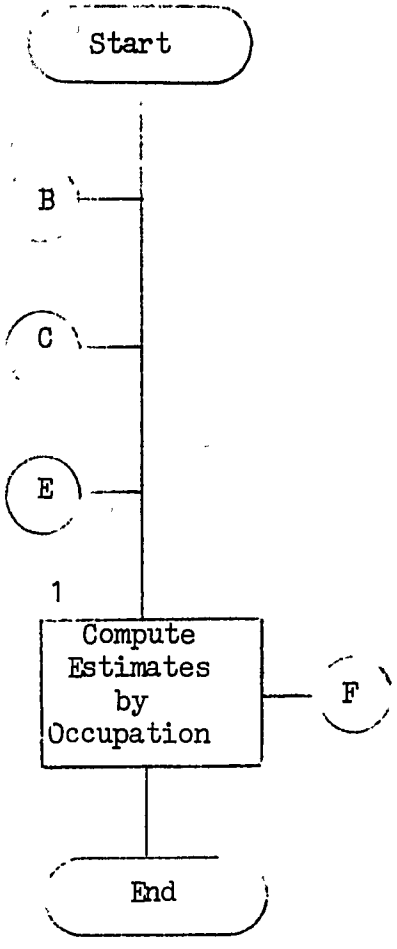


1. PM/PL ascertains whether study year is operational year.

2. A/DSM computes totals by class, grade, and occupation as starting on-board strength.

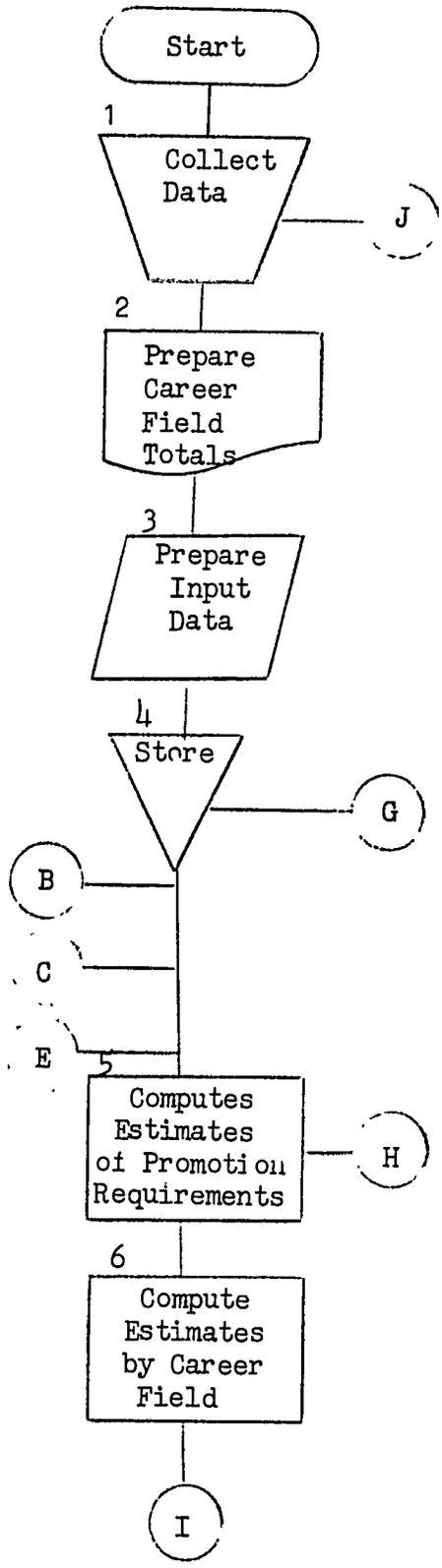
3. A/DSM reads computed manpower requirements for preceding year as starting on-board strength.

Appendix B-1-5
ESTIMATE SEPARATIONS, PROMOTIONS, RECRUITMENTS
Estimates by Occupation



1. A/DSM computes estimates of separations, promotions, and recruitments by class, grade, and occupation (Equations 7 through 22).

Appendix B-1-6
ESTIMATE SEPARATIONS, PROMOTIONS, RECRUITMENTS
Estimates by Career Field



1. PM/PL obtains identifications of occupations in career fields from PM/CD and related training courses.

2. PM/PL prepares tables listing occupations by career field.

3. PM/PIC converts career field tables into computer input.

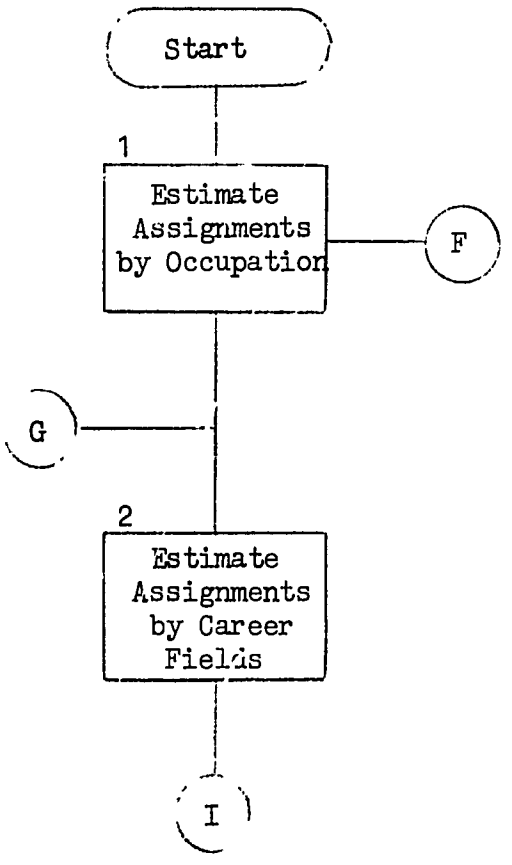
4. A/DSM stores career field input data.

5. A/DSM computes estimates of promotion requirements by class, grade, and career field (Equations 7 through 14).

6. A/DSM computes estimates of separations, promotions, and recruitments by class, grade, and career field (Equations 7 through 22).

Appendix B-1-7

ESTIMATE ASSIGNMENTS



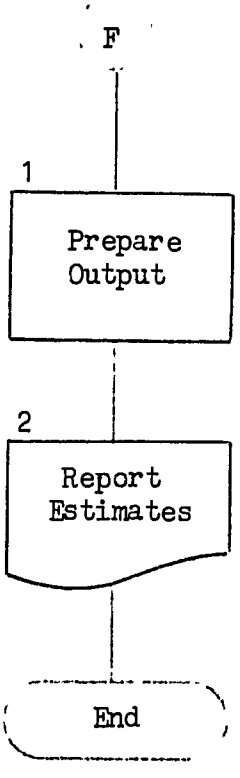
1. A/DSM searches EDR and counts number of FS assignments ending in the study year in continuing positions, by class, grade, and occupation.

2. A/DSM summarizes assignments by occupation to obtain estimates of assignments by career field.

Appendix B-1-8

ESTIMATE SEPARATIONS, PROMOTIONS, RECRUITMENTS, ASSIGNMENTS

By Occupation



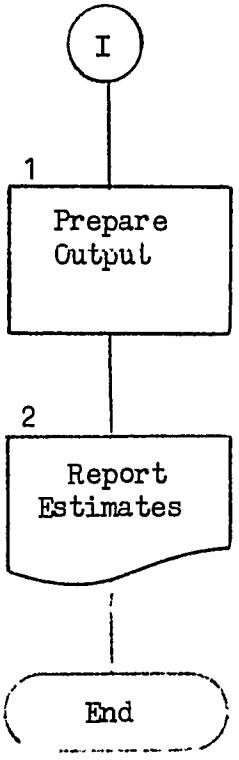
1. A/DSM prepares output.

2. PM/PIC delivers report to PM/PL (Table 2-2.9).

Appendix B-1-9

ESTIMATE SEPARATIONS, PROMOTIONS, RECRUITMENTS, ASSIGNMENTS

By Career Field

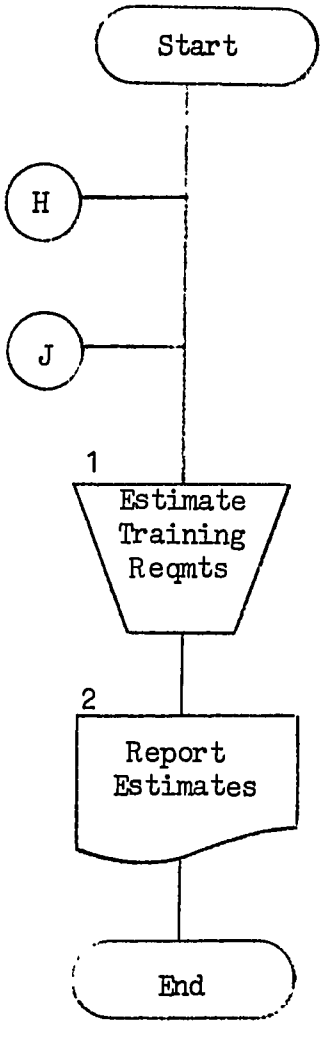


1. A/DSM prepares output.

2. PM/PIC delivers report to PM/PL (Table 2-2.10).

Appendix B-1-10

ESTIMATE TRAINING REQUIREMENTS

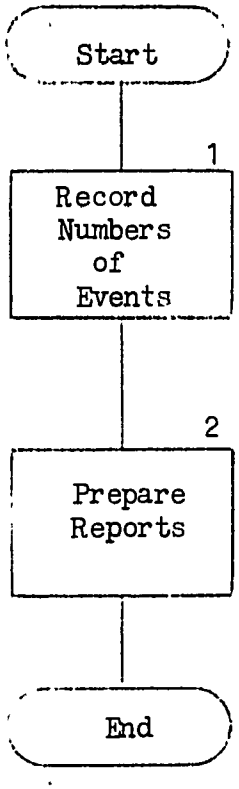


1. PM/PL estimate training requirements by course, class, grade, and career field Equation 18).

2. PM/PL report estimates to PM/CD.

Appendix B-1-11

Report Numbers of Personnel Events



1. A/DSM accumulates counts of terminations, attritions, promotions, assignments, and recruitments, starting with beginning of each fiscal quarter.

2. A/DSM reports cumulative counts monthly.

Appendix B-1-12

CONTROL FUNCTION: PLANNING

RESPONSIBILITY: PM/PL

INPUTS	FROM
Manpower Programming Annex - MPA	USAID Missions; A.I.D./W Bureaus and offices
Program Projections and Budgets	A.I.D./W Bureaus and offices
Promotion Availability Rates	Calculated
Manpower Planning Factors	Calculated
Attrition Rates	Calculated
Career Patterns	PM/CD

OUTPUTS	TO
Manpower Projections for:	
Recruitments	PO/CS
Training Requirements	PM/CD; CD/TR
Terminations	PM/PO
Attritions	PM/PO
Assignments	PM/PO; CSP/EU; FSP/EU
Promotions	PO/CS; FSP/EV
Summaries of:	
Recruitments	PO/CS
Terminations	PM/PO
Attritions	PM/PO
Assignments	PM/PO; CSP/EU; FSP/EU
Promotions	PO/CS; FSP/EV

Appendix B-2

INFORMING SUBSYSTEM

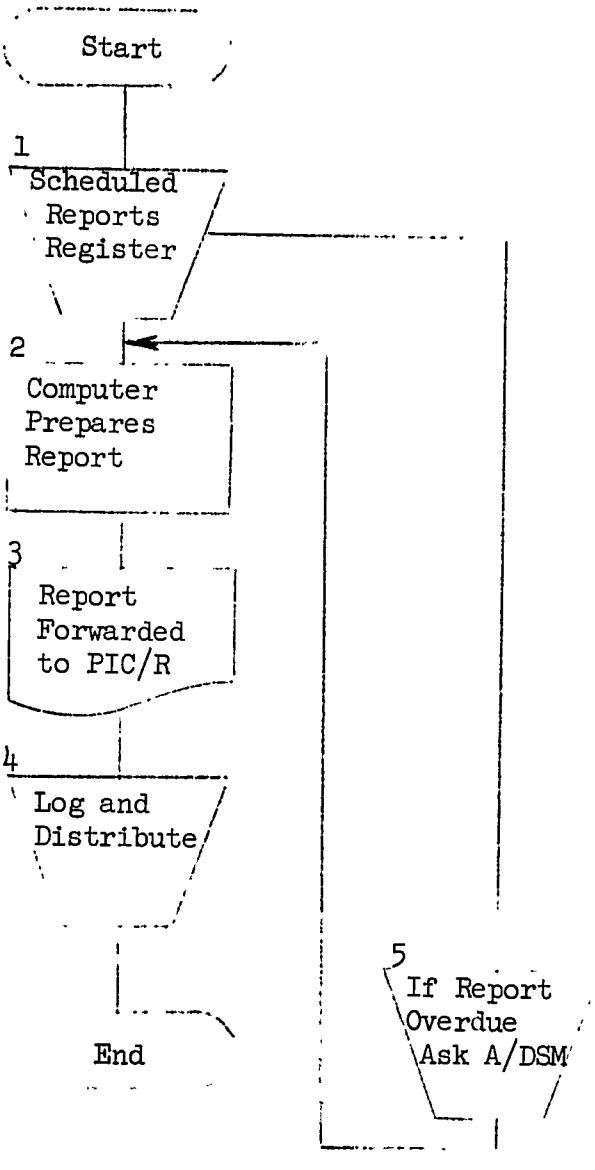
The flowcharts for the Informing Subsystems consist of three separate flowcharts as shown on subsequent pages. They are listed below for ease of reference.

Scheduled Reports.....Appendix B-2-1
Standard Nonscheduled Reports.....Appendix B-2-2
Special Nonscheduled Reports.....Appendix B-2-3

The input/output chart for the Informing Subsystem is Appendix B-2-4.

Appendix B-2-1

SCHEDULED REPORTS



Scheduled reports are those that are prepared on a predetermined periodic basis, such as weekly, monthly, or annually.

1. PIC/R maintains a Scheduled Reports Register showing all scheduled reports and dates they are due.

2. A/DSM computer prepares each report on scheduled date.

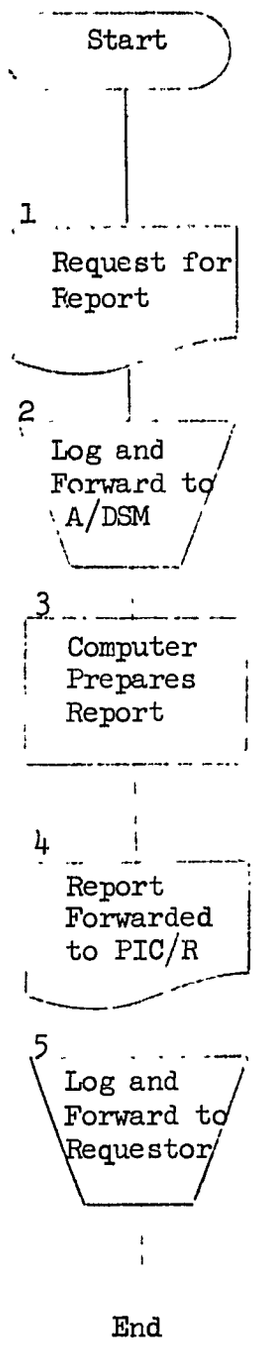
3. A/DSM forwards report to PIC/R.

4. PIC/R logs in receipt of report and makes distribution.

5. PIC/R checks Scheduled Reports Register daily. If a report due is not received, contacts A/DSM and requests report.

Appendix B-2-2

STANDARD NONSCHEDULED REPORTS



Standard nonscheduled reports are those that are prepared on a non-scheduled basis, but have standard formats and computer programs to produce them have already been prepared.

1. User sends request for report to PIC/R (Transaction Form if for EDRPO, memorandum if for other).

2. PIC/R ensures request is for a standard report, logs request, and forwards to A/DSM. If not a standard, processes as special.

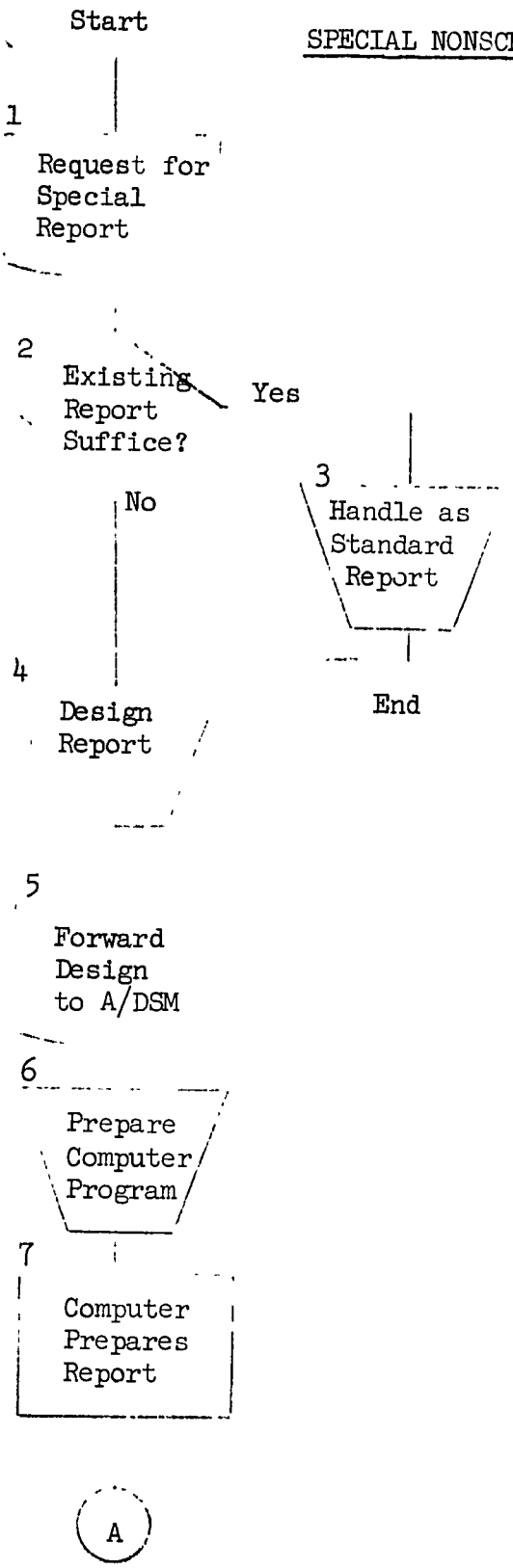
3. A/DSM computer prepares the requested report.

4. A/DSM forwards report to PIC/R.

5. PIC/R annotates receipt in log and forwards to requestor. If report not received by date requested or due, PIC/R contacts A/DSM.

Appendix B-2-3

SPECIAL NONSCHEDULED REPORTS



Special nonscheduled reports are new reports not previously required and for which no computer programs exist to produce them.

1. User sends Request for Special Report to PIC/R, describing report required.

2. PIC/R evaluates request to determine whether an already programmed report will meet user's information requirements.

3. If existing report appears to suffice, PIC/R obtains concurrence from user, and processes as a standard report.

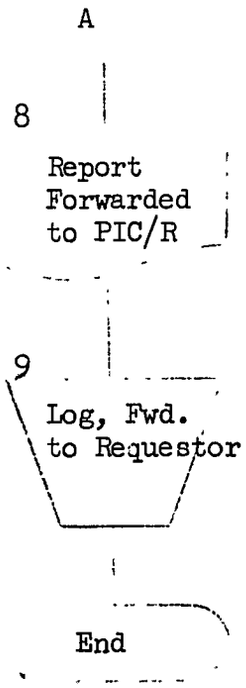
4. If no existing report appears to suffice, PIC/R prepares preliminary design and coordinates with user with assistance of A/DSM.

5. Upon finalization, forwards design to A/DSM.

6. A/DSM prepares computer program to produce report in accordance with design.

7. A/DSM computer prepares the requested report.

Appendix B-2-3, Special Nonscheduled Reports (Continued)



8. A/DSM forwards report to PIC/R.

9. PIC/R logs receipt, adds to Standard Report Register, and forwards report to requestor.

Appendix B-2-4

CONTROL FUNCTION: INFORMING RESPONSIBILITY: PM/PIC; PIC/R

INPUTS	FROM
Request for Personnel Report	Interal Sources

OUTPUTS	TO
Scheduled Reports	Distribution List
Nonscheduled Reports	Distribution List or Requester

Appendix B-3

COMMANDING SUBSYSTEM

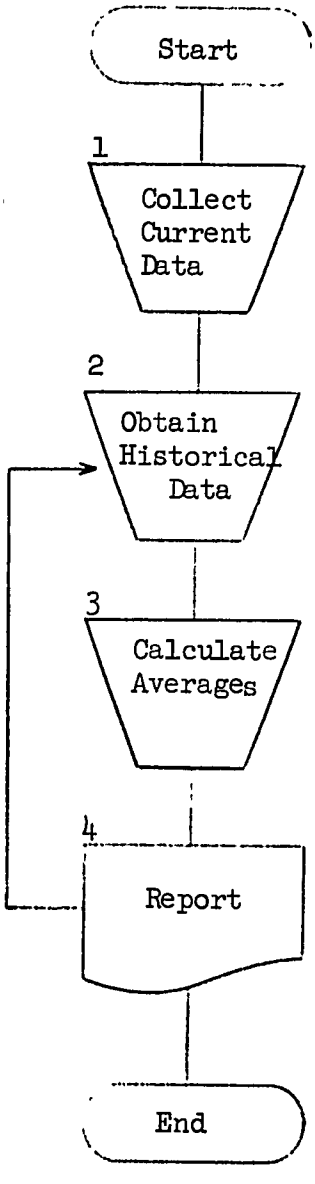
The flowcharts for the Commanding Subsystem consist of five flowcharts pertaining to the Operation Review function, as shown on subsequent pages. They are listed below for ease of reference.

Personnel Activity Status Report.....Appendix B-3-1
Complement Status Report.....Appendix B-3-2
Personnel Actions Report.....Appendix B-3-3
Productivity Report.....Appendix B-3-4
Quality Control.....Appendix B-3-5

The input/output chart for the Commanding Subsystem is Appendix B-3-6.

Appendix B-3-1

OPERATIONS REVIEW - PERSONNEL ACTIVITY STATUS REPORT



1. PM/PIC obtains data for the current period on: vacancies, both current and pending, pending recruitments, and sends to PM/OD.

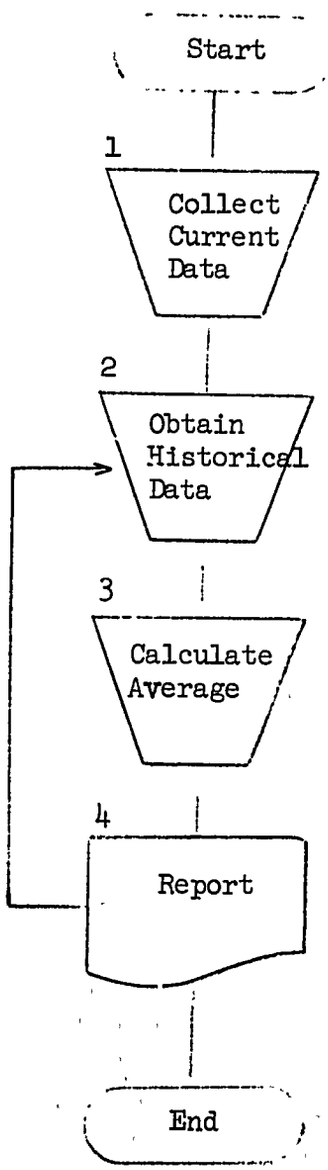
2. PM/OD obtains data on preceding periods from past reports.

3. PM/OD calculates 6-month averages.

4. PM/OD prepares report as in Table 2-4.1.

Appendix B-3-2

OPERATIONS REVIEW - COMPLEMENT STATUS REPORT



1. PM/OD obtains data for the current period on numbers in complements from the complement roster.

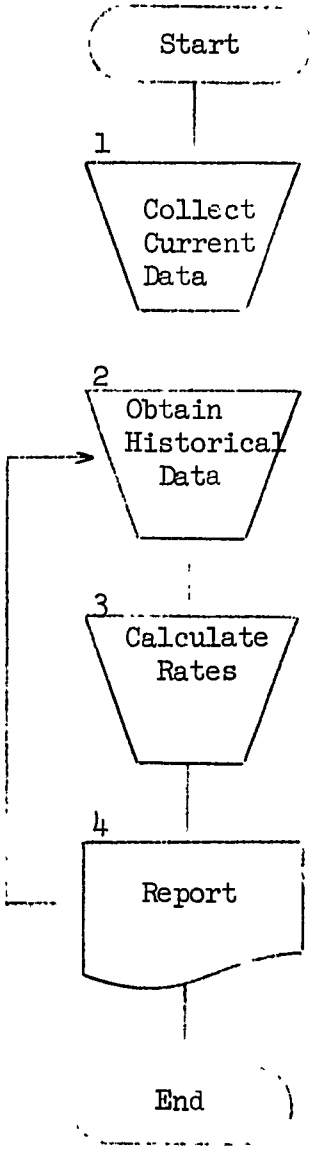
2. PM/OD obtains data for preceding periods from past reports.

3. PM/OD calculates 6-month averages.

4. PM/OD prepares report as : Table 2-4.2.

Appendix B-3-3

OPERATIONS REVIEW - PERSONNEL ACTIONS REPORT



1. PM/PIC obtains data for current period on authorized strength and numbers of actions: resignations, transfers-out, other attritions, recruitments, assignments, establishments of new positions, and position audits, from A/DSM and sends to PM/OD.

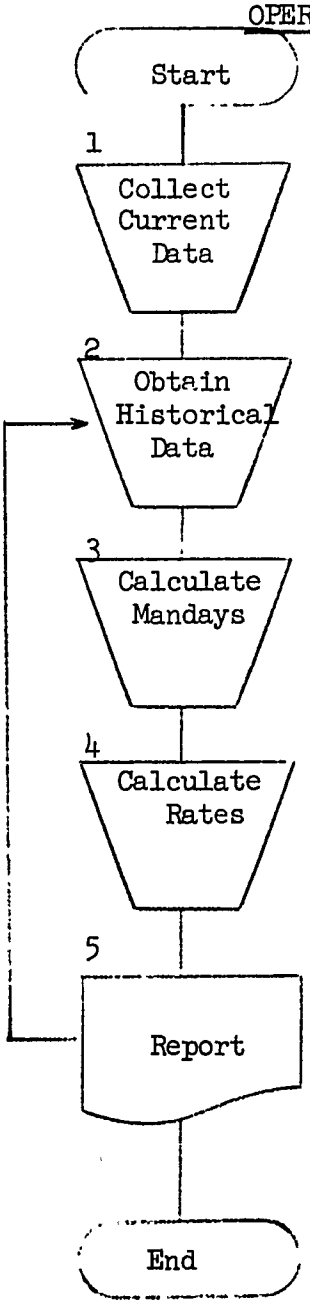
2. PM/OD obtains data on preceding periods from past reports.

3. PM/OD calculates indicated annual rates for current period and 6-month average.

4. PM/OD prepares report as in Table 2-4.3.

Appendix B-3-4

OPERATIONS REVIEW - PRODUCTIVITY REPORT



1. PM/PIC obtains data for the current period on numbers of assignments, classification actions, and recruitments from A/DSM and sends to PM/OD.

2. PM/OD obtains data for preceding periods from past reports.

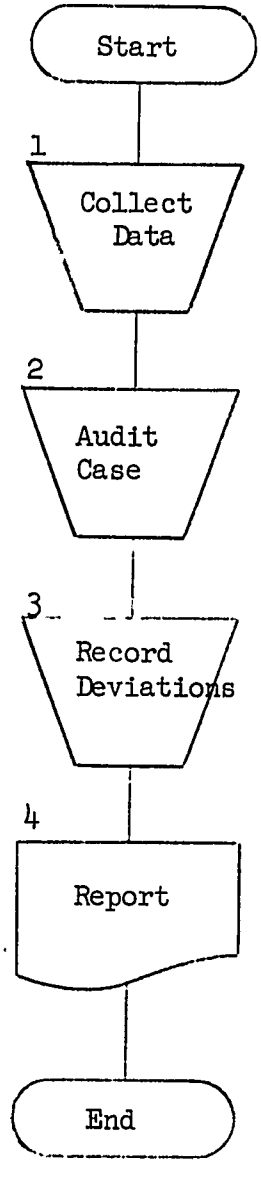
3. PM/OD calculates man-days from personnel office rosters.

4. PM/OD calculates rates for current period and 6-month average.

5. PM/OD prepares report as in Table 2-4.4.

Appendix B-3-5

OPERATIONS REVIEW - QUALITY CONTROL



1. PM/PIC sends file folder in sample to PM/PL.

2. PM/PL audits action for compliance with law, regulation, and policy.

3. PM/PL records deviations found in audits and returns folder to PM/PIC.

4. PM/PL prepares report on deviations found.

Appendix B-3-6

CONTROL FUNCTION: COMMANDING RESPONSIBILITY: PM/OD

INPUTS	FROM
Monthly Summaries of:	
Vacancies	PM/PIC
Separations	PM/PIC
Recruitments	PM/PIC
Assignments	PM/PIC
Complements	PM/PIC
Classification of Positions	PM/PIC
Promotions	PM/PIC
Reduction in Force	PM/PIC
Official Personnel Folders	PM/PIC
Standard Rates of above Personnel Actions	Calculated

OUTPUTS	TO
Personnel Activity Status Report	PM/OD
Complement Status Report	PM/OD
Personnel Action Report	PM/OD
Productivity Report	PM/OD
Quality Control Report	PM/OD

Appendix B-4

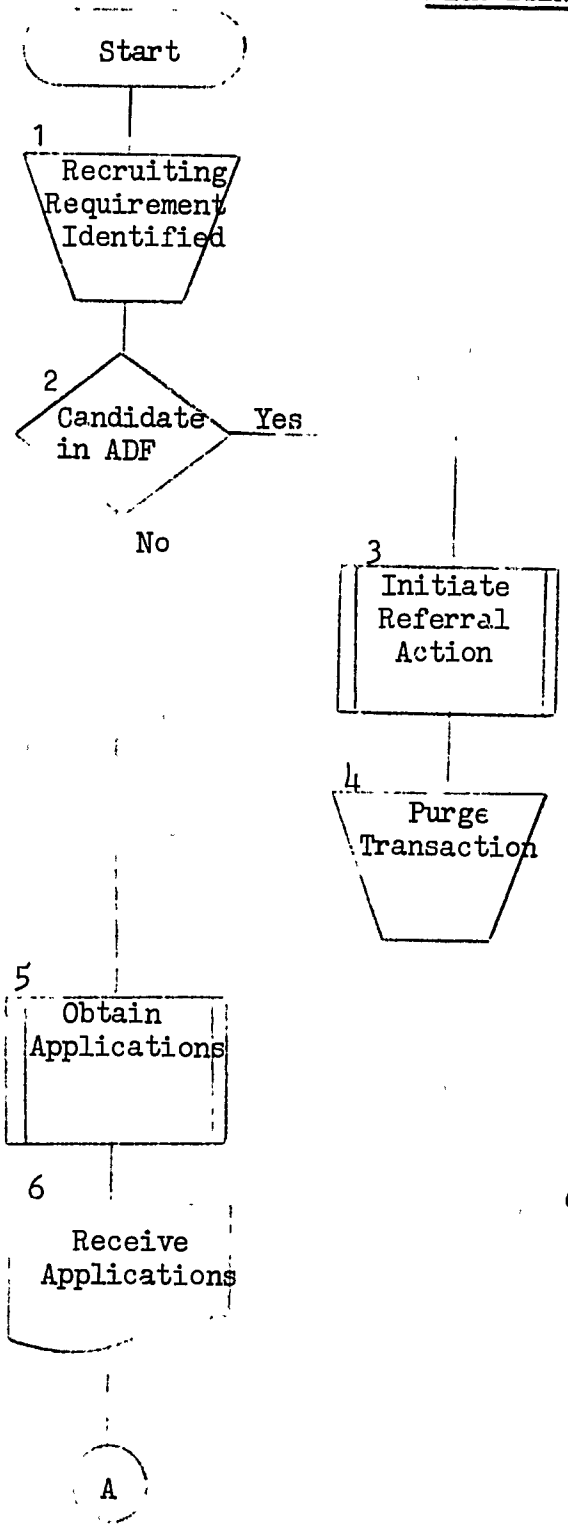
RECRUITING SUBSYSTEM

The flowcharts for the Recruiting Subsystem consist of two separate flowcharts as shown on subsequent pages. They are listed below for ease of reference.

Recruiting.....Appendix B-4-1
Applicant Data File.....Appendix B-4-2

The input/output chart for the Recruiting Subsystem is Appendix B-4-3.

Appendix B-4-1
RECRUITING



1. PO/CS identifies requirement to recruit based on vacancy for which no on-board employee is available, or based on Planning Subsystem projections.

2. PO/CS searches Applicant Data File to determine whether candidate available.

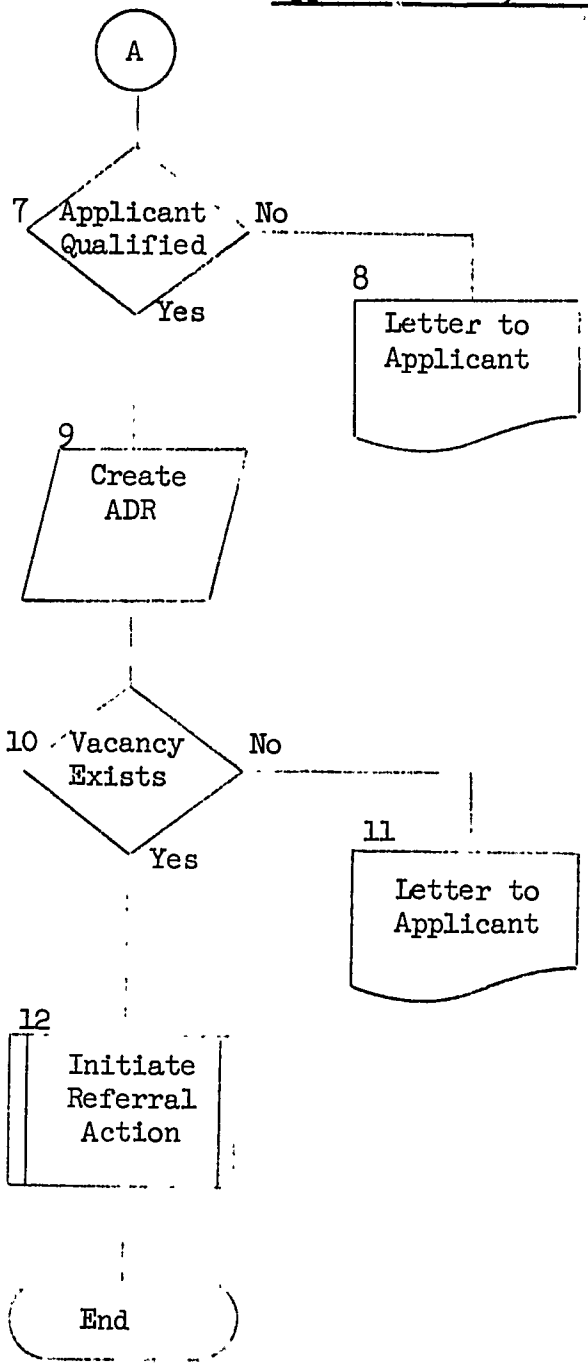
3. If candidate is found, withdraws application from cabinet file and forwards to Placement Officer for consideration and further action.

4. If candidate is hired, PO/CS prepares file maintenance transaction to purge ADF.

5. If no candidate is found, activates recruiting process to obtain applications.

6. PO/CS receives application and prepares control card AID 4-432.

Appendix B-4-1, Recruiting (Continued)



7. PO/CS reviews applicant's qualifications to determine if meets agency requirements.

8. If applicant is not qualified, application returned by letter.

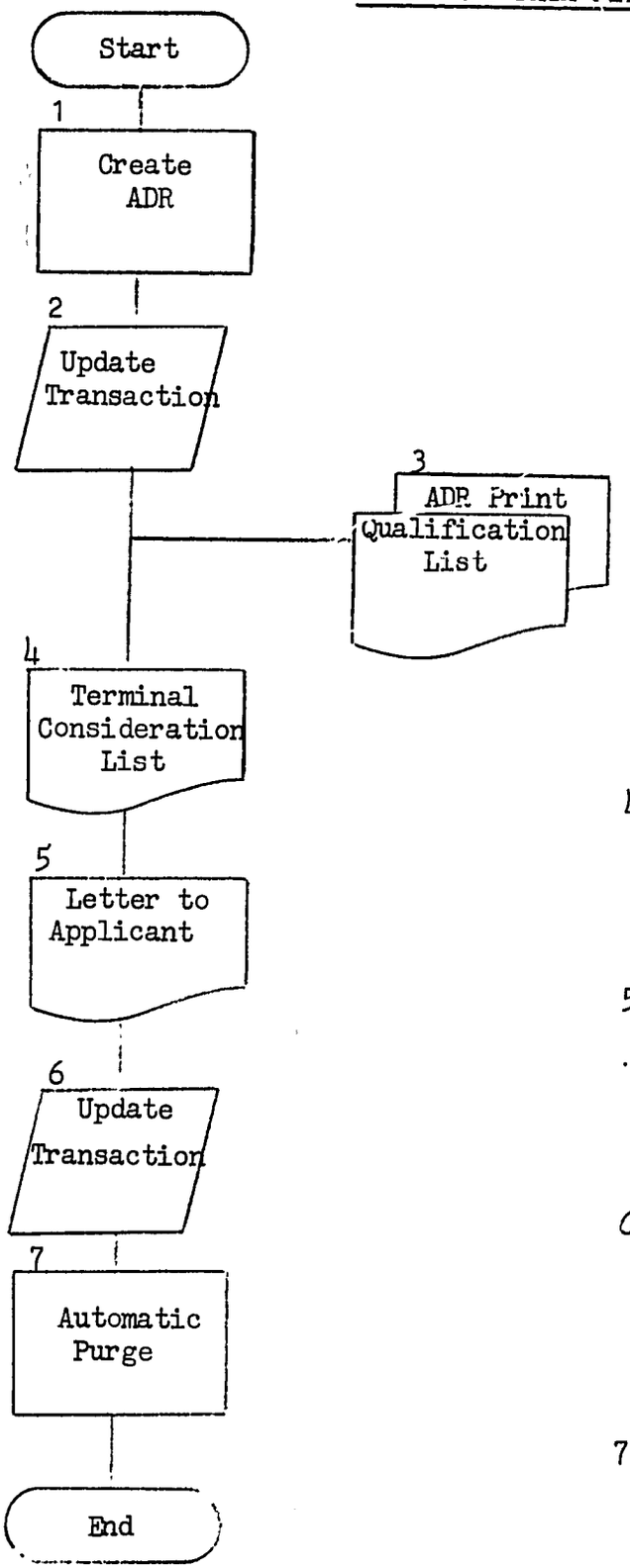
9. Applicant Data Record is created and entered into Applicant Data File.

10. PO/CS determines whether an appropriate vacancy exists.

11. If no current vacancy exists, letter is sent to applicant advising that application is being retained on file.

12. If vacancy exists, initiate referral action.

Appendix B-4-2
APPLICANT DATA FILE



1. Applicant Data Record is created and entered into the Applicant Data File in accordance with Appendix B-4-1 and from applications furnished by bureau recruiting offices.

2. Any change or addition to content of the ADR is made by PO/CS entering a file maintenance transaction.

3. Upon request by PO/CS, computer will prepare a list of applicants meeting qualifications specified, or an ADR Print of each applicant with a specified occupation code.

4. Each month computer prepares list of all applicants whose terminal consideration date occurs the following month.

5. PO/CS prepares form letter to each applicant asking whether new terminal consideration date desired or no longer interested in employment by A.I.D.

6. File maintenance transaction is prepared by PO/CS based on reply from applicant, either extending terminal consideration date or purging record from file.

7. During monthly suspense process, if current date is more than 45 days past terminal consideration date, record will be automatically purged and listed on suspense roster.

Appendix B-4-3

FUNCTIONAL ACTIVITY: RECRUITING RESPONSIBILITY: PO/CS

INPUTS	FROM
Application Forms SF-171	Applicants
Applicant Data Record - ADR	PM/PIC
SF-52	Employing Office
Manpower Projections	PM/PL
Civil Service Registers	Civil Service Commission
Position Descriptions	CSP/PCM; FSP/PCM
Positions Available Report	PM/PIC

OUTPUTS	TO
AID 4-432	PM/PIC; PO/CS
Applicant Data Record - ADR	PO/CS
Form Letters to Applicant	Applicants
Roster of Applicants to be Purged	PM/PIC
Applicant Transaction Forms	PM/PIC
Applications, Qualified Candidates	Employing Office

Appendix B-5

ASSIGNING SUBSYSTEM

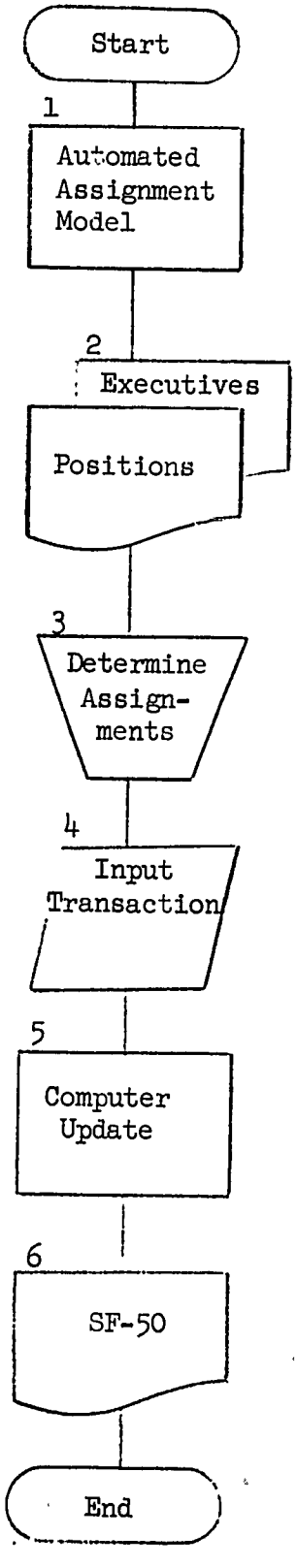
The flowcharts for the Assigning Subsystem consist of two separate flowcharts as shown on subsequent pages. They are listed below for ease of reference.

Assignment of Executives.....Appendix B-5-1
Assignment of Other Than Executive Employees.....Appendix B-5-2

The input/output chart for the Recruiting Subsystem is in Appendix B-5-3.

Appendix B-5-1

ASSIGNMENT OF EXECUTIVES



1. The automated assignment model will normally be executed by the computer on a monthly basis.

2. It will produce lists of executives (employees in FSR grades 1 and 2 and in GS/AD grades 16 through 18) due for reassignment during the sixth month in the future. It will also produce a list of all executive positions vacant or due to become vacant during the next six months.

3. The above reports will be delivered to PM/OD where assignment determination will be made and furnished to FSP/EU or CSP/EU, as applicable, for completion of process.

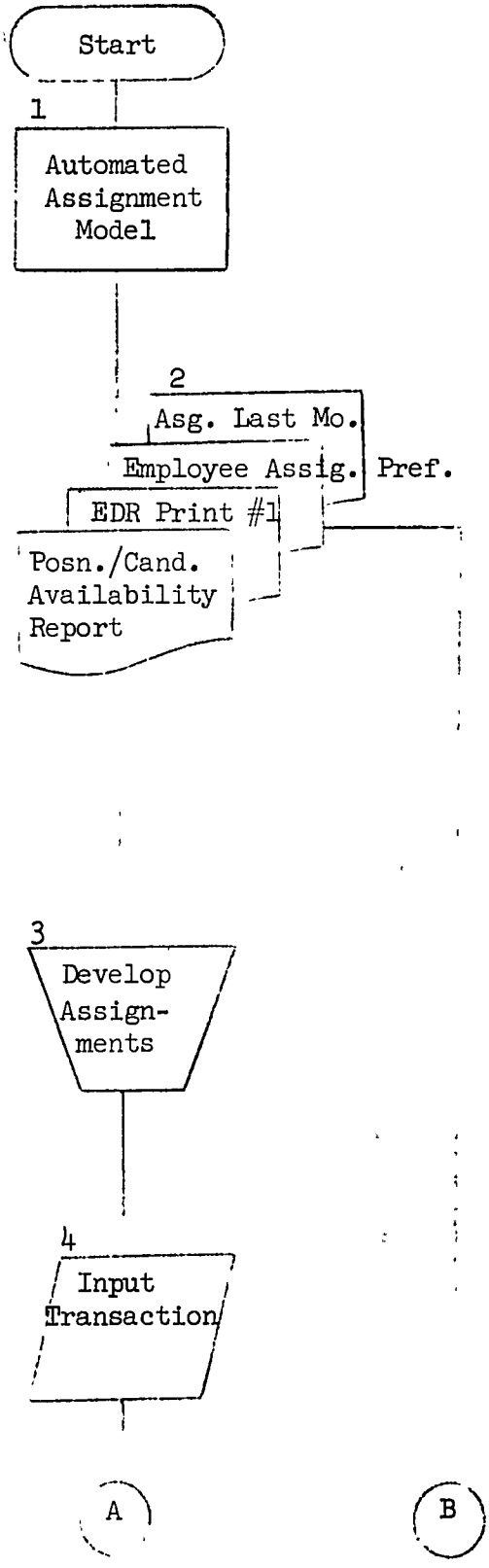
4. FSP/EU or CSP/EU will prepare file maintenance transaction to effect the assignment, and forward to PIC for entry into the next computer update cycle.

5. During the computer update cycle, appropriate files will be updated to reflect the assignment.

6. The computer will also output an SF-50 effecting the assignment.

Appendix B-5-2

ASSIGNMENT OF OTHER THAN EXECUTIVE EMPLOYEES



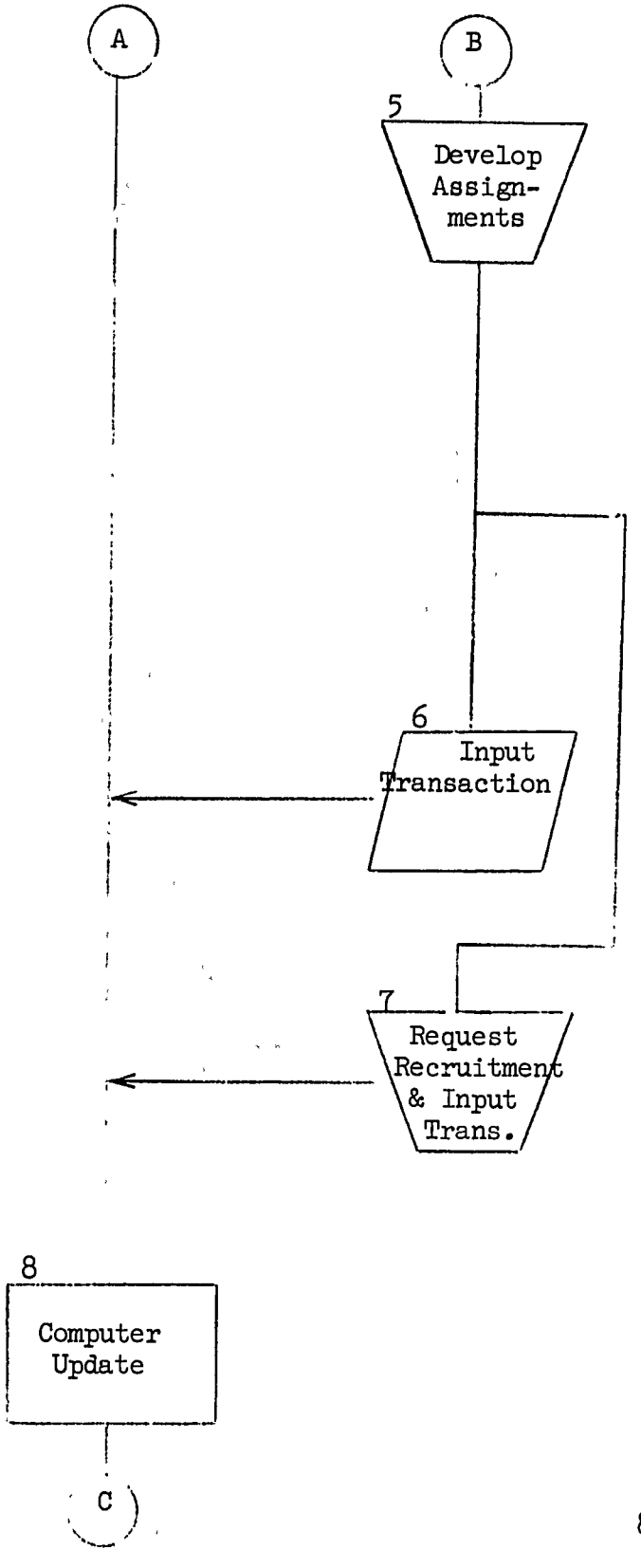
1. The automated assignment model will normally be executed by the computer on a monthly basis.

2. It will produce a list of positions due to become vacant and employees to become available for assignment 8 to 10 months in the future, and an EDR Print #1 for each employee on the list. It will also produce a list of positions and employees for which assignments have not been made in the 1 to 7 month timeframe. In addition, it will produce a list of all assignments made during the preceding month. Reports will be by occupational group, and be furnished to the Placement Officer responsible for that occupational group.

3. Using Position/Candidate Avail. Report and EDR Prints, the Placement Officer will develop recommended assignments, and refer them to the regional area specialist for concurrence. If to an oversea position, host country clearance is obtained.

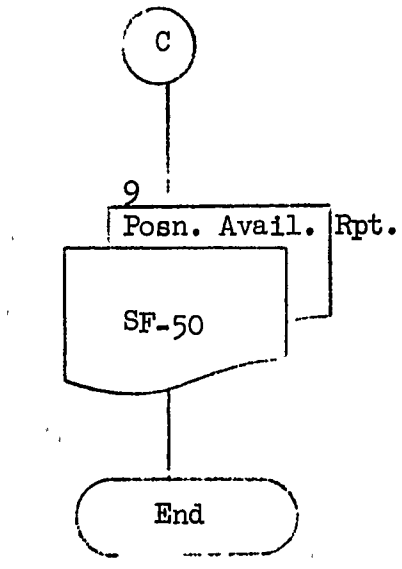
4. Upon determination of assignment, Placement Officer prepares file maintenance transaction to effect assignment, and forwards to PIC for entry into next computer update cycle.

Appendix B-5-2, Assignment of Other Than Executive Employees (Continued)



5. The Position/Employee Avail. Report will include positions and employees available in the one to seven month time frame. Those considered under 3 above but on whom input transactions under 4 above have not been entered will be repeated on this list. It will also include all positions and employees which became available for assignment action and had not been previously listed on the Position/Candidate Availability Report. The Placement Officer will continue efforts started in 3 above, or initiate assignment development for newly listed positions and/or employees.
6. When assignment is developed, Placement Officer prepares file maintenance transaction to effect assignment and forwards to PIC for entry into next computer update cycle.
7. If a potential vacancy exists for which no qualified employee is available or expected, the Placement Officer will request PO/CS to furnish candidates. NOTE: If an employee exists for whom no position is available or expected, a determination is made by the Placement Officer as to the appropriate disposition, e.g., assign to complement, separate if FS, or initiate possible RIF.
8. Computer executes update cycle, updating all files.

Appendix B-5-2, Assignment of Other than Executive Employees (Continued)



9. The computer will prepare an SF-50 effecting the assignment provided the effective date is not more than five months in the future; if more than five months, the computer will suspend and prepare when the five months occurs. The computer will also during the next run of the assignment model prepare a Positions Available Report listing all unfilled positions.

Appendix B-5-3

FUNCTIONAL ACTIVITY: ASSIGNING RESPONSIBILITY: CSP/EU; FSP/EU

INPUTS	FROM
COAR	Employee/Bureau/Office
SF-52	CSP/PCM; FSP/PCM

OUTPUTS	TO
List of Execs. due for Assignments within six months	PM/ES
List of Exec. Positions due to be vacant within six months	PM/ES
Position/Candidate Availability Report	CSP/EU; FSP/EU
Positions Available Report	CSP/EU; FSP/EU
Assignments made last month	CSP/EU; FSP/EU
SF-50	Standard distribution
EDR Print	CSP/EU; FSP/EU
Assignment Preference Report	CSP/EU; FSP/EU

Appendix B-6

EVALUATING SUBSYSTEM

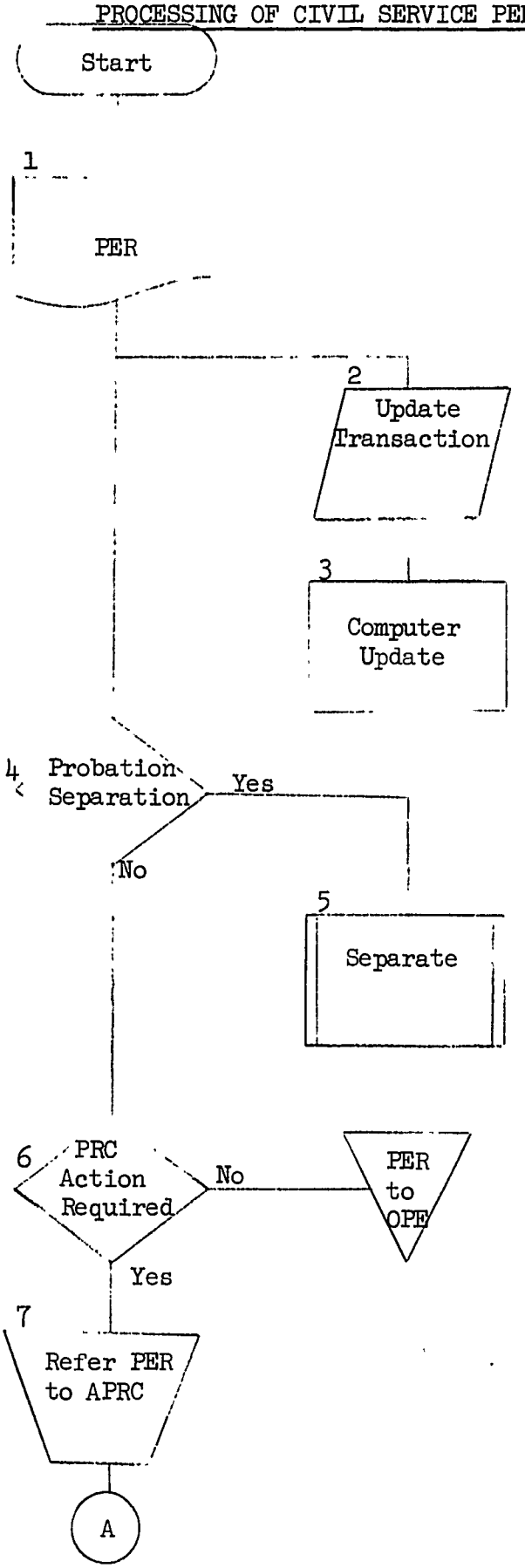
The flowcharts for the Evaluating Subsystem consist of two separate flowcharts as shown on subsequent pages. They are listed below for ease of reference.

Processing of Civil Service PER's.....Appendix B-6-1
Processing of Foreign Service PER's.....Appendix B-6-2

The input/output chart for the Evaluating Subsystem is Appendix B-6-3.

Appendix B-6-1

PROCESSING OF CIVIL SERVICE PERFORMANCE EVALUATION REPORTS



1. PER completed by employing office and forwarded to Personnel Information Center (PM/PIC).

2. PIC prepares file maintenance transaction to enter following data elements:
   a. Type of report
   b. From date
   c. To date
   d. Date PER received in A/PM
   e. Adjectival rating

3. PIC forwards transactions to A/DSM for entry into computer during next update cycle.

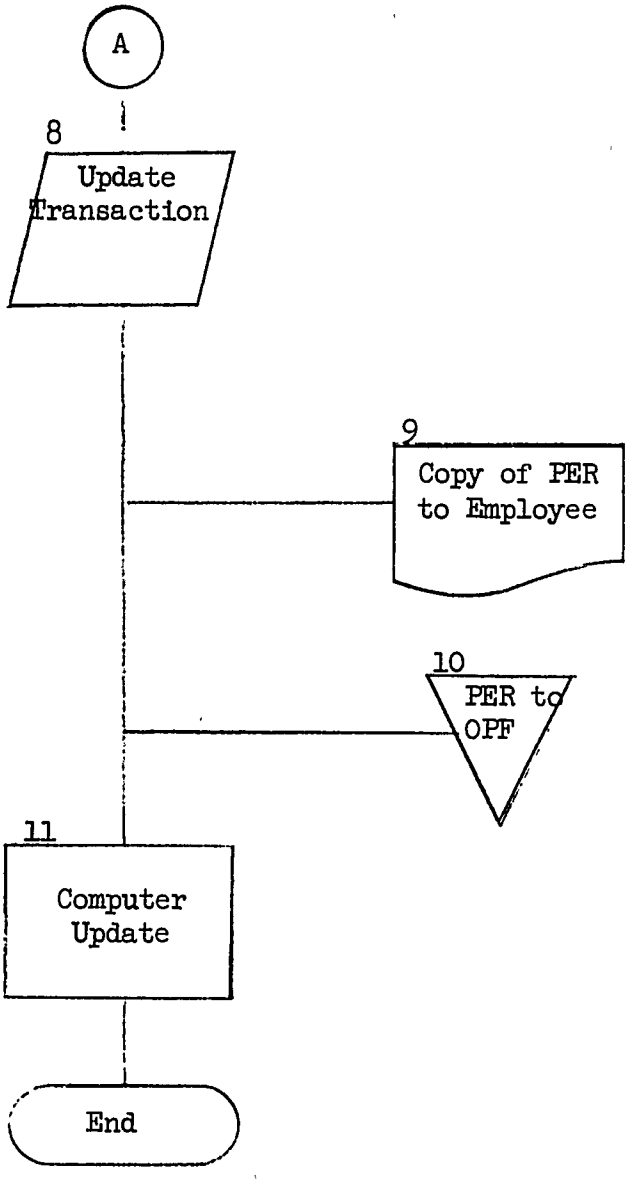
4. If PER is a probationary report and employing office has recommended that employee be separated, PIC forwards PER and attached papers to CSP/EU.

5. CSP/EU takes separation action under M.O. 474.4.

6. PIC determines whether action by the AID Performance Rating Committee is required.
   a. If not, forwards PER to file in Official Personnel Folder.
   b. If so, forwards PER to CSP/EU for action by AID Performance Rating Committee.

7. CSP/EU refers PER to Performance Rating Committee, and furnishes administrative assistance to the Committee.

Appendix B-6-1, Processing of CS PER's (Continued)



8. Upon completion of action by the Committee, CSP/EU prepares file maintenance transaction reflecting action by the Committee, and forwards to PIC.

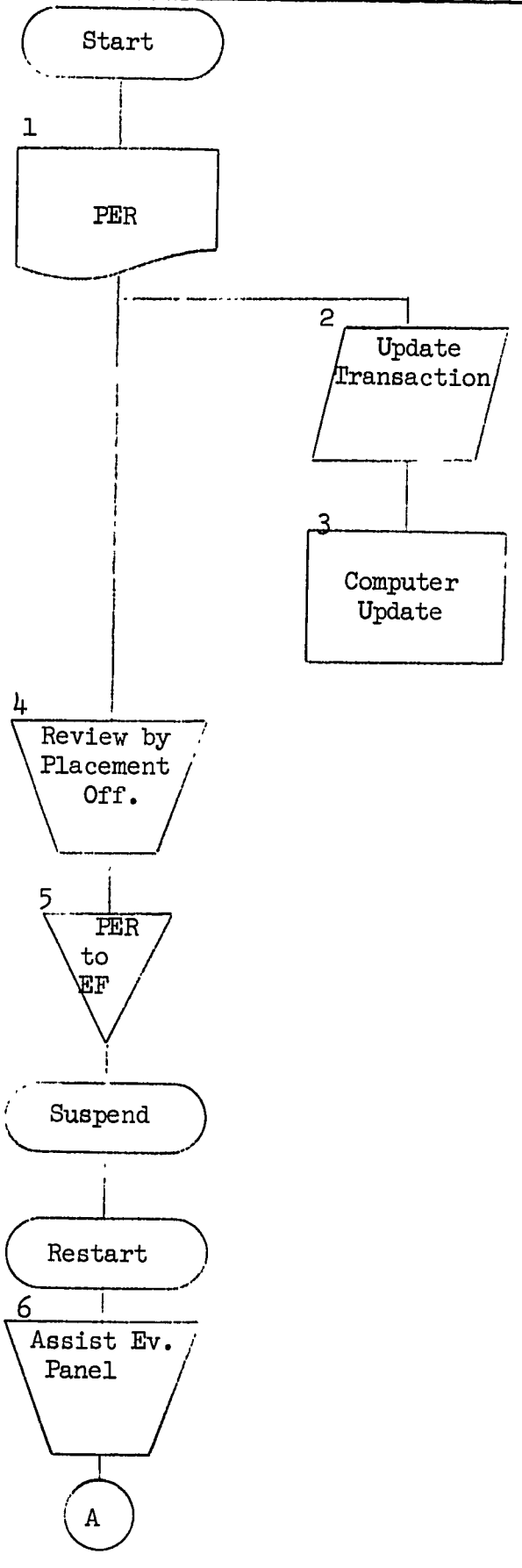
9. CSP/EU forwards copy of PER to the employee through the employing office.

10. CSP/EU forwards PER to PIC for file in Official Personnel Folder.

11. PIC forwards transaction to A/DSM for entry into computer during next update cycle.

Appendix B-6-2

PROCESSING OF FOREIGN SERVICE PERSONNEL EVALUATION REPORTS



1. PER completed by employing office and forwarded to Personnel Information Center (PM/PIC).

2. PIC prepares file maintenance transaction to enter data elements as follows:
   a. Type of report
   b. From date
   c. To date
   d. Date PER received in A/PM

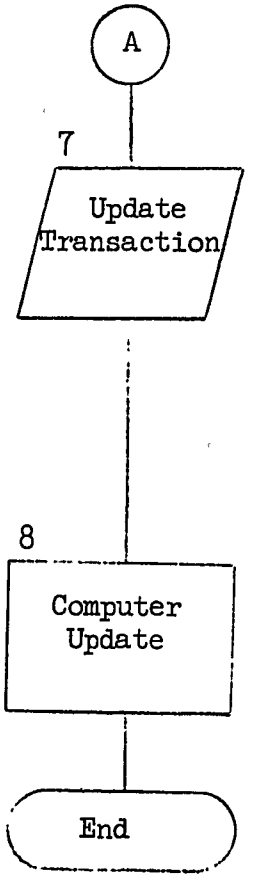
3. PIC forwards transaction to A/DSM for entry into computer during next update cycle.

4. PIC forwards PER to FSP/EU for review by Placement Officer.

5. Upon completion of review, FSP/EU forwards PER for file in Evaluation Folder.

6. Upon convening of FS Evaluation Panels, FSP/EV assists Panels in accordance with current directives, including furnishing rosters and computer-prepared form AID 4-153.

Appendix B-6-2, Processing of FS PER's (Continued)



7. Upon completion of action by FS Evaluation Panel, FSP/EV prepares file maintenance transaction based on form AID 4-153 and the rank-order list to enter data elements below, and forwards transaction to PIC.
   a. Rank order
   b. Recommended for promotion but not promoted, if applicable.

8. PIC forwards transaction to A/DSM for entry into the computer during next update cycle.

Appendix B-6-3

FUNCTIONAL ACTIVITY: EVALUATING RESPONSIBILITY: CSP/EU; FSP/EV

INPUTS	FROM
Employee Data Record Print - EDR	PM/PIC
EDR Print with Changes	Employee
Performance Evaluation Reports - PER	Employing Office
Development Appraisal Reports - DAR	Employing Office
FS Evaluations by Career Pattern	PM/PIC
Skeleton FS Evaluation Card, 4-153	PM/PIC

OUTPUTS	TO
Roster of Civil Service Eval. due	Employing Office
Roster of Foreign Service Eval. due	Employing Office
Employee Transaction Forms	PM/PIC
FS Personnel Eval. Card - 4-153	Employing Office and Training Branch
Status of CS Evaluations due	PO/CSP
Status of FS Evaluations due	PO/FSP
Employee Data Record Print	Employee

Appendix B-7

CLASSIFYING AND COMPENSATING SUBSYSTEM

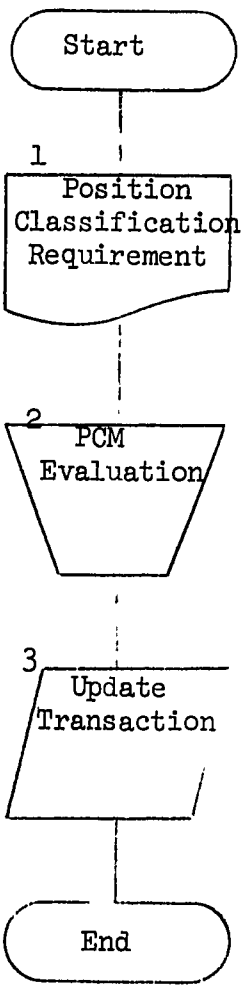
The flowcharts for the Classifying and Compensating Subsystem consist of two separate flowcharts as shown on subsequent pages. They are listed below for ease of reference.

Position Classification.....Appendix B-7-1
Step Increases.....Appendix B-7-2

The input/output chart for the Classifying and Compensating Subsystem is Appendix B-7-3.

Appendix B-7-1

CLASSIFYING AND COMPENSATING - POSITION CLASSIFICATION



1. Several documents require position classification action. They include:

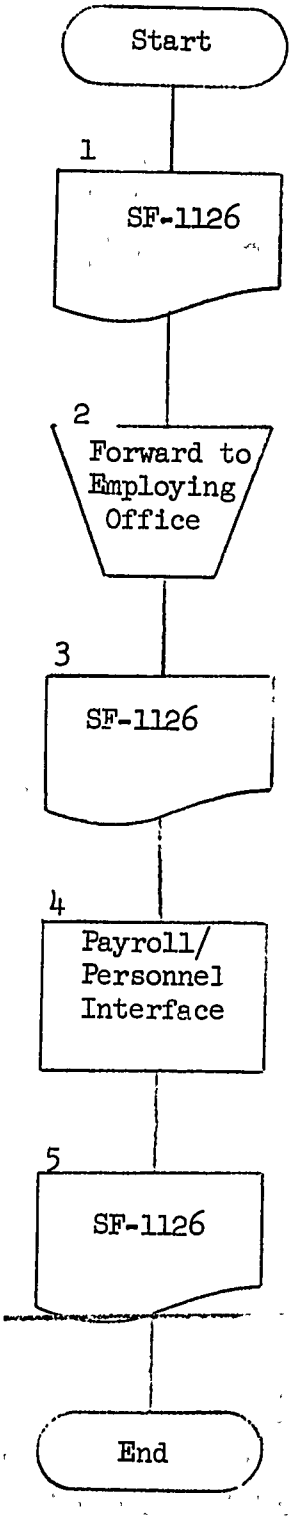
   a. Position description
   b. SPAR
   c. SF-52 to establish or change a position

2. Document is reviewed by Position & Classification Management Branch of CSP or FSP, as applicable, in accordance with governing directives.

3. Based on results of evaluation, PCM prepares file maintenance transaction to update Position Data File as appropriate, and forwards to PIC for entry into next computer update cycle.

Appendix B-7-2

CLASSIFYING AND COMPENSATING - STEP INCREASES



1. During the monthly suspense process the computer prepares a skeleton SF-1126 reflecting identity of the employee and date eligible for step increase three months before eligibility.

2. PM/PIC forwards SF-1126 to employing office.

3. Employing office complies with M. O. 432.5, forwarding completed SF-1126 to A/CONT indicating whether step increase to be awarded.

4. Upon entry of step increase into payroll system, interface from payroll system updates personnel system automated records.

5. During monthly suspense process, if SF-1126 previously output under 1 above and three months have expired since last output, new skeleton SF-1126 is output and cycle is repeated from 2 above, if step increase has not yet been awarded.

Appendix B-7-3

FUNCTIONAL ACTIVITY: COMPENSATING RESPONSIBILITY: CSP/PCM, FSP/PCM

INPUTS	FROM
Position Descriptions - PD	Employing Office
SPAR	Employing Office
Position Review Form	CSP/PCM, FSP/PCM
Authorized Positions - AID-3-203	A/DSM/MGT
SF-52	Employing Office
Organization Charts	A/DSM/MGT
Quality/Merit Pay Increase - AID 4-404, SF-1126	Employing Office
Pay Increase Record	Payroll System

OUTPUTS	TO
Employees Due for Step Increase	Employing Office
Notification of Basic Pay Change 1126	Employing Office; Employee
Occupation Series Breakout	CSP/PCM; FSP/PCM
Staffing Pattern	CSP/PCM; FSP/PCM

Appendix B-8

PROMOTING SUBSYSTEM

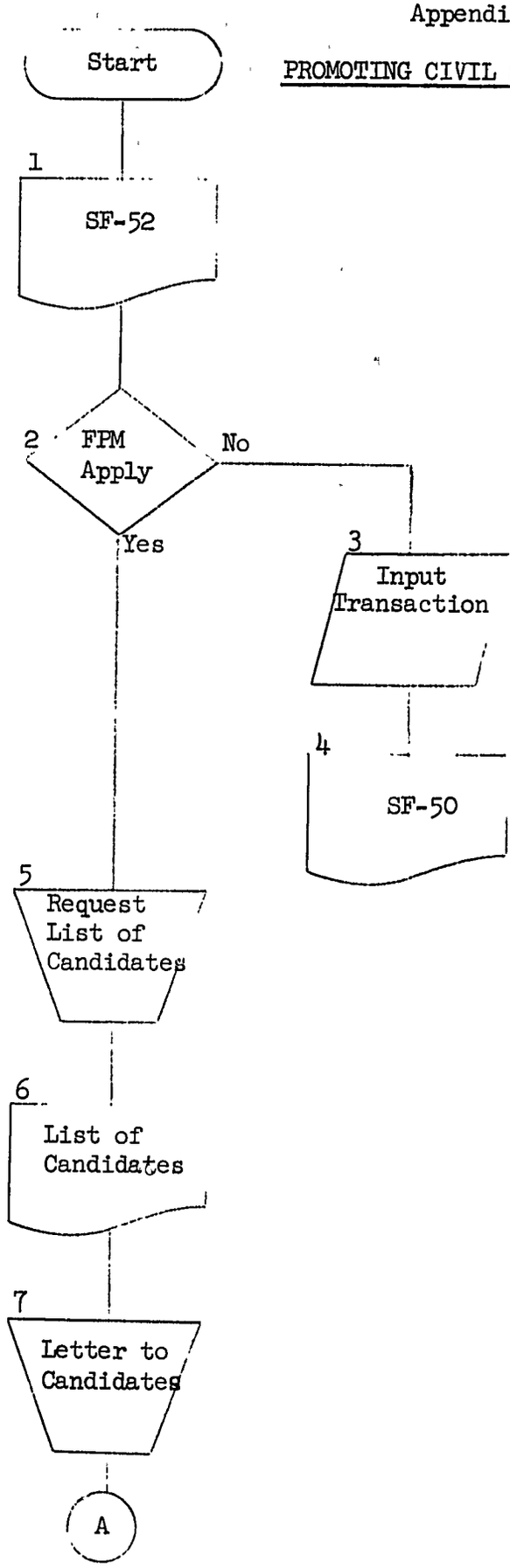
The flowcharts for the Promoting Subsystem consist of two separate flowcharts as shown on subsequent pages. They are listed below for ease of reference.

Promoting Civil Service Employees.....Appendix B-8-1
Promoting Foreign Service Employees.....Appendix B-8-2

The input/output chart for the Promoting Subsystem is Appendix B-8-3.

Appendix B-8-1

PROMOTING CIVIL SERVICE EMPLOYEES



1. Request to establish a new position, fill vacancy, or effect a promotion is prepared on SF-52 by the employing office and forwarded to CSP/EU.

2. CSP/EU determines whether the provisions of the Federal Personnel Manual pertaining to competitive selection applies.

3. If not, CSP/EU prepares file maintenance transaction to effect promotion, and forwards to PIC for input to computer update cycle.

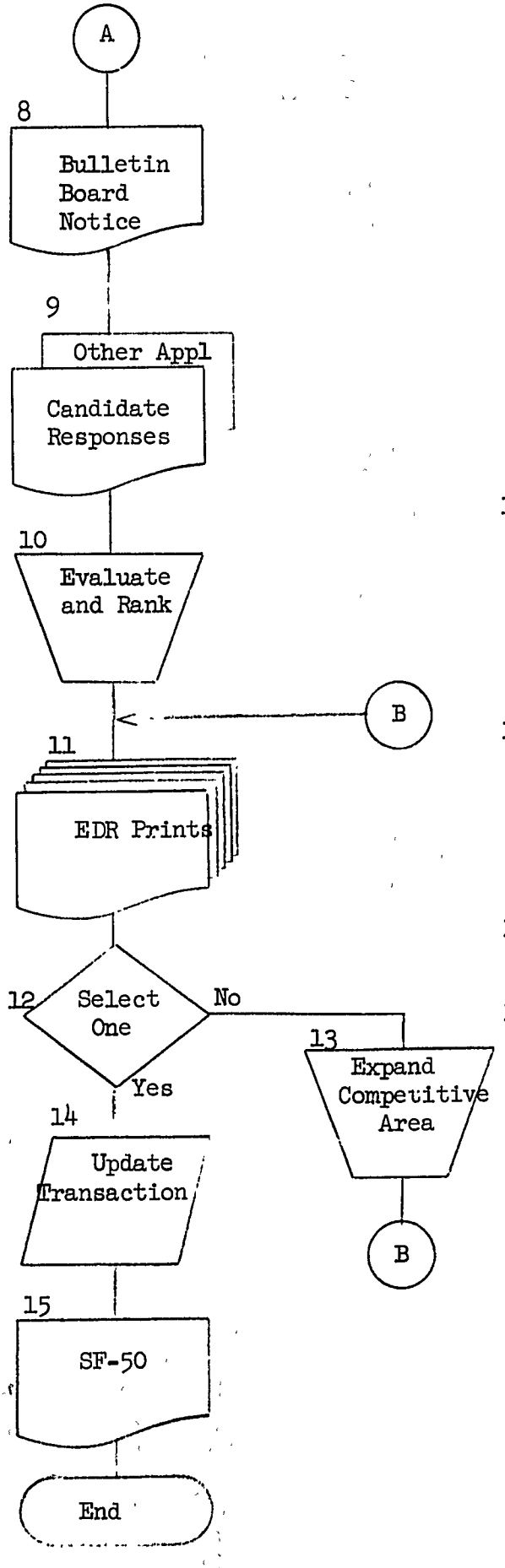
4. Computer prepares appropriate SF-50 effecting the promotion and updating computer files.

5. If competitive provisions of FPM applies, CSP/EU forwards request for list of candidates to PO/CS.

6. PO/CS obtains computer-prepared list of candidates and furnishes to CSP/EU. Also furnishes EDR Print on each employee listed.

7. CSP/EU prepares letter to each employee on list of candidates advising that they are being considered and inviting them to indicate whether or not interested.

Appendix B-8-1, Promoting Civil Service Employees (Continued)



8. CSP/EU also publishes notice of vacancy for posting on bulletin boards, etc.

9. CSP/EU receives responses from candidates on the list and applications from others based on bulletin board notices.

10. CSP/EU furnishes data to and administratively supports CS Merit Promotion Board which evaluates and ranks applicants. If Board is not used, CSP/EU will evaluate and rank.

11. CSP/EU furnishes to employing office the EDR Prints on the five top-ranked applicants. If less than three available, CSP/EU obtains additional nominees as required.

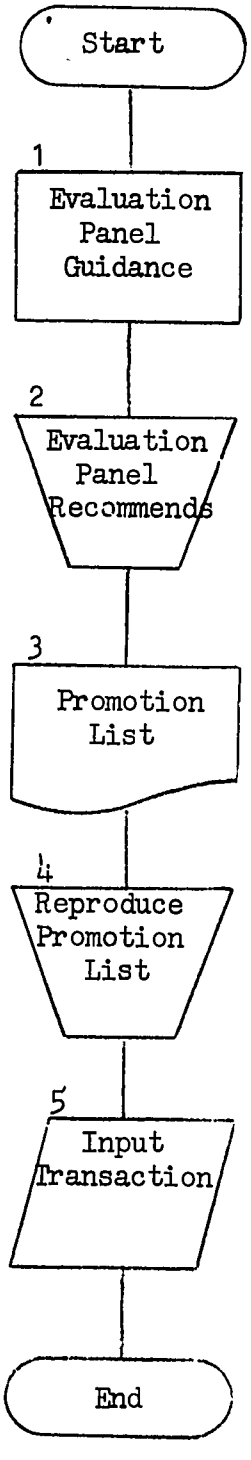
12. Employing office selects applicant.

13. If none selected, employing office advises CSP/EU, and competitive area is extended. System reentered at 11 above.

14. If nominee selected, CSP/EU prepares file maintenance transaction to effect the promotion.

15. Computer prepares SF-50 effecting promotion and updates computer files.

Appendix B-8-2
PROMOTING FOREIGN SERVICE EMPLOYEES



1. A/PM furnishes guidance to FS Evaluation Panels as to numbers who may be promoted, based on Planning Subsystem and budgetary restrictions.

2. Based on guidance received and evaluation of PERs and DARs, Evaluation Panel scores and rank-orders employees, and makes promotion recommendations.

3. FSP/EV prepares promotion list based on guidance and Evaluation Panel recommendations, and forwards to A/PM for signature.

4. After signature by A/PM, FSP/EV reproduces promotion list and makes distribution to interested offices and the employee. Also copy for Official Personnel Folder in lieu of SF-50.

5. FSP/EV prepares file maintenance transaction and forwards to PIC for input to next computer update cycle, changing computer files to reflect the promotion.

NOTE: Secretaries FSS-9 & 10 are promoted unless poor performance is indicated. If so, they are separated.

Appendix B-8-3

FUNCTIONAL ACTIVITY: PROMOTING RESPONSIBILITY: CSP/EU; FSP/EV

INPUTS	FROM
SF-52	Employing Office
Employee Data Record - EDR	PM/PIC
Federal Personnel Manual	Civil Service Commission
PER Rank Order List	FSP/EV
Employee Letter of Interest	Employee
Request for Promotion List	CSP/EU
Roster of CS Personnel Eligible for Promotion	PM/PIC

OUTPUTS	TO
SF-50	Standard Distribution
Merit Promotion Candidates	PM/PIC
Foreign Service Promotion List	A/PM
Temporary Promotion Notices	Employing Office
Employee Notifications	Employee; Employing Office

Appendix B-9

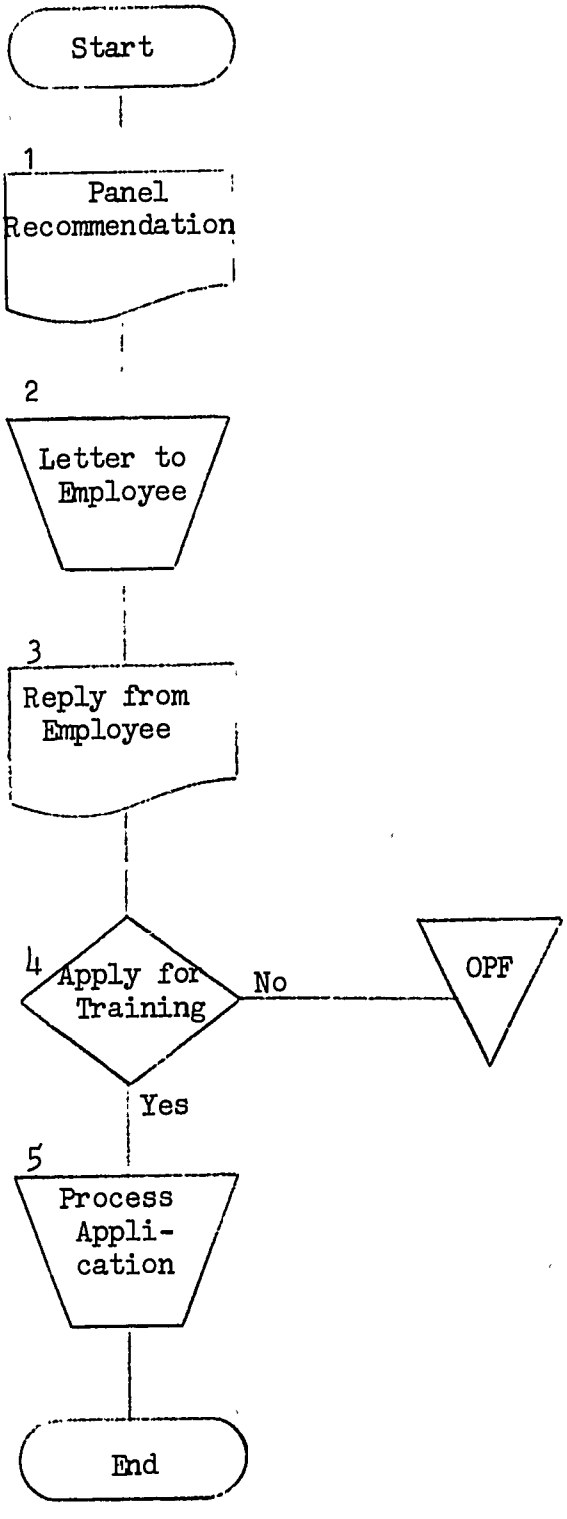
TRAINING SUBSYSTEM

The flowchart for training recommendations from panels is Appendix B-9-1.

The input/output chart for the Training Subsystem is Appendix B-9-2.

Appendix B-9-1

TRAINING RECOMMENDATIONS FROM PANELS



NOTE: This is the only special flowchart for the Training Subsystem. See paragraph 3-7-6 for other applicable flowcharts.

1. Placement officer receives recommendation from FS Evaluation Panel or CS Merit Promotion Board that employee receive certain training.

2. Placement officer prepares and dispatches form letter to the employee inviting formal application for training.

3. Placement officer receives reply from the employee.

4. If employee declined to apply for training, Placement officer forwards employee's reply to PIC for file in Official Personnel folder.

5. If employee submitted application, placement officer forwards to Training Branch for processing in accordance with existing procedures.

Appendix B-9-2

FUNCTIONAL ACTIVITY: TRAINING RESPONSIBILITY: CD/TR

INPUTS	FROM
Training Requirements Projection	PM/PL
Employee Data Record Print - EDR	PM/PIC
Employee Application for Training	Employee
Report of Training Completion	Training Activity
Report of Language Aptitude Test	Testing Activity
Report of Language Proficiency Test	Testing Activity
Language Report	PM/PIC
FS Recommended for Training by FS Evaluation Panels	FSP/EV
Nonscheduled Special Reports	PM/PIC
Career Patterns	CD/CP

OUTPUTS	TO
Employee Transaction Forms	PM/PIC
Training Received Language Proficiency Language MLAT	
Form Letter to Employee Recommended for Training	Employee

Appendix B-10

SEPARATING SUBSYSTEM

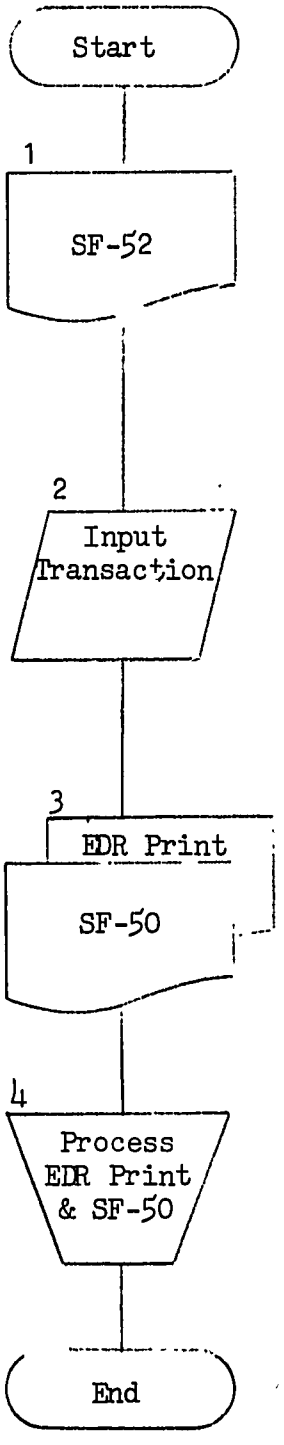
The flowcharts for the Separating Subsystem consist of two separate flowcharts as shown on subsequent pages. They are listed below for ease of reference.

Other than Time-Limited Appointments.....Appendix B-10-1
Time-Limited Appointments.....Appendix B-10-2

The input/output chart for the Separating Subsystem is Appendix B-10-3.

Appendix B-10-1

SEPARATION - OTHER THAN TIME-LIMITED APPOINTMENTS



1. For all separations other than termination of time-limited appointments, an SF-52 is normally prepared and forwarded to the servicing personnel office. (If action is initiated in the personnel office and SF-52 is not required, proceed to 2 below.)

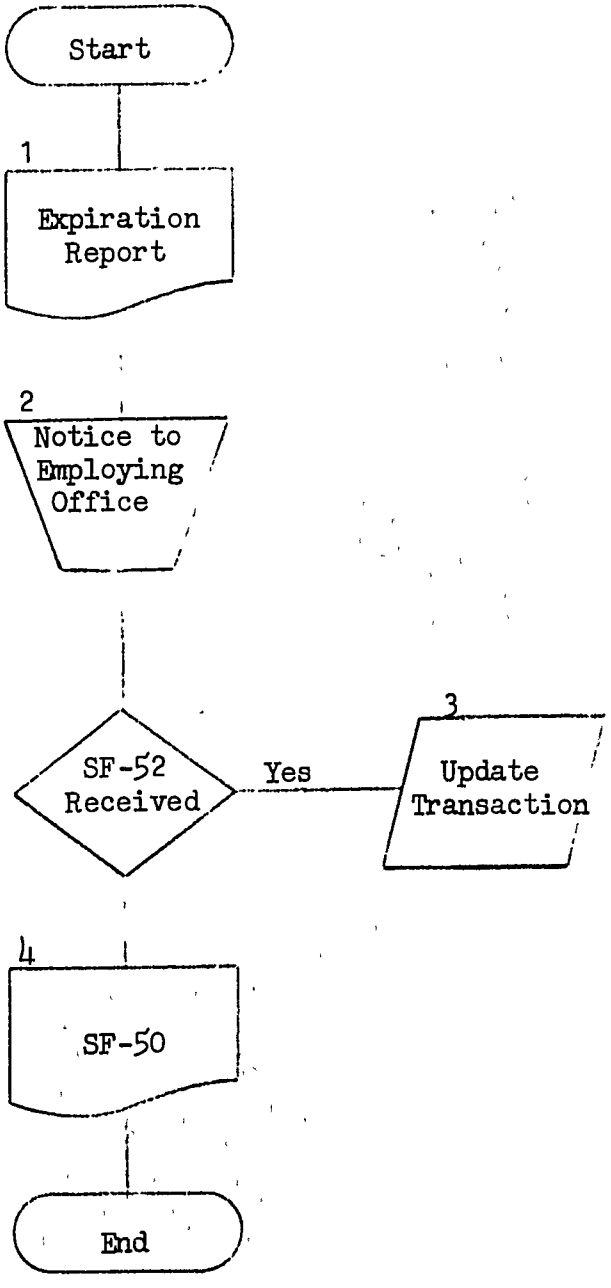
2. CSP/EU or FSP/EU, as applicable, prepares file maintenance transaction to effect separation, and forwards to PIC for entry by A/DSM into the computer update cycle.

3. On the date indicated in the transaction, the computer will prepare an SF-50 effecting the separation, and an EDR Print of the employee's automated record.

4. SF-50 will be processed in accordance with existing manual procedures, and EDR Print will be placed in the employee's Official Personnel Folder prior to its disposition.

NOTE: RIF is not included in the above. The entire RIF procedure could be automated as a separate self-enclosed system. Given the number of employees to be reduced and selection areas, the computer could select out those below specifications. This would involve building a RIF model.

Appendix B-10-2
SEPARATING - TIME-LIMITED APPOINTMENTS



1. As a part of the monthly suspense process, the computer prepares a report of time-limited appointments due to expire during the third and first subsequent month.

2. Based on expiration report, PIC sends notice to employing office requiring an SF-52 to extend the terminal date of appointment or separate the employee.

3. If SF-52 extending terminal date is received from employing office, file maintenance transaction will be prepared changing terminal date.

4. If SF-52 not received and current terminal date has not been changed per 3 above, computer will prepare SF-50 separating employee on current terminal date.

Appendix B-10-3

FUNCTIONAL ACTIVITY: SEPARATING RESPONSIBILITY: CSP/EU; FSP/EU

INPUT	FROM
SF-52	Employing Office
Roster of RIF Employees	CSP/EU; FSP/EU
Roster of Time Limited Appointment	CSP/EU; FSP/EU
Employee Transaction Forms	PM/PIC

OUTPUTS	TO
Notice to Employee (Separation)	Employing Office
EDR - Print	PIC/F

Appendix B-11

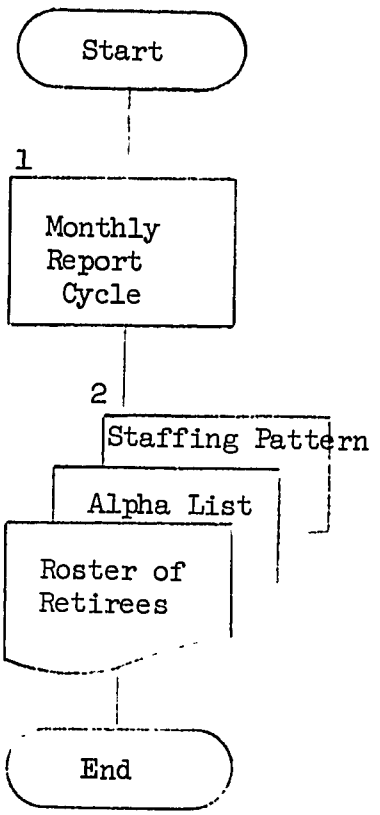
SERVICING SUBSYSTEM

The flowchart for the Servicing Subsystem is Appendix B-11-1.

The input/output chart for the Servicing Subsystem is Appendix B-11-2.

Appendix B-11-1

SERVICING SUBSYSTEM



1. Monthly reports are prepared by the computer on dates prescribed.

2. Employee-Management Relations Branch receives roster of employees who retired during preceding month, and distribution copies of the Alphabetic List and the Staffing Pattern.

Appendix B-11-2

FUNCTIONAL ACTIVITY: SERVICING RESPONSIBILITY: PO/EMP

INPUTS	FROM
Alphabetical Employee Listing	PM/PIC
Roster of Personnel Retiring	PM/PIC
Staffing Pattern	PM/PIC
Service Awards Report	PM/PIC

Appendix B-12

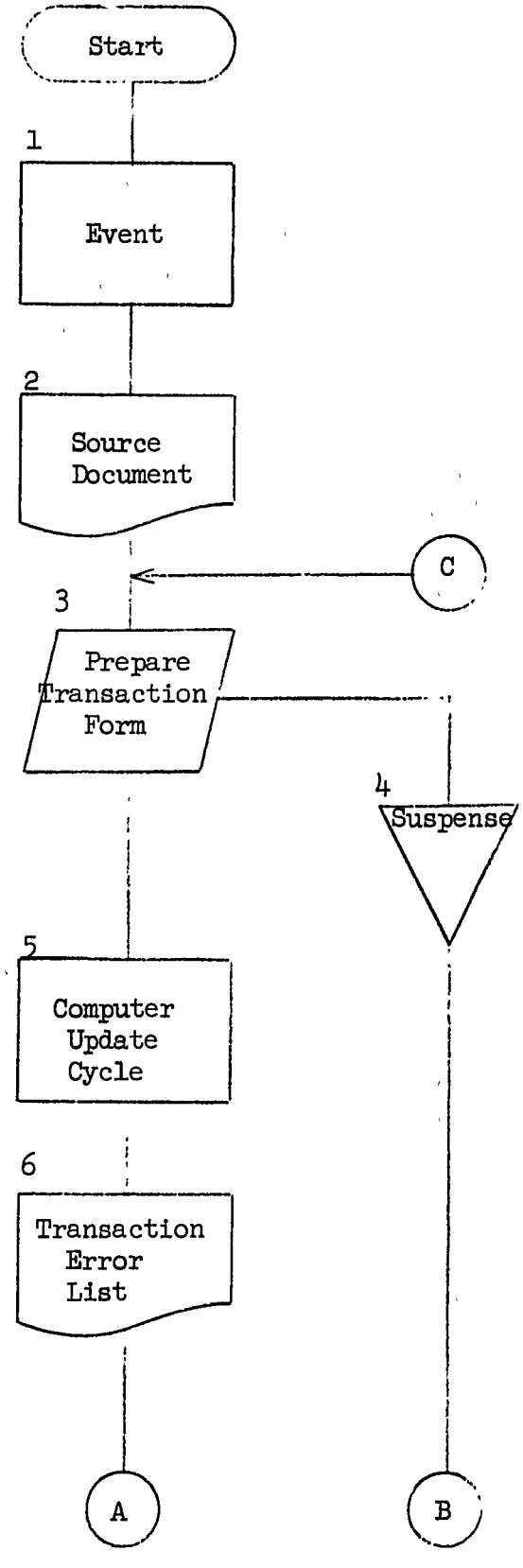
FILE MAINTENANCE

The flowchart for File Maintenance is Appendix B-12-1.

The input/output chart for File Maintenance is Appendix B-12-2.

Appendix B-12-1

FILE MAINTENANCE TRANSACTIONS



1. An event occurs which will require that an automated record be updated. Example: an employee takes a language proficiency test, or is selected for promotion.

2. A source document is created as a result of, or to initiate, the event. Examples: report of language test, or SF-52.

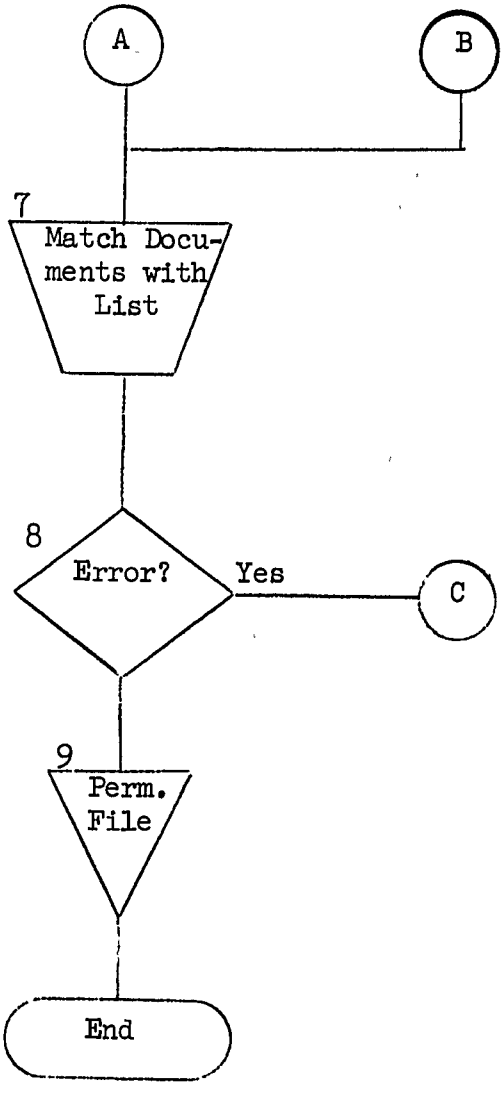
3. The responsible personnel office prepares a Transaction Form to enter new or changed data into the computer, and forwards to PIC.

4. The responsible personnel office places source document in suspense folder.

5. PIC reviews Transaction Form and enters the transactions into the system.

6. Transactions rejected by the computer due to failure to meet edit criteria will be printed on the Transaction Error List, which is forwarded from PIC to the originating personnel office.

Appendix B-12-1, File Maintenance Transactions (Continued)



7. Upon receipt of Transaction Error List, the originating personnel office removes the source document from the suspense file to find the documents on which the erroneous transactions were based.

8. For those transactions on which there were errors, the flow is reentered at Step 3 by preparing a new Transaction Form and resuspending the source document.

9. Source documents on which there were no errors will be sent to the appropriate permanent file. NOTE: If the transactions submitted by an originating personnel office on a specific day contained no errors, there would be no Transaction Error List. Therefore, if no Transaction Error List is received within three workdays after submission of the transactions it should be assumed that all transactions for that day were correct. The source documents would then be withdrawn from the suspense file and forwarded to permanent file.

Appendix B-12-2

FUNCTIONAL ACTIVITY: FILE MAINTENANCE RESPONSIBILITY: PM/PIC, PIC/F

INPUTS	FROM
Employee Transaction Forms	A/PM Branches
New Hires	
Updating Existing EDR	
Position Transaction Forms	
New Positions	
Updating Existing PDF	

OUTPUTS	TO
Transaction Forms	Originating Code
Transaction Error List	Originating Code

Annex C

LIST OF COMPUTER-PREPARED REPORTS

General

Computer-prepared reports are categorized in accordance with the following breakdown:

Scheduled Reports
- Externally required
- Internally required

Nonscheduled Reports
- Standard
- Special

Scheduled reports are those which are prepared at specified time based on calendar dates, such as weekly, monthly, semiannually, or annually. Externally required reports are those imposed by other agencies, such as the Civil Service Commission. Internally required reports are those for use within A.I.D.

Nonscheduled reports are those which are prepared without regard to calendar date and can either be produced automatically as a result of a computer update process or upon request of A/PM or another agency. Standard nonscheduled reports are those for which a computer program has already been prepared and is resident in the computer library, on-call when needed. Special nonscheduled reports are those which have not previously been programmed, and, thus, programs must be prepared before they can be produced. Nonscheduled reports are usually internally required; however, they can also meet external requirements.

Below are listed the scheduled and the standard nonscheduled reports.

Scheduled Externally Required Reports

1. Whitten Amendment Report for Overseas Personnel
2. USAID Overseas Personnel Strength Report
3. USAID Personnel Strength Report
4. USAID Federal Civilian Employment Report
5. Manpower Utilization Report
6. Senate Committee on Government Operations Report on USAID Personnel Utilization

7. USAID P.L. 600 Consultant and Expert Utilization

8. Overseas U.A. and Foreign Nationals Employed by Other Agencies and USAID Contractors

9. Annual Wage and Salary Report

10. Distribution of Employees by Occupation Series, Pay Schedule, Pay Grade, Salary, and Location

11. Geographic Distribution of Federal Civilian Employment

12. Report on Status of Promotions of Women to Higher Level Positions

13. Monthly Report of Federal Civilian Employment (SF-113)

Scheduled Internally Required Reports

1. List of Executives Due for Assignments within Six Months

2. List of Executive Positions Due to be Vacant within Six Months

3. Position Candidate Availability Report

4. Positions Available Report

5. Roster of Civil Service Evaluations Due

6. Roster of Foreign Service Evaluations Due

7. Foreign Service Evaluations Due by Career Patterns

8. Foreign Service Personnel Evaluation Card

9. Annual Foreign Service Evaluation Roster

10. Roster of Time Limited Appointments

11. Alphabetical Employee List

12. Attrition Report by Grade and Occupation

13. Employee Service Awards Report
14. Staffing Pattern
15. Employees Due for Step Increase
16. Transaction Error List
17. Applicant Data Record Print (ADR)
18. Listing of Employees to be Purged - ADF
19. Candidate List for Merit Promotion
20. Reduction-in-Force Retention Registers
21. Listing of Retirees
22. Manpower Planning Projections Table 2-2.9 and 2-2.10
23. Occupational Series Breakout
24. Status of Evaluations Due (Counts) For CS & FS
25. Personnel Activity Status Report
26. Complement Status Report
27. Personnel Action Report
28. Productivity Report
29. COAR
30. Personnel Event Report
31. Language Proficiency Report
32. Monthly Attrition Report
33. Assignment Preference Report

<u>Nonscheduled Standard Reports</u>

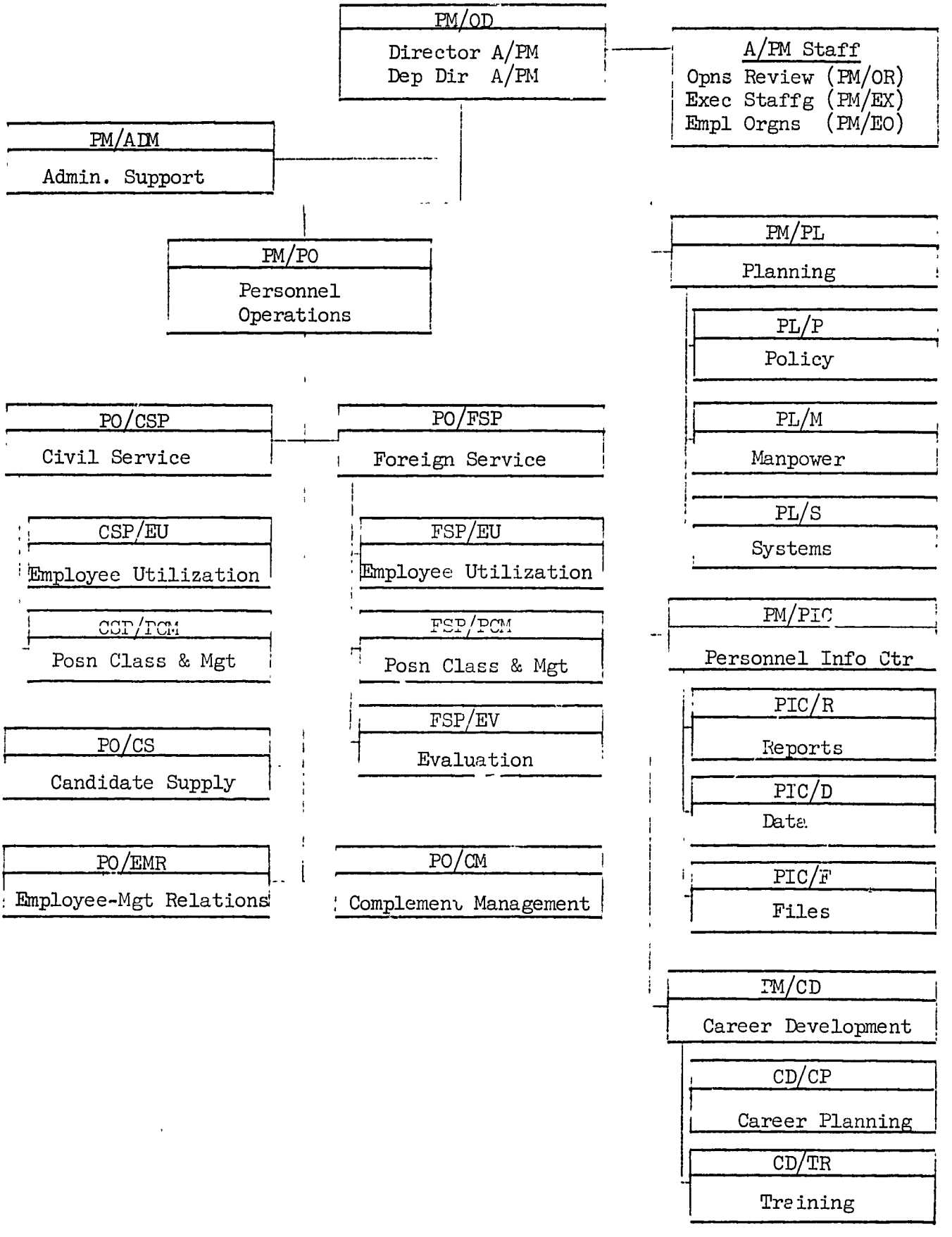
1. Employee Data Record (EDR) Print
2. SF-50
3. SF-1126

Annex D

ORGANIZATION SYMBOLS

The symbols shown below have been used to identify organization segments within A/PM. An organizational chart reflecting these symbols is shown at Appendix D-1.

PM/OD	Director and Deputy Director, A/PM
PM/ADM	Administrative Support
PM/OR	Operations Review
PM/ES	Executive Staffing
PM/EO	Employee Organizations
PM/PL	Planning
PL/P	Policy Branch
PL/M	Manpower Branch
PL/S	Systems Branch
PM/PO	Personnel Operations
PO/CSP	Civil Service Branch
CSP/EU	Employee Utilization Section
CSP/PCM	Position Classification & Management Section
PO/FSP	Foreign Service Branch
FSP/EU	Employee Utilization Section
FSP/PCM	Position Classification & Management Section
FSP/EV	Evaluation Section
PO/CS	Candidate Supply Branch
PO/EMR	Employee-Management Relations Branch
PO/CM	Complement Management Branch
PM/CD	Career Development
CD/CP	Career Planning Branch
CD/TR	Training Branch
PM/PIC	Personnel Information Center
PIC/R	Reports Branch
PIC/D	Data Branch
PIC/F	Files Branch

Appendix D-1

OFFICE OF PERSONNEL AND MANPOWER