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PUBLIC PERSONNEL MANAGEMENT

BY

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To
my MOTHER and DOROTHY
whose help and inspiration
made this book possible

Preface

There are two worlds of thought vitally concerned with the field of public personnel management: one, the college or university; the other, the governmental jurisdiction. Each world is assisting in the evolution of the public service. Each is expending time, money, and energy to study, devise, and strengthen personnel policies and techniques. Each is making significant contributions to the improvement of personnel administration. Although the area of common knowledge within each world is increasing, there is still a large gap between their patterns of thinking and methodology. The objective of this book is to reduce this gap and thereby facilitate the development of personnel administration by focusing attention upon the field of public personnel management through the use of material derived from personal participation in both of these worlds.

Public Personnel Management deals with personnel administration in the executive branches of all levels of American government —federal, state, and local. The book describes the framework for personnel management, organization, functions, objectives, processes, procedures, and problems of administration and suggests solutions to such problems. With respect to the analysis of each facet of personnel management, the author seeks to combine both the "practical" approach of the practitioner and the "academic" approach of the educator.

Public Personnel Management aims to explain important aspects of personnel administration in government, our nation's largest and most essential enterprise. Current in thought, yet supplemented by an historical background, the book is intended as an aid to the administrator, a guide to the student, and an interpretation to the citizen.

If participants in the field of public personnel management consider and apply concepts contained in these chapters to their daily operations, it is the sincere belief of the author that the human element in public administration will become a more effective and cogent means for making realistic the American democratic ideal of self-government.

W. G. T.

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CHAPTER 1

Framework for Public Personnel Management

IMPORTANCE OF PUBLIC PERSONNEL MANAGEMENT

From the pyramids to the Pentagon, an era of five thousand years, man has formed organizations to attain his goals. The welding together of men and materials for purposeful accomplishment, regarded as the process of management, has been the crux of man's achievement over the centuries. In this atomic age of civilization, the process is still the epitome of progress.

Personnel or the concept of people who work in an organization constitutes the cornerstone of management. Upon the effective administration of personnel depends the success or failure of every management undertaking. Administrative goals, policies, and plans fail of accomplishment when inadequate consideration is afforded the human aspects of organization. This condition is equally true in the public program as well as in private enterprise.

Public personnel management is concerned with the individuals who are employed by government to carry out its programs. As the term is used in this book, public personnel management encompasses civilian employees of the executive branches of all levels of government—federal, state, and local. As America proceeds in the last half of the twentieth century, public personnel management is a tremendously vital area for study, reflection, and action. This vitality arises not only because of the large number of persons directly engaged in government employment but also because of the essentiality of their efforts as our nation meets foreign challenges to our national survival.

Today, American government—federal, state, and local—is the nation's largest employer. Approximately 6,800,000 persons are now employed in a full-time civilian capacity by American government. This figure represents an increase of slightly more than two

million over the past decade. Approximately one-third of the current number are federal employees, one-sixth are state employees, and the remainder are employed by local government (that is, city, county, town, and special district). The number of government employees represents approximately 10% of the gainfully employed individuals in America.

The importance of the work of government employees is a direct reflection of the importance of American government itself. From the cradle to the grave, within the continental limits of the United States as well as abroad, for rich and for poor, American government serves the people of the most powerful nation in the world. In carrying out its functions, the government requires countless types of talents and skills. An estimate of the variety of abilities needed by American government may be obtained by considering a finding of the Commission on Organization of the Executive Branch of the Government (popularly known as the Hoover Commission) that the personnel skills in the federal government alone number over 15,000 or two-thirds as many as the requirements of all of private industry. The inability of government to attract, develop, and retain a sufficient number of qualified individuals as employees jeopardizes the efforts of government to provide specific service to the people.[1]

Responsibilities for Public Personnel Management

In any jurisdiction or unit of government (for example, a city, a county, a state, etc.), personnel management may be considered a resultant of the interrelationships of four sectors of government organization. These sectors are the legislature, the chief executive, certain central staff or service agencies, and line or operating agencies of the unit.

The *legislature* of a unit of government is fundamentally concerned with personnel management of the unit. The legislature enacts laws (including laws dealing specifically with personnel) which constitute the legal structure under which all the agencies of the jurisdiction operate. For example, a classification plan which establishes a method for evaluating positions of a unit may be the handiwork of legislative action. The legislature proposes, and may

[1] See, as an example of this difficulty, Torpey, William G., "The Critical Shortage of Scientific and Technical Personnel," *Personnel Administration*, March 1951, pp. 31–34, and comment thereon in *Congressional Record*, June 11, 1951, p. A3580.

make effective, constitutional amendments concerning personnel matters. Thus, veteran preference has occasionally been established through the process of constitutional amendment.

Through the work of its committees, the legislature may inquire into various phases of personnel administration in one or more agencies of a jurisdiction. Legislative committee hearings may be of an investigative nature, focusing official attention upon certain personnel conditions or abuses; or hearings may be conducted to ascertain viewpoints on proposed personnel legislation. Through its power of appropriation, the legislature is in a commanding position to determine broad personnel policy and procedure. One rather common legislative practice is to give or withhold public money for specific projects, depending upon the legislature's regard for personnel practices involved. The legislature also ratifies appointments of key administrative officials who are recommended for such positions by the chief executive. Thus, the legislature may share in the appointment of line agency heads, of civil service commissioners, of budget officials, and of others whose work vitally affects personnel management in the unit.

The *chief executive* of a unit of government, whether he is a president, governor, mayor, or other official, plays a leading role in the personnel management of the jurisdiction. He recommends to the legislature specific legislation dealing with personnel affairs. Either on his own initiative or upon request, he advises the legislature on personnel policy and plans. He signs or vetoes measures which have passed the legislative body and which establish personnel programs and procedures.

The chief executive also determines major personnel policy in his own right. A constitution, a charter, or laws and ordinances usually give him authority to formulate and promulgate personnel policy. He may do so formally through an executive order or proclamation or informally by letter, memorandum, or other means. Furthermore, the chief executive is often authorized to make exceptions to general personnel regulations specified in law; when he decides upon such an exception, he establishes a pattern of personnel action.

By selecting key administrative personnel for positions in the executive branch of a governmental unit, the chief executive is performing personnel management duties. He generally appoints (subject to approval of the legislature) heads of agencies and other

key personnel in the jurisdiction who themselves exert direct influence over personnel administration of the unit. Thus, through the appointment of members of a civil service commission, the chief executive may exert continuous influence in the central staff personnel agency of the jurisdiction. Through his power of removal, which the chief executive normally possesses as a concomitant of his power to appoint, he can exercise influence over personnel management practices of subordinates of his appointees.

The chief executive is often authorized by law to determine particular personnel practices to be followed in a jurisdiction. Hence, legislation dealing with pay of public employees may authorize or direct the chief executive to promulgate, within stated limitations, salary schedules. Furthermore, the chief executive may be empowered to establish a specific personnel program, such as a performance rating plan, for employees of the unit. The chief executive may also determine individual personnel actions. For example, the chief executive may permit an employee to continue in active duty after the employee has reached the general retirement age for employment in the jurisdiction. In units where the spoils system prevails, the chief executive, as a leader in his political party, may make or approve general or specific personnel practices followed in the unit.

Certain *central staff agencies* in a jurisdiction play an important role in personnel management. Among the duties of a budget officer may be that of advising the chief executive of the governmental unit on certain personnel matters, such as on the question whether particular types of positions in an agency should be exempt from regular personnel rules. A budget officer reviews estimates and recommends a budget for agencies of the jurisdiction and, in so doing, gives careful attention to expenditures for personnel services; the amount of money recommended may very definitely influence both the quantity and quality of subsequent personnel services. Through budget analysis, a budget officer may recommend transfer, reassignment, consolidation, or elimination of administrative functions which may have a profound effect upon the personnel management of the jurisdiction. A budget officer may review executive orders, prior to their issuance by the chief executive, and, in connection with such review, advise the chief executive on the content of the orders which may deal with personnel problems. A budget officer

may also recommend organization and methods which in themselves are reflected in personnel management.

The central staff personnel agency of a unit, often designated as the civil service commission, is responsible for the general administration of specific functions of personnel managament. The authority delegated to central staff personnel agencies varies significantly. Furthermore, even though a particular central staff personnel agency may be authorized to perform certain duties, the agency may not be engaged in all authorized operations because of lack of funds, inertia of key personnel, etc. Nevertheless, a central staff personnel agency of a governmental unit usually is responsible for making general personnel policy pursuant to delegated authority; for issuing basic personnel rules for the unit; for recruiting and examining applicants for positions within the unit; for certifying eligible candidates for consideration of agencies; for conducting personnel research; for recommending to the chief executive and to the legislature changes in civil service policy and law; for establishing certain personnel procedures; for ascertaining compliance with personnel laws, rules, and regulations on the part of line agencies; and, in general, for providing personnel leadership to line agencies in the jurisdiction.

The relationship of officials of central staff personnel agencies toward the chief executive of the jurisdiction and his department heads has undergone a change since the inception of central staff personnel agencies. A "policing" relationship prevailed, generally, to approximately 1940; since that time, in individual jurisdictions, a "service" relationship has developed. At present the trend toward the "service" relationship is being accelerated.

Under the "policing" relationship, initially characteristic of central staff personnel agencies, officials of these agencies regarded themselves as virtually the sole defenders of honesty and "good government." They often considered the chief executive and his department heads as spoilsmen, ready to tear down the civil service system at the first opportunity. Believers in the "policing" approach tended to place a narrow construction on their delegated authority, and their main objective seemed to be to "keep the rascals out." Line officials who themselves were not products of the civil service system were often regarded as persons to be distrusted.

Under the "service" relationship, officials of central staff personnel agencies have come to recognize the responsibility which the

chief executive and his department heads have for public personnel management. The central staff agency officials have sought to exercise their personnel authority as a means to attain legitimate ends determined by the chief executive and his department heads. Genuine assistance to line management has become the goal. Under the "service" approach, the chief executive and his department heads are presumed to be as anxious for "good government" as officials of central staff personnel agencies are. Public personnel management is thus conceived to be a task calling for mutual respect and coordinated effort of line and staff.

Actually, public personnel management cannot be regarded in a vacuum; it is in truth but one aspect of the broader area of public administration. As the scope and complexity of functions of government increase, the importance of effective public personnel management becomes a growing concern to the chief executive of a jurisdiction and his department heads. Viewed in this light, adoption of the "service" approach by officials of central staff personnel agencies becomes imperative.

In some instances, the central staff personnel function is consolidated with other staff functions such as budgeting, purchasing, etc., in one central staff agency. In determining whether the central staff personnel function is to be located in an independent central staff agency or established as a collateral operation among other staff functions in a unified larger staff agency, attention is given to (1) the total number of employees to be covered by the program of the central staff personnel organization, (2) the geographical distribution of these employees, (3) the variety of occupations represented by these employees, and (4) the scope of personnel functions. In smaller localities, the chief executive or his immediate administrative officer may be directly responsible for the central staff personnel function.

One method of enabling smaller units of government to enjoy personnel services of larger-scale organizations is to permit the smaller units to utilize personnel services offered by other jurisdictions. Hence, a central staff personnel agency of a larger jurisdiction may be permitted by law to render assistance to other jurisdictions. For example, a state civil service commission—as is the case in New York State—may assist local units in the carrying out of particular personnel functions. Another method is for a state civil service commission to perform certain personnel functions directly

for localities. This practice prevails in New Jersey, California, Minnesota, and Tennessee.

Other central staff agencies, such as a health department or a compensation board, exert a direct influence in personnel matters of the governmental unit. The influences of the budget office and the central staff personnel agency, however, are most significant.

Within the *line agency,* responsibility for personnel management rests inherently with the head of the agency. As a matter of practice, the head of the agency makes basic personnel policy for his agency, within specified limits, and delegates authority to carry on personnel management to the agency personnel office and first line supervisors.

As a staff office for the particular line agency, the personnel office constitutes a service function for management of the agency. The agency personnel office is generally responsible for providing, on a regular basis, specific personnel services to the agency. These services may run the gamut of personnel relationships which the management of an agency has with its employees. As a generalization, it may be stated that the personnel office of a line agency is concerned with the application of general personnel laws and rules to specific situations. In connection with the performance of its responsibilities, the personnel office in the line agency deals with the central staff personnel agency, other central staff agencies, and personnel offices of other line agencies of the unit. More frequent relationships are maintained, however, between the personnel office of the line agency and its daily customers seeking assistance, namely, first line supervisors of operating offices of the line agency and rank and file employees.

The first line supervisor is an indispensable part of personnel management in an agency because his responsibility embraces the translation into action of personnel programs, policies, and procedures established by other sectors of government, by the head of the agency, and by the agency personnel office. The first line supervisor is a primary recipient of service from the agency personnel office. Within general limitations imposed, the first line supervisor exercises daily control over his employees and is therefore in a position to wield tremendous influence in the total personnel program of an agency. Because of the nature of their roles, first line supervisors and the agency personnel office have interlocking responsibilities for personnel management in the agency.

Figuratively speaking, the area of personnel management within a line agency may be likened to an iceberg. Scientists relate that approximately 10% of an iceberg is visible to the naked eye; the other 90% is below the surface of the water but is nevertheless of great importance in giving direction to the iceberg. Similarly, it may be said that, in a line agency, the personnel office itself may be likened to the "visible" part, the 10%, of personnel management in the agency. Prime assistance in personnel management is given by the "90% influence," the first line supervisors, through their daily contacts with the rank and file employees.

Public Personnel Functions

The specific personnel functions performed in any one unit of government vary sharply.[2] This condition prevails at all levels of government as well as among units at the same level. Furthermore, where identical personnel functions are carried on within a unit of government, there may be no standard pattern for the delineation of personnel responsibility. The following chart presents a list of typical personnel functions and indicates a division of responsibility frequently found in public personnel administration. It must be remembered that no one jurisdiction necessarily engages in all such personnel functions but rather that, when such functions are performed, they normally are carried on in the manner indicated by the chart.

CENTRAL STAFF PERSONNEL AGENCY	AGENCY PERSONNEL OFFICE	AGENCY OPERATING OFFICES, USUALLY THROUGH FIRST LINE SUPERVISOR
	Recruitment	
Establishes basic rules and seeks applicants	Under delegated authority, may recruit	——
	Examination	
Establishes basic rules and conducts examinations	Under delegated authority, may examine	——
	Selection and Placement	
Establishes basic rules	Refers eligibles and may recommend individual placements	Makes selections and determines placement on the basis of specific assignment

[2] Couch, Virgil L., "The Scope of Personnel Activities in the Federal Service," *Personnel Administration,* January 1948, pp. 1–14; Donavan, J. J., "The Classification of Subject Matter Dealing with Public Personnel Administration," *Public Personnel Review,* January 1941, pp. 36–39; Hubbard, Henry F., "The Elements of a Comprehensive Personnel Program," *Public Personnel Review,* July 1940, pp. 1–17; Unsigned, "The Field of Personnel Administration," *Personnel Administration,* April 1945, pp. 16–18.

CENTRAL STAFF PERSONNEL AGENCY	AGENCY PERSONNEL OFFICE	AGENCY OPERATING OFFICES, USUALLY THROUGH FIRST LINE SUPERVISOR
	Position Classification	
Administers basic plan	Applies basic plan to individual position descriptions submitted by agency operating offices	Submits individual position descriptions
	Training	
May offer general consultative service to agency personnel office	Prepares training plans and offers specific consultative service to agency operating offices	Indicates training needs and utilizes consultative service extended
	Employee Services	
——	Establishes and administers program	Indicates needs for individual services and utilizes services extended
	Safety	
——	Establishes and administers program	Utilizes service extended
	Health	
——	May establish and administer program or may assist health office in doing so	Utilizes service extended
	Pay	
Administers basic plan	Applies basic plan to individual positions	——
	Compensation for Injury	
May administer basic plan (although plan may be administered by an independent agency or board)	Assists employee in presenting individual claim	——
	Hours of Work and Leave	
——	Applies basic plan in individual cases	May vary general working hours and approves or disapproves leave of individual employees
	Performance Rating	
Administers basic plan	Applies basic plan or assists independent board in doing so	Determines individual rating
	Promotions, Demotions, and Transfers	
Establishes basic rules	Applies basic rules to individual cases	Recommends individuals for such promotions, demotions, and transfer

CENTRAL STAFF PERSONNEL AGENCY	AGENCY PERSONNEL OFFICE	AGENCY OPERATING OFFICES, USUALLY THROUGH FIRST LINE SUPERVISOR
	Personnel Research	
May conduct personnel research	May conduct personnel research	——
	Grievance-handling	
May establish basic rules	Advises operating office with respect to application of basic rules to specific situation	Hears grievance and seeks to settle
	Disciplinary Offenses	
May establish basic rules	Advises operating office with respect to application of basic rules to specific situation	Holds hearing and makes initial determination
	Loyalty	
May administer basic program	Applies basic program to individual cases	——
	Awards and Beneficial Suggestions	
——	Administraters basic plan or assists independent board in doing so	Recommends individual cases
	Separation	
Establishes basic rules	Applies basic rules to individual cases	Determines individual separation
	Retirement	
Administers basic plan	Assists employee in presenting individual cases	——

Organization for Public Personnel Management

There are three main types of organization of a central staff personnel agency. These are the commission type, the director type, and the director-commission type.[3]

In the *commission* type of organization, the central staff personnel agency is headed by a commission composed usually of three or

[3] Pfiffner, John M., *Public Administration,* New York, 1946, ch. 15; Graves, W. Brooke, *Public Administration in a Democratic Society,* Boston, 1950, ch. 14; Marx, F. Morstein, *Elements of Public Administration,* New York, 1946, ch. 24; U. S. Bureau of the Budget, "Organization and Responsibility for Personnel Administration," *Personnel Administration,* May 1943, pp. 3–5; Olson, Emery E., "A Personnel Board in Action," *Public Personnel Review,* October 1946, pp. 200–208; Howard, L. V., "Maryland's Single-Commissioner Civil Service System," *Public Personnel Review,* April 1946, pp. 73–80.

five members. Appointments to the commission are made by the chief executive of the unit, with the approval of the legislature. The length of term of commissioners differs considerably: the normal period is from two to four years, but, in some instances, the length of term is indefinite. The law under which appointments are made often requires that, as a body, the commissioners be members of both major political parties. In smaller jurisdictions the appointment as commissioner may not be a full-time assignment, although in larger jurisdictions the position of commissioner is a full-time one. Often, a full-time personnel technician is executive secretary to the commission and has charge of the day-to-day administration of the commission's activities.

An advantage of the commission type of organization lies in the fact that a system of overlapping terms for commissioners promotes continuity of personnel policy. Since the commission is composed of a number of members, there is less opportunity for political influence to be exerted upon the central staff personnel agency, particularly when the commissioners belong to both major political parties. The commission type also has the advantage of permitting direct representation of interested groups (such as representatives of civic organizations, employee organizations, and business associations) on the commission. On the other hand, the personality or inclination of individual commissioners may be such that they may meddle in administrative matters concerning which they have no technical knowledge. Decision-making processes may be slowed down by the necessity of group consideration. Responsibility for the administration of a central staff personnel agency of the commission type may be so diffused as to invite buckpassing and inexcusable delay.

In the *director* type of organization, the central staff personnel agency is headed by a full-time personnel technician usually referred to as director of the agency. The director is appointed by the chief executive or by a high administrative officer, generally for an indefinite period. The director not only manages the staff of the central staff personnel agency but he also makes basic policy subject to higher authority within the jurisdiction.

An advantage of the director type of organization is that responsibility for action is placed in one official, namely, the director. Furthermore, unity of direction facilitates the decision-making process and eliminates delay. The chief executive with his general ad-

ministrative responsibility finds ready personnel support in a personnel agency whose head is appointed by him or by one of his top assistants. A disadvantage of the director type is the greater possibility of arbitrary action which may result from authority in the hands of a single official, in contrast to a group of officials, namely, the commission. A single head, as compared with a commisson, may more readily be influenced by partisan effiorts. Furthermore, under a single head, personnel policies of an agency are subject to greater fluctuation and change.

In the *director-commission* type of organization, a director and a commission share responsibility. The director who is appointed by the chief executive or by a high administrative officer is responsible for the technical work of the agency. The length of term of the commissioners in the director-commissioner type of organization differs, the average length being three years. The director, however, usually is given an indefinite appointment. The commission, in such cases, is a quasi-legislative or quasi-judicial board with primary duties concerned with rule-making, investigations, and the hearing of appeal cases. In some instances, the commission receives recommendations from the director regarding the adoption and modification of rules. From an investigative point of view, the commission may be concerned with the general effectiveness of the operations of the agency. With respect to appellate authority of the commission, an employee may usually appeal an adverse decision directly to the commission, without reference to the director.

The director-commission type of organization has the advantage of separating the functions of the central staff personnel agency in such a manner that values of group consideration, as contrasted with individual consideration, are preserved for quasi-legislative and quasi-judicial tasks while the value of unified responsibility is retained for technical administration. However, disagreements between the director and the commission may cause excessive delay and result, in practice, in a dual-headed central staff organization.

During the period of early growth of central staff personnel agencies, the commission type of organization prevailed. The basic reason for early emphasis upon the commission type was the desire to insulate the central staff personnel agency from the direct influence of the chief executive. It is not surprising, however, to note that, consistent with the concept of a "service" relationship between

the central staff personnel agency and the chief executive, a growing trend has been the adoption of the director type, particularly at the local level of government.

In a small line agency there may not be a separate personnel office. In most line agencies, however, there is an agency personnel office which is part of the staff structure of the agency. In contrast to a central staff personnel agency, a personnel office of a line agency has a single head, usually designated as the Personnel Officer, Personnel Director, or Industrial Relations Officer. In smaller line agencies, the personnel officer is responsible to the head of the agency; in larger line agencies, he is responsible to an administrative officer of the agency. In agencies covered by a civil service system, the personnel officer is appointed by the head of the agency or by an administrative officer after competitive examination. In such a case, as long as the personnel officer is performing his duties satisfactorily, he is not subject to removal except for specific cause. In agencies not covered by a civil service system, the appointment of the personnel officer falls wholly within the prerogative of the head of the agency who himself may wish to make selection or delegate such authority to a subordinate, with or without reference to fitness as determined by competitive examination and often subject to removal at any time.

There is no standard organization for the personnel office in a line agency. Survey reveals a wide variety of personnel organizations in line agencies, the primary determinant being the exact functions to be performed by the personnel office. A pattern frequently found in personnel offices consists of a placement branch, transactions branch, classification and wage branch, training branch, and employee relations branch. An increasing number of personnel offices have a safety branch and a research branch. The head of each branch is directly responsible to the personnel officer or, in the instance of larger personnel offices, to the personnel officer through a deputy or assistant personnel officer.

Tools of Public Personnel Management

There are certain "tools" of personnel management which are essential to the conduct of effective personnel operations. Such "tools" include a body of formal personnel rules, a personnel pro-

cedures manual, personnel forms, personnel records, and personnel jackets.[4]

In a jurisdiction, the purpose of *personnel rules* is to specify official behavior considered necessary to carry out a personnel program. The rules are actually an implementation of the basic personnel law in the jurisdiction and are prepared usually by the central staff personnel agency. Where there is no basic law, the rules may constitute the only written statement of the personnel program. In any event, personnel rules have the effect of law.

In formulating rules, consideration is given to the extent of authority delegated to the rule makers. Formal approval of personnel rules is usually given by the head of the executive branch of the jurisdiction. Key characteristics of effective rules are practicality, simplicity, and flexibility. For maximum use, rules are disseminated not only among agency officials but also among employees. Provision is generally made for issuing changes and for transmitting such changes to all interested persons.

A *personnel procedures manual* sets forth the steps to be followed in effecting individual personnel actions in a line agency. As a matter of fact, it often occurs that personnel procedures are most complex to persons whose responsibility includes initiating such procedures. The manual, therefore, becomes a device to assist personnel officials in rendering maximum service to line officials. A personnel procedures manual is normally prepared by the personnel office of a line agency.

Effective manuals feature diagrams, sample forms, and charts of processes. In terms of size, a personnel procedures manual may be a separate document or it may be a part of a larger volume containing other administrative procedures. Sometimes, the manual is cross-referenced to an employee handbook. The content of a personnel procedure manual may be finally determined by the head of the personnel office or the head of the line agency. A system of revision must be included in the scheme because of the desirability of modifying or adding personnel procedures.

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[4] Wilson, William J., "Analysis of Government Records: An Emerging Profession *Library Quarterly*, 1946, p. 1 ff; Chatfield, Helen L., "The Problem of Records from the Standpoint of Management," *American Archivist*, 1940, p. 97 ff; U. S. Department of Navy, *Personnel Reports to Top Management*, Washington, 1946; U. S. Civil Service Commission, *Federal Personnel Manual*, Washington, ch. R1; Bratton, Barbara L., "Putting Personnel Policies in Writing," *Public Management*, February 1946, pp. 42–45.

The extent of variation of the number and type of *personnel forms* at all levels and among all units of government is appreciable. Factors influencing the number and type utilized by a central staff personnel agency and the personnel office of a line agency include the scope of the personnel program, the number of personnel in the unit or agency, and the geographical distribution of the employees. The basic determinant of a personnel form is the need for the specific information contained on the form. The size of personnel forms differs widely. (See Fig. p. 388, Appendix.) Frequently, personnel forms are printed in contrasting colors for the purpose of easy identification.

Generally, the number and type of personnel forms are matters for decision by individual central staff personnel agencies and personnel offices of line agencies. To avoid duplication of personnel forms, local administrative clearance for the printing of new or modified forms may be required. There is a tendency to continue the use of certain personnel forms even though the need for specific data no longer exists. Agencies and offices, therefore, must provide a periodic review of all personnel forms in use to determine current utility.

Since the arrangement of facts and figures in some usable form constitutes the backbone of intelligent personnel action, the maintenance of adequate *personnel records* becomes a matter of significance in personnel administration. The objective of a records program is to have current accurate data available for ready use. Personnel record systems are not uniform. This condition applies to central staff personnel agencies as well as to agency personnel offices. The basic personnel record is usually a service record card. (See Fig. p. 389, Appendix.) A service record card—filled out for each employee—contains personal data and provides space for entries of summaries of each personnel action affecting the employee. The service record card may be filed alphabetically or organizationally. When the service record card is maintained organizationally, an index file, often consisting of a single typewritten strip for each individual employee, serves as a locator file to determine the location of the employee within the agency.

In addition to the service record card, personnel offices have a variety of records, depending to a large extent upon the exact personnel functions carried on and the geographical location of component parts of the personnel office. Hence a separate part of a

record system may be devoted to classification operations, or to a reduction-in-force program, or to a promotion plan, or to employee skills.[5] The trend, however, is to centralize as much information as possible on the service record card in order that it may become the basic personnel record for personnel management. It is an easy task to duplicate the collection of information obtained in personnel processes and also to maintain record systems having useless information. Care is taken, therefore, to appraise the record system from time to time in order to ascertain that sufficient useful data are collected and maintained, while duplication of such data is prevented.

The *personnel jacket* (or personnel folder) contains personnel data sheets and copies of all personnel actions relating to an employee. It is set up and retained in the personnel office but is available for use by any official who has legitimate need for the jacket. Under one arrangement for maintaining personnel jackets, the practice is to file on the right side of the jacket permanent papers affecting the employee's status and service and to file on the left side papers of temporary value such as miscellaneous correspondence. In such an arrangement, the temporary papers are removed when the employee is separated.

Division of personnel responsibility, scope of personnel functions, organization for personnel management, and tools of personnel management are four essential factors for an understanding of the framework of public personnel management. However, there is another factor which must be given careful attention in any realistic appraisal. This fifth aspect for consideration is the human relations approach to personnel management.

Human Relations Approach

In public personnel management there is an increasing acceptance of the human relations approach to personnel administration. The human relations approach refers to the practice of applying psychological principles of group behavior to employees in a work environment. This approach stresses an understanding of attitudes of employees toward their fellow employees and toward the organization in which they work and emphasizes an understanding of be-

[5] For an illustration of such use for evaluating employee skills, see Torpey, William G., "Analysis of Skills During Administrative Reconversion," *Personnel Administration,* May 1946, pp. 15–16.

havior patterns of persons working together in an organization. Consideration for human relations means regard for the employees as members of a group and the relationships which develop among individuals in a work situation. During the past decade much attention has been given to the human relations approach in many government jurisdictions. The trend has been accelerated as awareness of the vital role of human relations in effective management has increased.[6]

Basic to such approach is recognition of the psychological fact that there are individual differences among employees. Individual differences of employees are due to heredity and environment. Each person inherits certain features, such as mental equipment upon which his ability to learn depends; he also has inherent urges, such as for food and for drink. Through experience his inherited features and urges become supplemented and modified. Since the interactions of heredity and environment may vary in each case, the net result is a person possessing individual differences. Psychologically, then, regardless of the fact that ten or a hundred or a thousand employees are performing identical or similar duties in an agency, each employee is a distinctive individual.

A work environment places restrictions upon the innate tendencies of employees. In connection with performing the duties of his position, an employee must adjust himself. Making these adaptations or adjustments may be a comparatively easy task, but it also may be a very complex process for the individual. Thus, in work situations problems of human behavior arise because of the necessity for adjustment and readjustment by an employee to an intricate environment. Adjustment is facilitated through continuous learning on the part of the employee. The learning process may be elementary and involve simple conditioning or it may be more intricate and require conceptual thinking. Regardless of the amount of learning demanded for proper adjustment, the result is some degree of limitation upon the individual proclivities of an employee.

The adjustment of employees results in certain patterns of attitudes and of behavior with respect to the work situation. Analysis of the impact of formal demands of an agency upon the thoughts

[6] Roethlisberger, F. J., and W. J. Dickson, *Management and the Worker,* Cambridge, 1947; Gardner, Burleigh B., and David G. Moore, *Human Relations in Industry,* Chicago, 1950; Hoslett, Schyler, *Human Factors in Management,* New York, 1951; Olmstead, George, "What Is Human Relations?," *Public Management,* November 1951, pp. 242-244.

and actions of employees is necessary to understand fully these attitudes and behavior patterns. Reference is made to incentive and stress as illustrations of factors for consideration in the application of human relations principles to public personnel management.

A prerequisite to satisfactory learning is incentive. Incentive may be considered as a desire on the part of an individual to want to make a proper adjustment to a work situation. There is a direct relationship between the amount of incentive and the rate of learning. When it is realized that the employee is continually engaged in the formation and reformation of habits, the incentive factor can be more fully appreciated. Employees have a variety of incentives, among the most prevalent being regularity of work, satisfactory working conditions, respectable working associates, adequate pay, opportunity to learn a skill, suitable hours, prestige, and intrinsic interest in a position. The management of people, therefore, must include consideration, on the part of supervisors, of the incentive of employees.

When incentive is lacking, a work environment may be characterized by job dissatisfaction. Job dissatisfaction refers to the negative attitude employees have toward their employment. Although the sources of job dissatisfaction are numerous, job dissatisfaction may be attributable either to causes basically related to the job or to causes basically unrelated to the job. Chief among causes basically related to the job are the nature of the duties to be performed, agency policies, and ineffective supervision.

With respect to some positions, the duties to be performed are very repetitive. For some employees, continual performance of the same duties over a period of time leads to boredom, loss of interest, and stifling of initiative. For example, in view of the repetitive nature of the duties, an elevator operator may derive little pleasure from job performance. Realization that such a position may be a dead-end job contributes to further dissatisfaction.

Agency rules may result in job dissatisfaction. Agency orders may exploit employees or incorporate unfair administrative procedures. For example, supervisors may be permitted to drink coffee or tea at their desks while employees who work for the supervisors may be denied the privilege. Particularly when the agency rule is promulgated by a new administrator without reference to agency custom may dissatisfaction become acute.

Ineffective supervision is a powerful factor leading to job dissatisfaction. Supervisors are often chosen solely because of their tech-

nical competence or, in some jurisdictions through party politics. There is no significant correlation between technical proficiency and the ability to deal with individuals, with the result that persons holding supervisory positions often do not know how to handle subordinates properly. The technical expert with his emphasis on reason and logic often fails as a supervisor to give due consideration to the emotional makeup of his subordinates. His mismanagement often produces a resentment in him which, in turn, strains the relationships between him and his subordinates.

Chief among the causes of job dissatisfaction basically unrelated to the job are worry, emotional maladjustment, and emotional immaturity.

Worry is a key deterrent to job satisfaction. Worry on the part of an employee may spring from job inefficiency or from personal problems such as finances, health, home, etc. Preoccupied with worry, the employee often finds it impossible to concentrate on his official duties. He may report for duty on time, he may appear to be busily engaged in his work, but his job in reality may be dull and uninteresting because worrying about a personal problem is foremost in his mind.

An employee may be emotionally maladjusted because of some circumstance or situation previously occurring in his background. For example, an employee may have been the recipient of personal abuse from someone in authority at some time prior to his present assignment. Thus conditioned, the employee may carry a grudge toward all persons in authority. A single incident, however trivial, prompted by a supervisor of the employee, may be sufficient to produce intense hostility toward the supervisor, in some cases whether or not the present supervisor is in error. Job dissatisfaction usually results.

An employee may be emotionally immature. The employee may, by nature, be passive and dependent upon others. When he is given responsibility, he may fail and be disciplined. Therefore, he may become embittered toward his supervisor and lose all interest in his position.

In a work environment indices of dissatisfaction may be distinguished. Such evidence includes (1) excessive tardiness, (2) frequent personal conversations on the job, (3) an undue amount of wastage of material, (4) waste of time, (5) carelessness, (6) insubordination, (7) uncooperativeness with fellow employees and with super-

visors. In the human relations approach, effort is continuously made to recognize the existence of any such evidence, to investigate any such evidence for the purpose of evaluating its seriousness, and to establish means to overcome the faults and hence reduce or eliminate the dissatisfaction.

One of the potent psychological influences frequently affecting employees is known as stress. Stress often disturbs the employee, with the resultant poor workmanship, loss of time, etc. Stress may result from such factors as threats to health, discomfort from pain, loss of means of subsistence, threats to family, ridicule, and unpredictable behavior of supervisors. A supervisor may ignore the potential existence of stress among his employees or he may look for evidence of stress, evaluate its intensity, and seek to institute corrective measures. Appreciation of the potentiality of the stress factor is but one of the psychological aspects of the human relations concept.[7]

The sharp difference between the formal and informal organization of a government agency is recognized in the human relations approach.[8] The formal organization of an agency refers to the official relationships among the individuals employed in the agency and is illustrated by an organization chart and flow charts. From the formal point of view, employees are subordinate to certain other employees and all work toward the same objective, namely, the mission of the agency. However, individuals at work form personal relationships with other employees with whom they come in contact. These personal relationships, although they may have no bearing on the formal relationships, make up the informal organization of the agency. As a matter of fact, the resultant patterns of behavior and attitudes constitute a social system which management must recognize.

Commissioner James Pollock of the Hoover Commission underscored the human relations aspect of personnel management in his supplementary remarks in the Commission's volume on Personnel Management.[9] He stated: "Certainly the objectives of intelligent personnel management are to obtain competent employees, and, having them, to provide the climate which will be most conducive

[7] Leighton, Alexander H., *The Governing of Men,* Princeton, 1946, Part II.

[8] Simon, Herbert A., *et al., Public Administration,* New York, 1950.

[9] Commission on Organization of the Executive Branch of the Government, *Personnel Management,* Washington, 1949, pp. 50–52.

to superior performance, proper attitudes, and harmonious adjustments. This is a problem of human relations, requiring an understanding of human motivation. It is a problem of satisfying the needs of individuals within the context of agency needs." [10] Commissioner Pollock maintained that the instilling in an employee of a feeling of belonging to an organization was greatly neglected. He gave further impetus to the human relations approach when he explained that a personnel program must be concerned more with people than with procedures and that more attention must be paid to motivation, incentives and morale, than to refinements of personnel techniques.

Growing concern over the capacity of men to work together has resulted in scientific inquiry in human relations. The first notable research project in the human relations field was a study at the Hawthorne Works of the Western Electric Company in Chicago. At the outset of this inquiry in 1927 an evaluation of the relationship between conditions of work and incidence of fatigue and monotony seemed to be a comparatively simple task but the project grew in scope, method, and significance as early hypotheses proved incorrect or required modification. Eventually it was evident that factors such as improved lighting, shortened hours of work, rest periods, and wage incentives did not in themselves exert as great an influence upon employee efficiency as the attitude of employees. Furthermore, the concept of an industrial organization (such as the Hawthorne Plant) as a social system was set forth during the project. Data suggested that the behavior of any individual employee may be regarded as a result of "sentiment," which in turn is a product of social interaction within the industrial organization. Another pointed conclusion of the project (which extended over a fourteen-year period) was the fact that non-economic motives and interests of employees, as well as economic factors, are fundamental in employee behavior.[11]

Various conclusions of the Hawthorne experiment were reaffirmed in subsequent analyses of other research projects in human relations carried out by educational and research institutions, industry, and government. For example, subsequent recognition to

[10] *Ibid.*, pp. 50–51.

[11] Roethlisberger, F. J., and William J. Dickson, *Management and the Worker*, Cambridge, 1947.

certain Hawthorne principles was given in a study of teamwork and labor turnover in the aircraft industry of Southern California in 1943. The purpose of the aircraft industry study was to discover methods by which absenteeism and turnover might be decreased. Researchers conducting the study did not concern themselves solely with turnover or absenteeism as such; viewing such irregularities as but symptoms of the "state of health" of an organization, they analyzed administration of the industry. The researchers noted that, from previous studies, the desire of individuals for association in work with others is deep-seated. Data obtained in the aircraft industry study indicated that management, under the pressure of dire necessity, had moved aircraft employees and groups through loan and transfer to such an extent that the labor turnover within the plant was greater than from the plant. Granted that the desire for association in work is a normal feeling, the study concluded that, if repressed, this human feeling will find expression—as in fact it did—in accelerated absenteeism and turnover. The study is especially significant in its reflection upon the disturbances to the social system of the aircraft industry.[12]

Today increased attention is being given to basic research in human relations by the federal government, notably by the Department of Defense. The Research and Development Board of the Department has a Human Relations Committee which supervises a Human Relations Working Group. The Group studies research findings in human resources and evaluates the possible use of the results in policy formulation. The Department of the Army sponsors various human relations studies through contract with Johns Hopkins University. The Department of the Air Force has established a Human Resources Research Institute at the Air University, Maxwell Field, Alabama; numerous projects in human relations have been set up through the Institute. The Department of the Navy has pioneered in human relations research through the Human Relations and Morale Branch of the Office of Naval Research; this Branch sponsors basic research in human relations through contract with universities and research institutions. Although a motivating influence of the Department of Defense is the potential military application of the conclusions derived from such research,

[12] Mayo, Elton, and George Lombard, *Teamwork and Labor Turnover in the Aircraft Industry of Southern California,* Cambridge, 1944.

the results obtained are available and applicable to public personnel management at all levels of government.[13]

Several educational and research institutions are engaged in human relations basic research, many in collaboration with the federal government. The University of Minnesota, University of Illinois, Ohio State University, Columbia University, and Harvard University are among educational institutions publishing such findings during the past few years. Illustration of the relationship between the federal government and certain institutions in this area is made by reference to the University of Michigan.

At the Survey Research Center of the University of Michigan a long-range program of research in human relations was inaugurated in 1947 under a grant from the Office of Naval Research. The first stage in the program has been a series of exploratory studies, followed by experimental studies to evaluate the hypotheses established in the exploratory studies. Studies have been made of clerical workers in an insurance company, of supervisory and non-supervisory employees in a public utility, of section crews on a railroad, of union-management relations in the automobile industry, and of non-supervisory employees of a corporation manufacturing tractors. The main purpose of the insurance company study was to ascertain psychological factors related to group productivity.[14] Supervisory practices and employee attitudes were analyzed in relation to differences in productivity between employees engaged in similar duties. Results of the study, in summary form, revealed that

First line supervisors in high production work-groups differ from those in low production groups in that they:

1. Are under less close supervision from their own supervisors.
2. Place less direct emphasis upon production as the goal.
3. Encourage employee participation in the making of decisions.
4. Are more employee centered.
5. Spend more of their time in supervision and less in straight production work.
6. Have a greater confidence in their supervisory roles.
7. Feel that they know where they stand with the company.[15]

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[13] Guetzkow, Harold, ed., *Groups, Leadership and Men,* Pittsburgh, 1951.

[14] *Productivity, Supervision and Employee Morale . . .* A Report from the Survey Research Center of the University of Michigan, 1948.

[15] *Ibid.,* p. 3.

The study pointed out that, if factors such as self-determination, self-expression, and a sense of personal worth can be utilized, the individual performs more productively. One lesson from the study for careful consideration by supervisors is the desirability of identifying the employee with his job and with the work of the group. Studies of personnel of the public utility, railroad, automobile industry, and the tractor manufacturing company indicate other worth-while, practical considerations for supervisors and top management in their concern for group behavior and attitudes. Based upon the foregoing studies, a project has been set up by the Survey Research Center to utilize the findings in improving certain personnel practices in the Navy Department through analysis of job motivation, communication within an organization, job satisfaction and dissatisfaction, and supervisory relationships.[16]

There are, of course, many other phases to a psychological understanding of humans at work and other scientific inquiries at various stages of development. Management is unable to eliminate the inherent inabilities of employees, but, through continued research and application of human relations principles, it can recognize the basic psychological characteristics which prevail in group situations and evaluate these characteristics in connection with human endeavor. Concern for employees as people and their relations with other people at work goes far toward solving human problems in an organization and maintaining an equilibrium essential to effective personnel administration.[17]

The Merit System

The term "merit system" refers to the method of selection and retention of public employees on the basis of individual fitness or merit. Often the term "civil service" is used as a synonym for "merit system." However, these terms are not necessarily synonymous. The term "civil service" is sometimes used broadly to cover all of the civilian positions in government, in contrast to military

[16] See, for example, Katz, D., "The Attitude Survey Approach to Labor-Management Relations," *Publication No. 3 of the Industrial Relations Research Association 1949,* pp. 63–70; Mann, F. C., "Putting Human Relations Research Findings to Work," *Michigan Business Review,* 1950, pp. 16–20.

[17] McCormick, Charles P., *The Power of People,* New York, 1949; Thomason, C. C., *Human Relations in Action,* New York, 1947. For a description of a specific human relations program, see Torpey, William G., "The Golden Rule in Employee Relations," *Personnel Journal,* July–August 1951, pp. 102–105.

positions. As popularly used, "civil service" (or "civil service system") usually refers to the area of positions in a jurisdiction to which civil service laws and rules apply. These positions may be defined by law as being in the "classified service." The term "merit system" often has a particular meaning at the state level of government: it may refer to state positions associated with health and welfare functions, funds for which are partially obtained through the Federal Security Agency.

In practice, a "merit system" may exist in a jurisdiction without a basic civil service law or commission: such a condition prevails in many council-manager cities. Furthermore, a civil service law may provide for a civil service commission to administer an examination program, but a true "merit system" may, in fact, be lacking: certain municipal civil service commissions in communities dominated by one political party illustrate this situation. However, both the "civil service" and "merit system" concepts oppose the spoils system.

According to the National Civil Service League, a sound merit system law should provide for eighteen essentials. These are: (1) a central personnel agency with an adequate staff and sufficient funds; (2) a classification of positions according to duties, functions, and responsibilities; (3) a uniform compensation plan; (4) open competitive examinations for all positions except those of a policy-determining nature; (5) a probationary period to supplement competitive examinations; (6) a plan for practical instruction on the job; (7) service ratings; (8) uniform rules for leave and hours of work; (9) provision for promotion on merit; (10) an arrangement for pooling personnel for seasonal or emergency requirements; (11) in-service training; (12) a system of separations through resignations, retirement, and removal; (13) agency personnel officers and program initiated and coordinated by the central staff personnel agency; (14) certification of payrolls by the central staff personnel agency; (15) an adequate retirement system; (16) prohibitions against political assessments and political activity; (17) supervision and investigation of the administration of civil service law by the central staff personnel agency; and (18) provision for taxpayer's action to restrain payment of compensation to persons unlawfully employed.[18] Not every merit system presently established may be characterized by each of the points found in the standard of the National Civil Serv-

[18] National Civil Service League, *Whither the Merit System?* New York, 1945.

ice League. However, one trend, particularly observable during the past two decades, has been an extension of the essentials of the merit system at all levels of government.

The Federal Setting

During the American Colonial period and under the Articles of Confederation, the patronage system of appointment to public office prevailed. During the first four decades after the creation of the United States Constitution, however, personnel in the executive branch of the federal government, with the exception of department heads, generally remained in their positions for an indefinite period upon good behavior. Honesty and faithful service were accepted criteria for continuance in office. The number of positions was comparatively small, and public employment was in a relatively stable condition from 1789 to 1829.

In his first annual message to Congress in December 1829, President Andrew Jackson stressed his belief in the "spoils system," as the practice of regarding political party affiliation as the criterion for appointment to, and retention in, public office is known. Specifically, he stated: "The duties of all public officers are, or at least admit of being made, so plain and simple that men of intelligence may readily qualify themselves for their performance; and I cannot but believe that more is lost by the long continuance of men in office than is generally to be gained by their experience. I submit, therefore, to your consideration whether the efficiency of the government would not be promoted, and official industry and integrity better secured, by a general extension of the law which limits appointments to four years." [19] The result of President Jackson's actions in promoting the spoils system was the development of an era of partisan activity for public employment at all levels of government for nearly forty years.

Efforts were made sporadically, beginning in 1851, to reduce such political influence. In the decade of the 1850's examinations as the method of selection were introduced in a few federal offices. In 1865, President Lincoln refused to accede to demands of spoilsmen that the principle of rotation be applied to appointees for his second administration. President Grant in 1872 attempted to diminish the use of government positions as instruments of party poli-

[19] Fish, Carl R., *The Civil Service and the Patronage*, Cambridge, 1904, p. 81.

tics. Agitation for reforming the spoils system grew strong in the 1870's, partially through the efforts of the New York Civil Service Reform Association organized in 1877. Public feeling reached an effective point in 1880 with the election of James A. Garfield, a friend of civil service reform, as President of the United States. His untimely death at the hands of a disappointed office seeker served to crystallize public sentiment in favor of immediate reform. A bill sponsored by U. S. Senator George Pendleton was passed soon after the Congressional elections in 1882; it was signed by President Chester Arthur on January 16, 1883, and became the first comprehensive civil service law in the United States.[20] The concept of the act represented improved personnel practice through (1) appointment of applicants through competitive examination, (2) tenure without regard to politics, religion, nationality, or other similar factors disassociated with the performance of duties, and (3) a personnel agency organizationally independent of operating agencies. This law, in effect, became a model which was eventually adopted in numerous state and local jurisdictions.[21]

Today the actions of the Congress and the President are still paramount in the federal setting for personnel management. Next in importance is the central staff personnel agency in the federal government, the U. S. Civil Service Commission. The basic framework of the Commission now is similar to that provided by the original act.

The U. S. Civil Service Commission is presently composed of three commissioners, appointed by the President with the advice and consent of the Senate. Not more than two of the commissioners may be members of the same political party. The President has the power to remove any commissioner. One of the commissioners is designated as chairman by the President. Since 1949, the salary of the chairman has been $16,000 per annum; the salary of the other two commissioners is $15,000 per annum.

The Commission has the responsibility to assist the President in preparing Civil Service rules for promulgation by the President; to make regulations for, and to control, examinations; to investigate and report upon matters concerned with the enforcement of Civil

[20] 22 Stat. 403.

[21] U. S. Civil Service Commission, *A Brief History of the United States Civil Service*, Washington, 1933; Foster, Wm. E., *The Literature of Civil Service Reform in the United States*, Providence, 1881; U. S. Civil Service Commission, *A History of the Federal Civil Service 1789–1939*, Washington, 1939.

Service rules and regulations and to report annually to the President with respect to its operations, rules, regulations and any suggestions it may have for the more effective accomplishment of the Civil Service Act.

Under the Act, certain standards are specified for inclusion in the rules prepared by the Commission and promulgated by the President. These standards, to be followed insofar as good administration warrants, include:

(1) Open competitive examinations for testing applicants for classified service.
(2) Selections to be made from among those receiving highest grades on the examinations.
(3) Appointments in the departmental service in Washington to be apportioned among the states, territories, and District of Columbia on the basis of population.
(4) A period of probation to precede an absolute appointment.
(5) A prohibition that a federal employee cannot be compelled to contribute to a political fund or to render political service.
(6) A prohibition which states that a federal employee cannot use his official authority or influence to force political action on the part of anyone.
(7) No discrimination because of marital status.
(8) Non-competitive examinations to be held under rules prescribed by the Commission.
(9) Notice to be given in writing by appointing agency of certain selections and separations.
(10) No discrimination of an eligible because of physical handicap for a position the duties of which the Civil Service Commission believes may be efficiently performed by a person having such a physical handicap, without hazard to himself or others.

Pursuant to these standards, the Civil Service Commission from time to time has prepared rules which have been promulgated by the President. The most recent revision of Civil Service rules became effective May 1, 1947.[22] The rules apply to all positions in the classified (or competitive) service. By definition, the competitive service includes all positions in the Executive Branch of the federal government except those positions specifically excluded by law or execu-

[22] U. S. Civil Service Commission, *Federal Personnel Manual,* Washington, ch. Z1-207 ff.

tive order and, in addition, all positions in the Legislative and Judicial Branches of the federal government and in the District of Columbia which are specifically placed by law under the classified service. Although in 1883 only 10% of the positions in the Executive Branch were under the original Civil Service Act, approximately 92% of the positions in the federal service are now included in the classified service.

The Chairman of the Commission is the chief executive and administrative officer of the Commission.[23] He is responsible for the internal management of the Commission's business, including the selection and supervision of personnel employed by the Commission, preparation of budget estimates, and expenditure of funds. The Chairman is responsible also for the administration and enforcement generally of the civil service rules issued by the President and by the Commission as well as of other activities of the Commission. The Commission itself, however, retains the functions of (1) preparing rules, (2) making annual reports, (3) promulgating rules under Commission authority, (4) preventing improper political activity, (5) providing for certain appeals, (6) making recommendations to the President, (7) investigating matters related to administration of Commission functions, and (8) revision and submission to the Bureau of the Budget of budget estimates.

It may be pointed out that, since 1883, the number and scope of functions delegated by Congress and the President to the Civil Service Commission have been increased significantly. For decades following its creation, the Civil Service Commission was charged essentially with conducting examinations and certifying eligibles to agencies for subsequent appointment. However, during the past twenty years, the Commission has been given additional responsibilities through the assignment to the Commission of such duties as the classification function formerly carried on by the Personnel Classification Board (1932), the efficiency rating (now performance rating) program formerly handled by the Bureau of Efficiency (1932), increased power over political activities through the Hatch Act (1939), and the federal loyalty program (1947).[24] One trend of thought with reference to the role of the Civil Service Commission is reflected by the Commission on Organization of the Executive

[23] Reorganization Plan No. 5 of 1949, effective August 20, 1949.

[24] McDiarmid, John, "The Changing Role of the United States Civil Service Commission," *American Political Science Review,* December 1946, pp. 1067–1096.

Branch of the Government (the Hoover Commission). Specifically, the Hoover Commission recommended in 1949, among other items, that the Civil Service Commission be required to develop and enforce standards for the operations of agency personnel offices, leaving to agency personnel offices the details of recruiting, examining, and other personnel affairs. Under the decentralization proposed by the Hoover Commission, the Civil Service Commission would become more of a staff agency rather than a control agency.[25]

Until approximately a dozen years ago, there were few personnel offices formally established in federal agencies. Before 1938, personnel management within federal agencies was usually a task for a chief clerk who was responsible for all housekeeping activities of the agency. In 1938 the President, by Executive Order 7916, directed the head of each federal agency to establish a Division of Personnel Supervision and Management, headed by a director of personnel qualified by training and experience to carry out his duties. Pursuant to the order, personnel offices were established to assist agencies in the execution of personnel operations.

In 1947, the President accentuated the role of the agency personnel organization. By Executive Order 9830, the head of each agency is made responsible for personnel management in his agency. The order further directs each head of an agency to maintain a personnel office and to designate a director of personnel or other similarly responsible official to be in charge of the office. The effect of these two executive orders has been the establishment of formal personnel organizations of agency-wide importance.

In larger federal agencies, in addition to a central agency personnel office, there are bureau personnel offices and field personnel offices located in field units of the agency. Both bureau personnel offices and field personnel offices are subordinate to the central agency personnel office. (See Fig. p. 390, Appendix.)

There is a great lack of uniformity in the scope and effectiveness of personnel programs of federal personnel offices today. The Hoover Commission in 1949 reported that there were deficiencies in personnel programs and recommended, among other items, decentralization of recruitment and examination, the development of measures to promote a sound career service, and revised separation

[25] Commission on Organization of the Executive Branch of the Government, *Task Force Report on Federal Personnel,* Washington, 1949; *Personnel Management,* Washington, 1949.

procedures. A further criticism of agency personnel office programs made by the Hoover Commission referred to the tendency of many personnel offices to retain controls which deny authority of supervisors. The Hoover Commission reiterated that the primary responsibility of personnel offices should be to provide service and assistance to line officials.

A subsequent check on federal personnel programs was made by the Johnston Committee in 1951–52. Under Senate Resolution 53 (adopted on February 19, 1951) the U. S. Senate directed the Committee on Post Office and Civil Service to conduct a full investigation into the personnel needs and practices of federal agencies. The objective of the study was to formulate policies for the effective utilization of federal personnel during the period of national emergency. A subcommittee of the full committee conducted a careful examination of the federal personnel system during 1951 and 1952 and several deficiencies were noted. Specific findings of the survey reflected critically not only upon the execution of certain personnel functions such as recruitment, awards programs, and reductions-in-force but also upon particular personnel management practices such as methods for selecting supervisors. In commenting upon the findings, the Chairman of the Senate Committee stated that defects in the federal personnel system arise from three main causes: obsolete and cumbersome procedures, lack of sufficient incentives for supervisors to economize, and lack of a comprehensive manpower budget. Recommendations were made to alleviate these causes.

The State Setting

During most of the nineteenth century, the spoils system prevailed among the states. The dominant political organization in the State Capitol recruited its friends for positions in state government. Retention was made on the basis of party affiliation, usually without appropriate regard to fitness or merit.[26]

At the state level of government, New York State was the first to take effective action to establish a civil service system. In 1883 New York State passed a constitutional amendment to negate the operation of the spoils system in the state. The amendment provided that merit and fitness must govern appointments in particular

[26] Key, V. O., *Politics, Parties and Pressure Groups,* ch. 11, New York, 1947; McKean, David, *Party and Pressure Politics,* New York, 1949, ch. 13.

types of state positions. A state civil service commission was authorized to prepare and administer examinations for certain positions. In 1884 Massachusetts inaugurated a civil service system for certain state positions. Twenty-one years later the civil service movement at the state level witnessed the adoption of a civil service system in two more states, namely, Wisconsin and Illinois. Adoption in additional states was spotty until the decade beginning 1937 during which fourteen states passed civil service laws. State legislatures and governors have continued to play a determining part in state personnel management.

At the present time twenty-one states have a civil service system which covers the majority of the positions of each of these states.[27] As a matter of fact, during the period 1883–1952, three additional states adopted laws providing for the establishment of civil service systems covering the bulk of state positions; however, in two cases (Arkansas and Louisiana), the legislature subsequently repealed the act, and in one case (Arizona), the State Supreme Court invalidated the act. Other states established civil service systems for limited groups of employees, in some instances prior to 1940.

The accompanying chart identifies the states now having a central staff personnel agency with general coverage and indicates the current name of the civil service agency.

An amendment to the Federal Social Security Act, passed in 1939 and effective January 1, 1940,[28] required that state social security plans include "methods relating to the establishment and maintenance of personnel standards on a merit basis." In other words, in order to receive federal funds through the federal social security system, it is necessary for states to have a merit system for those state employees engaged in federal-state public assistance and employment security programs. In states having a civil service system at the time the amendment was passed, the Federal Social Security Board generally approved the personnel standards already in existence. In states where no civil service system was in operation, new personnel agencies, usually called Merit System Councils, were established to administer personnel programs for those state employees

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[27] For amplification, see Holloway, W. V., *Personnel Administration in the States,* Oklahoma City, 1948; Illinois Legislative Council, *State Personnel Administration in Illinois,* Springfield, 1946; University of Denver, *Civil Service in Colorado,* Denver, 1945; Legislative Research Commission, *Merit System Legislation for Kentucky,* Frankfort, 1949.

[28] 53 Stat. 1360.

STATE CIVIL SERVICE AGENCIES

State	*Current Name of Civil Service Agency*	*Date of Initial Enactment*
Alabama	State Personnel Board	1939
California	State Personnel Board	1913
Colorado	Civil Service Commission	1907
Connecticut	State Personnel Department	1913*
Illinois	Civil Service Commission	1905
Kansas	Department of Civil Service	1941*
Maine	State Personnel Board	1937
Maryland	Department of State Employment and Registration	1921
Massachusetts	Department of Civil Service and Registration	1884
Michigan	Civil Service Commission	1937*
Minnesota	Department of Civil Service	1939
New Hampshire	Civil Service Commission	1951
New Jersey	Civil Service Commission	1908
New York	Department of Civil Service	1883
North Carolina	State Personnel Department	1949
Ohio	Civil Service Commission	1912
Oregon	Civil Service Commission	1940
Rhode Island	Division of Personnel Administration	1939
Tennessee	Department of Personnel	1939
Virginia	State Personnel Department	1942
Wisconsin	Bureau of Personnel	1905

* Not continuously in effect since initial enactment.

whose work was included in the scope of the amendment. At present, twenty-seven states have provided for a limited merit system for such employees in order to continue the states' participation in the federal social security program.

There is a wide variation in legal structure, scope of responsibility, and practice among state civil service systems.[29] In the first place, in some states the civil service system is grounded in the state constitution. The constitutions of California, New York, and Ohio, for example, refer to the merit principle and authorize the legislature to make it effective. The constitution of Missouri, on the other hand, requires the state legislature to set up a merit system to cover at least employees of state charitable and penal institutions. In other states having a civil service system, however, the system is wholly a creation of the state legislature, free from constitutional mandate. The commission type of organization predominates among the state central staff personnel agencies.

Generally, the state civil service systems include a position clas-

[29] Civil Service Assembly, *Policies and Practices of Public Personnel Administration,* Chicago, 1942; Council of State Governments, *Book of the States 1952–3,* Chicago, 1952, pp. 192–207. Replies by five governors to the question, "In your capacity as chief executive, what do you believe are the essentials of an effective state personnel program?," *Public Personnel Review,* October 1951, pp. 209–215.

sification plan, pay plan, rules for recruitment and examination, rules for promotions, transfers and separations, and grievance procedures. Even in states having a civil service system, usually there is a large number of state positions not covered by a specific state program. The spoils system still predominates for many state employees. One trend since the end of World War II, however, is the broadening of the coverage of state civil service systems.

The trend toward expansion of the civil service system is typified by the experience of the State of Georgia during the past decade. Pursuant to the minimum requirements of the Social Security Act of 1935 as amended in 1939 and similar requirements of the U. S. Public Health Service and of the Children's Bureau of the U. S. Department of Labor, agency merit systems were established in Georgia for employees of the State Department of Public Welfare, the State Employment Security Agency in the State Department of Labor, and the Department of Public Health. In 1943 the Georgia legislature passed a Merit System Act under which the governor was authorized to create a Merit System of Personnel Administration to cover employees in the state agencies listed above. The Act also authorized the governor to appoint a Merit System Council. The Council selected a Merit System Director through an open competitive examination, and a centralized merit system program was instituted. In 1945 a new state constitution established a State Personnel Board of three to administer a State Merit System. Under the Merit System, as provided by the constitution, state personnel must be selected on a "basis of merit, fitness and efficiency, according to law." To effect the constitutional provision, the governor appointed as members of the new State Personnel Board those persons who already were serving on the Merit System Council. Continuity of policy and procedure was assured when the Board promptly adopted the rules and regulations of the former Merit System Council. Since 1945 the Merit System Director selected by the State Personnel Board has administered the Merit System.

The number of positions in the agencies covered by the centralized Georgia Merit System has grown significantly since 1943. Since 1947 additional positions have been brought into the Merit System by legislation extending the system to other state agencies. Thus, approximately 1500 employees of the Division of Institutions in the State Department of Public Welfare were brought under the Merit System by legislation in 1949. Similar legislation covered

also approximately 1300 employees of the State Highway Department, as well as employees of the State Department of Public Safety, State Department of Education, and other state agencies. In summary, coverage of the Georgia Merit System grew from 1619 employees in three state agencies in 1943 to approximately 8000 employees in twenty-four state agencies in 1952.

The commission type of organization prevails at the state level for the state central staff personnel agency. (See Fig. p. 391, Appendix.) There is increasing consideration, however, being given to the director type of organization. For example, in New York State, the Temporary State Commission on Coordination of State Activities surveyed the State Department of Civil Service, a commission type of organization, and in 1952 reported to the governor and the state legislature. The recommendations of the Temporary State Commission typify the trend toward centralization of responsibility for the central staff personnel agency in the hands of a single administrator. Specifically, the Temporary State Commission reported that the history of personnel administration in the state demonstrated that a full-time commission is cumbersome and ill suited for the direction of the State Department of Civil Service. Pointing out that the commission structure had contributed to confusion of responsibility, undue delay, inconsistency of action, and lack of expert leadership, the Temporary State Commission recommended that the State Civil Service Commission be abolished and in place thereof a single administrator, the State Personnel Commissioner, be made the head of the Department of Civil Service. A part-time group, known as the State Civil Service Board, would be created to advise the administrator and to perform certain quasi-legislative and quasi-judicial functions. In addition to the New York State Department of Civil Service, headed by the Civil Service Commission, certain other phases of state personnel administration are handled on a centralized basis by the Personnel Council, Personnel Relations Board, Merit Award Board, and Classification and Compensation Appeals Board. However, in practice each of these four bodies is independent of the State Civil Service Commission. The Temporary State Commission stated that the operations of these four agencies should be integrated with the revised Department of Civil Service. In summary, the report emphasized the need for a single head with principal responsibility for the conduct of an integrated state central staff personnel agency.

In addition to coverage within the state government, state central staff personnel agencies may have responsibility for employees of local units of government. Hence, state central staff personnel agencies may assist in the supervision of personnel operations of local units, or such state agencies may perform personnel services for local units. For example, in Ohio, the State Civil Service Commission exercises control, by law, over municipal civil service commissions through appointment of members to such commissions, through rule making, and through investigation of complaints. In Massachusetts, the State Civil Service Commission, by law, is responsible for municipal civil service operations. In California, local units of government having a civil service system may contract with the State Personnel Board for technical services. In New York, local units are authorized to select one of several optional types of local personnel administration; one of these types provides for the direct supervision of local personnel operations by the State Civil Service Commission.

The Local Setting

At the local level of government, three New York cities began the movement toward a civil service system before the turn of the last century. In 1884, the cities of New York, Albany, and Utica passed civil service laws. By 1900, eighty-five municipal civil service commissions had been established throughout the United States. Since the beginning of this century, the growth in the number of commissions at the local level has been steady. Through the actions of various city councils and mayors, the spoils system is still the deciding principle of personnel administration in a considerable number of local units. Nevertheless, there are today civil service systems in approximately two-thirds of American cities.[30] A classification of cities on the basis of population indicates the following:

EMPLOYEES UNDER CIVIL SERVICE IN CITIES OVER 10,000[31]

Population	*No. of Cities Reporting*	*Cities Having Some Classes Covered*		*All Classes Covered*	
		Number	Percentage	Number	Percentage
Cities over 500,000	18	18	100	17	94.5
250,000 to 500,000	23	23	100	17	73.9
100,000 to 250,000	64	55	85.9	48	75.2
50,000 to 100,000	123	101	82.1	60	48.8
25,000 to 50,000	253	195	77.1	104	41.2
10,000 to 25,000	700	388	55.4	156	22.3

[30] International City Managers Association, *Municipal Year Book 1952,* Chicago, 1952, p. 130.

[31] *Ibid.*, p. 131.

Little progress has been made in counties by the civil service movement.[32] Although the adoption of the civil service principle began as early as 1895 in Cook County, Illinois, counties in general have indicated such indifference to the civil service movement that presently only 185 counties out of a total of slightly more than 3000 are estimated to have some type of civil service system. In some of these counties the state civil service commission exercises control; such is the case of sixteen counties in New Jersey and sixty-two counties in New York. Only thirty-two counties have civil service agencies of their own. Among the more important counties having their own agencies are: Los Angeles County, California; Milwaukee County, Wisconsin; and Wayne County, Michigan. Understanding of the influence of the more extensive county civil service program is derived from reference to the Civil Service Commission for Los Angeles County which has been in existence since 1913: presently, the county employs approximately 26,500 persons of whom all except approximately 800 (mostly part-time) were in the classified service of the county. As a matter of fact, the number and proportion of Los Angeles County employees thus covered are far in excess of that of many large cities. It may be added that, except in larger special districts (such as school districts) and villages, comparatively very little progress has been made in the formulation of a civil service system.

A survey of the structure, scope of responsibility, and practice of local (that is, city, county, village, and special district) civil service systems indicates varied patterns.[33] Some civil service systems are authorized by state law or constitutions; others are established by local charter or ordinance. As has been mentioned, in certain local jurisdictions personnel services are provided by the state central staff personnel agency. In localities having a civil service system, the commission type of organization, composed usually of three members appointed by the mayor or council, predominates as the central staff personnel agency. However, increasing consideration is being given to the director type. Thus, a study of personnel ad-

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[32] MacDonald, Austin F., *American State Government and Administration,* New York, 1950, p. 340.

[33] International City Managers Association, *Municipal Personnel Administration,* Chicago, 1947, chs. 1, 2, 13; Public Administration Service, *Personnel Programs for Smaller Cities,* Chicago, 1940; International City Managers Association, *Municipal Year Book 1952,* Chicago, 1952, pp. 128–132; Bromage, Arthur W., *Introduction to Municipal Government and Administration,* New York, 1950, pp. 419–429.

ministration in the City of New York resulted in recommendations in 1952 that the Municipal Civil Service Commission should be abolished; a new Personnel Department, headed by a personnel administrator responsible to the mayor, would constitute the central staff personnel agency with responsibility for the development of a modern system of personnel administration.[34]

More progressive local jurisdictions provide for classification and pay plans; recruiting, examining and certifying procedures; the hearing of appeals from disciplinary actions; and rules for transfers, promotions, and retirement. Usually, little attention is given in local jurisdictions to training, health, and safety, and to formal employee relations programs. The human relations approach as a guide for local personnel administration is generally unknown. In the majority of local jurisdictions having a civil service system, coverage of the system is limited to only certain types of personnel or to certain line agencies. Slightly less than half of all employees of local units having some type of civil service system are included in the classified system. The local level of government is truly the "Dark Continent" of public personnel management and offers great opportunity for the application of progressive personnel techniques.

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[34] Report Prepared for the Mayor's Committee on Management Survey of the City of New York, *Personnel Administration in the Government of New York City,* New York, 1952.

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CHAPTER 2

Position Classification

CONCEPTS OF POSITION CLASSIFICATION

In the early stages of growth of public personnel management, there was often little relationship between the tasks carried out by employees and their position titles and the treatment which employees received in the matter of pay and other aspects of personnel administration. Gradually, however, greater attention was given to the actual duties to be performed and the responsibilities to be included in specific positions, and to the similarities and differences among positions, regardless of the individual employees occupying the positions. The result has been the development of specific concepts of position classification.

A *position* is composed of duties and responsibilities assigned or delegated by competent authority. A position requires the services of one employee and may be occupied or vacant, permanent or temporary. A position may involve full-time or part-time employment. The concept of a position is distinct from the employee who may perform the duties and exercise the responsibilities of the position. Position classification is the process of arranging positions into groups as a basis for administrative action.[1]

A group of positions sufficiently similar with respect to difficulty of duties and responsibilities and requisite qualifications to require identical education, experience, knowledge, and ability and to justify identical treatment in matters of pay, selection, transfer, and promotion constitutes a *class*. For example, a class of typist positions in-

[1] Pfiffner, John M., *Public Administration,* New York, 1946, ch. 18; Graves, W. Brooke, *Public Administration in a Democratic Society,* Boston, 1950, pp. 126–136; Otis, Jay L., and Richard H. Leukart, *Job Evaluation, a Basis for Sound Wage Administration,* New York, 1948; Telford, Fred, "The Classification and Salary Standardization Movement in the Public Service," *Annals of the American Academy of Political and Social Science,* 1924; Ells, R. W., *The Basic Abilities System of Job Evaluation,* Madison, 1951.

cludes positions having approximately the same difficulty of duties and responsibility with typing as the major task. The name given to a class of positions for the purpose of identifying the class (for example, typist class) is a class title.

A *series* includes all positions related to an occupational group but differing in degree of difficulty and responsibility of work. Thus, the typist series includes all positions, the major task of which is the operation of typewriters. The term *service* is frequently used to denote a broad grouping of series; in such instances, service embraces a general aggregation of occupational groups. For example, professional positions, grouped together, may constitute a service. IAS, ICS, IPS

A *grade* refers to all classes of positions which are sufficiently equivalent with respect to degree of difficulty of duties and responsibilities and with respect to level of qualification requirements. A grade may constitute a subdivision of a service and may, in fact, cut across various services. The lowest grade (usually numbered 1) in any service embraces the most routine and least responsible positions; higher grades in the service coincide with more important duties and greater responsibilities. In reality, grades are horizontal divisions, intersecting vertical occupational subdivisions within a service.

The Classification Plan

Value.—A classification plan consists of a system of classes of positions and class descriptions, rules for installation of the system in a jurisdiction, and procedures for modification of classes and class descriptions to keep them current. A classification plan is useful in personnel administration in many ways. A classification plan may (1) provide a basis for equitable salaries, (2) aid in recruitment, (3) provide uniform terminology, (4) facilitate a system of promotion and transfer, (5) emphasize elements of evaluation of efficiency, (6) induce the keeping of meaningful records, (7) promote employee morale, (8) assist employee training, (9) stabilize the labor market, and (10) reduce misunderstanding by clarifying duties and responsibilities.[2]

[2] U. S. Civil Service Commission, *Position Classification as an Aid to Supervision,* Washington, 1945; Epperson, Lawrence L., "Getting the Most Out of Position Analysis," *Personnel Administration,* March 1947, pp. 31–35; Biren, Robert L., "Developing Adequate Class Specifications," *Public Personnel Review,* January 1944, pp. 27–31; Pollack, Ross, "Word Usage in Position Classification," *Public Personnel Review,* October 1943, pp. 266–273.

Establishment.—In the establishment of a classification plan, five steps are generally followed: (1) the determination of the coverage of the plan, (2) the obtaining of complete information with respect to duties and responsibilities of positions to be included, (3) the determination of occupational groupings, (4) the preparation of class descriptions, and (5) the allocation of individual positions.

In determining the coverage of the classification plan, it is generally most desirable to include all or almost all positions below the top policy-making group of every executive agency in the jurisdiction to be affected by the plan. Maximum coverage is particularly helpful in the matter of evaluation of the interrelationship of positions of a jurisdiction. However, by constitutional provisions, statutory requirements, or executive order, particular agencies and specific positions in certain agencies may be exempted for special reasons. In any event, the exact positions to be included in the plan are definitely established.

In order to obtain *complete information on the duties and responsibilities of positions* involved, several sources are available. Such sources include constitutional provisions, laws, and executive orders; administrative regulations, orders, and memoranda; correspondence files; interviews with employees and supervisors; and questionnaires from employees and supervisors. Some of the above sources require an examination of records. In the instance of the interview and questionnaire, however, personal contacts with employees and supervisors are desirable.

In supervisory and employee meetings, the classification technician explains the purpose of the survey, emphasizes its objective nature, reviews the questionnaire to be distributed among personnel, and sets deadlines for its return. The format of the questionnaire gives the employee or supervisor the opportunity for presenting additional essentials of the job. Written instructions for completing the questionnaire accompany it. The employee or supervisor usually prepares the questionnaire on official time. The supervisor verifies statements and has an opportunity to refute any incorrect item. Where insufficient data are originally given on the questionnaire, a subsequent interview by the classification technician with certain employees and supervisors may be needed to establish a fact.

The process of *determining occupational groupings* requires careful analysis. After a study of the questionnaire and after follow-up interviews, the information is reviewed initially for the purpose of placing each position in a series (unless for particular reasons the service becomes the primary consideration). If the employee performs the same duty constantly (for example, if he regularly delivers interoffice mail), his position may fall into an appropriate series (for example, messenger series). If the employee performs several different duties, it must be ascertained that each task is an essential part of his work. Where, for example, a task, such as typing, is performed only occasionally by an employee who primarily delivers interoffice mail, the position is placed in the messenger series.

After all the positions have been placed in series, the groups of positions within each series must be studied to ascertain classes. Normally, the range of positions within a series constitutes a spread sufficient for the purpose of making subdivisions. At one extreme, positions in the series tend to be alike in such factors as the absence of any supervision exercised by the incumbent and the presence of routine duties requiring little formal education or previous experience. At the other extreme, positions in the same series tend to be similar in such factors as supervision exercised by incumbent and amount of previous experience required. Within the extremes, the exact number of classes to be established in one series varies, depending primarily upon the number of positions of varying difficulty of duties and responsibilities. The establishment of a large number of classes within any series is usually discouraged.

A *class description* has four essentials: (1) a title, (2) a concise statement of duties and responsibilities, (3) illustrations of the work performed, and (4) a statement of minimum qualifications. The class title is brief and suggestive of the work included in the class. Although organization titles, in contrast to class titles, may be used with outside contacts, class titles are used in personnel and budgetary actions. The brief statement of duties and responsibilities distinguishes the duties and responsibilities of one class from another. Illustrations of the work performed are typical of the class but not all-inclusive of the duties. Illustrations are selected to clarify generalities found in the statement of duties. The statement of minimum qualifications includes basic requirements of education, experience, skill, and, if appropriate, key personal char-

acteristics necessary to the performance of the duties. Minimum qualification statements are not necessarily minimum qualifications requirements since the latter may be higher, depending upon availability of applicants. In any event, basic requirements are as specific as possible.

In *allocating individual positions,* features of each position are analyzed in relation to allocation factors. The specific allocation factors vary among classification plans. Generally, however, factors to be considered involve: (1) the difficulty of duties (such as the condition of work when the incumbent receives it, the procedures utilized by the incumbent, the scope of problems involved, and the condition of the work when the incumbent finishes it); (2) supervisory responsibility (such as the nature of supervisory actions, and the extent of supervisory responsibility); (3) non-supervisory responsibility (such as the degree of independent action by the incumbent, recommendations or advice given, and extent of decision-making which affects the program); and (4) requisite qualifications (such as particular knowledge, skills, formal education, and experience required). By contrast, various items, such as individual efficiency, loyalty, dependability, a requirement of honesty, and length of service of incumbent, are non-allocable factors and, hence, do not affect the allocation of a position.[3]

Currency of Allocations

Hardly is a classification plan installed in a jurisdiction when modifications in duties and responsibilities of various positions take place. Inevitable changes in work relationships or in a program of an agency soon cause individual position descriptions to become outdated. If a classification plan is to have maximum utilization, the allocations must be kept current.

After a classification plan has been adopted, an individual position is subsequently evaluated, usually either by position-to-position comparison or by factor analysis. Under the former method, a comparison with positions already classified under the plan is made to determine similarities and differences of allocation factors. Under the latter method, a study of the degree of specific factors present in the position under consideration is made to determine its total

[3] Civil Service Assembly, *Position Classification in the Public Service,* Chicago, 1941, chs. 4, 5, 7, 8, 9; see also, McGilvery, Francis E., "The Problem of Position Evaluation," *Public Personnel Review,* January 1952, pp. 12–17.

point value within a system of maximum point values previously assigned to allocation factors.

Under a classification plan already in operation, an individual position may be subsequently examined with the objective of allocating the one position, or it may be examined as one of a number of positions to be allocated in a classification survey. In the former instance, an individual position is reviewed because its duties and responsibilities have been newly established or because the duties and responsibilities of a position previously allocated may have materially changed. Classification surveys involving a group of positions may be conducted periodically or at irregular times. In the periodic survey, all positions in an organization unit or sub-unit are re-examined every six or twelve months in order that the allocations of those positions in the group, duties and responsibilities of which have changed appreciably, may be brought up to date. In the survey conducted irregularly, a group of positions may be studied only after a broad administrative change, such as a functional reorganization of an agency, has taken place.

In the process of keeping allocations current, fact finding is an essential task. Fact finding involves oral interviewing and analysis of written position descriptions.

In order to determine the need for a new description, an oral interview may precede the writing of an actual position description. For the purpose of clarifying aspects of a written position description, an oral interview may take place subequent to the submission of the description. Whether an interview will be conducted depends greatly upon such factors as the organizational and geographical location of the position and type of work involved.

Position descriptions are prepared by employees, by supervisors, or by classifiers, depending upon the procedures of the particular plan. When a position description is prepared by the employee, the supervisor generally reviews the description for accuracy, prior to submission of the description to a classifier. When a supervisor prepares the description, he usually does so in close harmony with the employee unless the position is a vacancy. When the description is prepared by a classifier, he obtains his data through close contact with both the employee and supervisor.

A well-prepared description is an essential to an effective classification plan. It is: (1) factual, that is, it is an objective record

of the tasks actually performed; (2) complete, that is, it covers all the tasks, spells out all the responsibilities, and points out necessary qualifications; (3) specific, that is, it relates individual behaviors which indicate exactly what is done; and (4) original, that is, it is constructed from the actual duties and responsibilities of the position, not copied from secondary sources such as a class specification or a somewhat similar position description in the same or another agency.[4]

Appeals

An appeal from the classification of a position may be made either by the employee occupying the position or by the supervisor or by the head of the office in which the position is located. Occasionally, when an employee believes that his supervisor has neglected to submit a revised position description which the employee believes should be submitted, he may appeal such alleged inactivity by requesting, through proper administrative channels, that the personnel office examine his position.

Any appeal is based upon an alleged improper evaluation of the duties and responsibilities of a position, not upon elements which are not pertinent to the classification of the position, such as the length of service or the efficiency of the employee. Appeal procedures are usually available only when the duties and responsibilities of the position are accurately and completely described in the official description. Thus, when the official description is inaccurate or incomplete, the appeal action usually results in a recommendation by the appeal authority for the preparation of a new position description.

Position Classification in the Federal Government

Historical development.—The problem of classifying positions uniformly in the federal service has intermittently received Congressional attention for approximately a century.[5] A classification plan in itself is not a compensation plan. Nevertheless, Congress early recognized the intimate relationship between the determination of pay for federal employees and the type of work performed.

[4] *Ibid.*, ch. 10.

[5] *Ibid.*, ch. 2; Baruch, Ismar, *History of Position Classification and Salary Standardization in the Federal Service (1789–1938)*, Washington, 1939; Pruefer, C. H., "Classification in the Federal Service and the Emergency," *American Political Science Review*, June 1941, pp. 506–510.

On almost every occasion when Congress has examined the classification structure, Congress has also given consideration to the pay structure. This section is primarily concerned with the classification aspects of this dual analysis by Congress; the federal pay structure is discussed in Chapter 3.

On March 5, 1838, the United States Senate passed a resolution requesting information concerning the classification of clerks from heads of executive departments. Specifically, the Senate sought data on the character of the work performed by clerks, their responsibility, requisite qualifications, and the relative value of each class as compared with other classes. Hence, the United States Senate laid the ground work for a classification system approximately 115 years ago.

In a subsequent attempt to equalize salaries for clerks in the federal service, Congress, in 1853 and 1854, provided that clerical positions in the Treasury, Interior, Navy, War, and Post Office Departments be placed in one of four classes and set salary rates for each class. No basic principles for placing clerical positions in any one of the classes were included in this legislation. Gradually, clerical positions in other departments were incorporated into one of these four classes.

In 1896, the Civil Service Commission, in its annual report, pointed out the desirability of classification of positions based on duties. Furthermore, the Commission recommended in its annual report in 1902 that more positions should be so classified. At the close of World War I, however, there was no plan to coordinate rates of pay for common positions in various departments and to assure that the employee who performed more difficult work received more pay than the employee whose tasks were, by comparison, easier to perform.

The Congressional Joint Committee on Reclassification of Salaries, appointed in 1919, reported to Congress in 1920 that, in order to obtain uniformity and relative equality of pay, a central independent agency must be given authority to classify each position properly. The Committee further declared that, in the process of acting as impartial appraiser for the government, the staff agency it had suggested should determine the duties of each position, the responsibilities involved, the qualifications required, the class of the position, and the compensation schedule applicable to

the position.[6] The work of the Committee became the basis for active legislative consideration of the whole problem of position classification.

The Classification Act of 1923[7] established a broad plan for the classification of positions in the departmental service as well as a compensation schedule for such positions. The act created the Personnel Classification Board empowered to make regulations for ascertaining the duties of positions and qualifications required of incumbents. The Personnel Classification Board was directed to prepare and publish data describing the duties and responsibilities involved in classes to be established within several grades, the minimum qualifications required for satisfactory performance, and the titles of classes of positions. The Board was authorized to designate additional classes and to combine or eliminate existing classes. In accordance with procedures prescribed by the Board, the head of each department was required to allocate all positions in the departmental service of his department to the appropriate grades in the compensation schedule contained in the act. The act also provided that the allocations of a department had to be reviewed (and might be revised) by the Board, prior to becoming effective. Whenever an existing or future position could not be reasonably allocated to one of the grades established, the Board was authorized to prescribe the range of compensation for the position. In any event, positions were to be allocated into one of the classes with the objective of providing equal pay for equal work.

Under the Classification Act of 1923, the broadest occupational subdivision was the "service." The five services were: (1) Professional and Scientific; (2) Subprofessional; (3) Clerical, Administrative, and Fiscal; (4) Custodial; and (5) Clerical-Mechanical. Each service was subdivided into ocupational groups, each of which included all positions in related activities within a service. Thus, in the Clerical, Administrative, and Fiscal Service, there was an Office Appliance Operating Group embracing positions of bookkeeping machine operators and duplicating equipment operators. Occupational groups were subdivided into series, each of which included all positions in an occupational group closely associated with each other. Thus, the Typist Series in the Clerical, Admini-

[6] U. S. Congress, Congressional Joint Commission on the Reclassification of Salaries, Washington, 1920.

[7] 42 Stat. 1488.

strative, and Fiscal Service included all positions, the predominant duty of which was to operate a typewriter. Each service was also divided into grades, each of which was based upon differences of degree of difficulties and responsibilities. The number of grades varied with each service: the Professional and Scientific had 9; the Subprofessional, 8; the Clerical, Administrative and Fiscal, 16; the Crafts, Protective, and Custodial, 10; and the Clerical-Mechanical, 4.

Generally excluded from the Classification Act of 1923 were positions, the duties of which were to perform or to assist in apprentice, helper, or journeyman work in a recognized trade or craft and skilled and semi-skilled laborers. With respect to the aforementioned type of positions, however, if positions of this type were under the direction of the custodian of a public building or were subordinate, incidental, or preparatory to work of a professional, scientific, or technical nature, the positions were included under the act. Positions in the field service of federal agencies (that is, positions organizationally located outside of the headquarter's offices of an agency), in contrast to the departmental service (that is, positions organizationally located in the headquarter's offices of an agency), were excluded from the classification plan.

In 1928, under the Welch Act,[8] the Personnel Classification Board was ordered to make a survey of the classes of positions in the field services (exclusive of the Postal Service, Foreign Service, and employees in the mechanical and drafting groups whose salaries were fixed by wage boards) and to report to Congress recommendations for a classification plan for these positions. Based on this authority, the Board directed a survey which covered approximately 104,000 positions in the field services.

In 1930, the Brookhart Act[9] directed the heads of departments to adjust the compensation of various positions in the field service to correspond to pay rates for positions in the departmental service. To comply with this mandate, departments were required to apply the principles of the classification plan to positions in their respective field services.

In 1932, the Economy Act[10] transferred the functions of the Personnel Classification Board to the Civil Service Commission.

[8] 45 Stat. 776.
[9] 46 Stat. 1003.
[10] 47 Stat. 416.

In 1940, the Ramspeck Act [11] authorized the President, upon recommendation of the Civil Service Commission, to adjust the classification plan by extending the jurisdiction of the Civil Service Commission to the field service and creating new services and grades.

In 1949, the Classification Act of 1949 [12] repealed the Classification Act of 1923, as amended. The 1949 act constituted the first complete overhauling of the federal classification plan since the initial act of 1923. Significant classification features of the Classification Act of 1949 include the change in coverage of the classification plan, the creation of two schedules of positions superseding the five services, Civil Service Commission responsibility to publish standards for each grade, delegation to the agencies of authority to classify departmental positions, and provision for appeal from an individual allocation to the Civil Service Commission either by the agency or employee affected whether the employee is in the departmental or field service.

Present coverage.—The Classification Act of 1949 applies generally to the executive departments, the independent agencies in the executive branch, the Administrative Office of the U. S. Courts, the Library of Congress, the Botanic Garden, the Government Printing Office, the Office of the Architect of the Capitol, and the municipal government of the District of Columbia.

However, certain enumerated agencies and groups of employees are exempt from the act. Thus, the act does not apply to the field service of the Post Office Department; the Foreign Service of the United States; positions in or under the Department of State connected with the representation of the United States to international organizations or specifically exempted by law from the Classification Act of 1923; physicians, dentists, nurses, and other employees in the Department of Medicine and Surgery in the Veterans Administration; teachers, school officers, and employees of the Board of Education of the District of Columbia; judges of District of Columbia Courts; officers and members of the Metropolitan Police and Fire Department of the District of Columbia; the U. S. Park Police and the White House Police; and lighthouse keepers and civilian employees on light ships and vessels of the Coast Guard.

Furthermore, the Classification Act of 1949 does not apply to employees in recognized trades or crafts or other skilled mechanical

[11] 54 Stat. 1212.
[12] 63 Stat. 971.

crafts or in unskilled, semi-skilled, or skilled manual labor occupations; certain employees in the Bureau of Engraving and Printing; officers and members of crews of vessels; certain employees of the Government Printing Office; civilian professors, lecturers, and instructors at the Naval War College and the Naval Academy; aliens and non-citizens of the United States holding positions outside of the United States; the Tennessee Valley Authority; the Inland Waterways Corporation; the Alaska Railroad; the Virgin Islands Corporation; the Central Intelligence Agency; the Atomic Energy Commission; Production Credit Corporations; Federal Intermediate Credit Banks; the Panama Railroad Company; teachers, school officers, and employees of the Police and Fire Departments of the Panama Canal.

Other groups of employees not covered by the Classification Act of 1949 are: employees who serve without compensation; employees none or only part of whose compensation is paid from appropriated funds of the United States; employees whose compensation is fixed under a cooperative agreement between the United States and a state, territory, or possession of the United States or between the United States and a person or organization outside the service of the federal government; student nurses, medical or dental interns, residents-in-training, student dieticians, and certain student laboratory employees; inmates, patients, or beneficiaries receiving care or treatment or living in government agencies or institutions; experts or consultants employed temporarily or intermittently; emergency or seasonal employees whose employment is of temporary duration; persons employed on a fee, contract, or piece-work basis; persons who may perform their duties concurrently with their private profession or business; and positions for which rates of basic compensation are individually fixed by some other law at or in excess of the maximum scheduled rate of the highest grade established by the Classification Act of 1949. The Civil Service Commission is authorized and directed to determine the applicability of the above exclusions in questionable cases.

Although the exemptions may seem to be numerous, at the time of adoption of the Classification Act of 1949 it was estimated that the act applied to approximately 885,000 positions. Approximately 82 % of these positions were in the field service. Today it is estimated that the Classification Act of 1949 covers slightly more

than one million positions—more than is covered by any other single classification plan. Approximately 45% of all federal positions have been made subject to the Classification Act.

Allocation standards.—The Civil Service Commission prepares allocation standards for placing positions in their proper classes and grades. In preparing such standards, the Commission makes inquiries and investigations of the duties, responsibilities, and qualifications requirements of positions as it deems necessary. In allocation standards, the Commission defines the various classes of positions which exist in terms of duties, responsibilities, and qualifications requirements, establishes official class titles, and designates the grades in which the classes have been placed.

The Civil Service Commission is directed by the act to maintain standards on a current basis. To this end, after consultation with agencies, the Commission revises, supplements, and abolishes existing standards or prepares new standards in order that positions existing at any one time will be covered by current standards. The official class titles established by the Commission must be used by the agencies involved for personnel, budget, and fiscal purposes.

Procedures.—Under the Classification Act of 1923, as amended, the Civil Service Commission was responsible for determining the allocation of departmental positions. Each agency following standards of the Commission was responsible for allocating its own field positions. The allocation of field positions was carried on in a central office of the agency in Washington or in regional or local field units when final allocation authority was delegated within an agency.

Under the Classification Act of 1949, however, the Civil Service Commission has authority to ascertain currently the facts with respect to the duties, responsibilities, and qualifications requirements of any position, to place the position in an appropriate class and grade, to decide whether any position is in its appropriate class and grade, and to change any position from one class and grade to another class or grade. In such instance when the Commission exercises the authority specified above and certifies its decision to an agency, the agency must take action in accordance with the Commission's determination. Any employee affected by a classification action or any agency may request at any time that the Commission exercise such authority.[18]

[18] U. S. Civil Service Commission, *Federal Personnel Manual,* Washington, ch. P2.

An agency must place each position under its jurisdiction covered by the act in its appropriate class and grade in conformity with standards published by the Commission. (See Fig. p. 394, Appendix.) The Commission reviews positions in each agency from time to time in order to determine that the agency is placing its positions in classes and grades in conformity with the published standards. If the Commission finds that a position to which the act applies is not placed in its proper class and grade, the Commission consults with the agency, places such position in its appropriate class and grade, and certifies its action to the agency. The action of the Commission is binding on the agency.

If the Civil Service Commission finds that any agency is not placing positions in classes and grades in comformity with published standards, the Commission may revoke or suspend the authority granted to the agency to classify positions. The revocation or suspension may be limited to the agency or the field service of an agency or any part or any organizational unit thereof or to specific types of classification actions or to classes in particular occupations, groups, or grades. If the authority of an agency has been revoked or suspended, the Commission may subsequently restore the authority when the Commission is satisfied that subsequent classification action by the agency will be taken in conformity with the published standards.

The decentralization of classification authority to agencies is limited, however, with respect to positions in the three highest grades, called "supergrades." Under the Classification Act of 1949, the Civil Service Commission must give prior approval before any position is finally placed in Grade 16 or 17 of the General Schedule. The Classification Act of 1949 further provided that, at any one time, there could not be more than 300 positions in Grade 16 and not more than 75 positions in Grade 17. The President alone—and only after recommendation by the Civil Service Commission—could place a position in, or remove a position from, Grade 18. The act restricted the number of positions in Grade 18 at any one time to no more than 25.

The restrictions of the Classification Act of 1949 relating to the number of positions in Grades 16, 17, and 18 were modified by subsequent legislation. Thus, the Defense Production Act of

1950 [14] authorized the President to place positions (and employ individuals) temporarily in Grades 16, 17, and 18, in order to carry out the provisions of the Defense Production program. Under this act the President eventually authorized a total of 300 such positions with the limitation that not more than 50 could be placed in Grade 18. These positions were in addition to the number specified in the Classification Act of 1949. Furthermore, under a supplemental appropriation act passed in September 1950,[15] the President was authorized under certain circumstances to place positions in the Department of Defense in Grades 16, 17, and 18 in accordance with the procedures and standards of the Act. Under this authority the number of such grades could be increased by not more than one-third of the number of GS-16, GS-17, and GS-18 positions already established in the Department of Defense. Other legislation has authorized the establishment of additional positions in Grades 16, 17, and 18. Within the first three years after the passage of the Classification Act of 1949, there was a grand total of 786 such positions (including one in the government of the District of Columbia), allocations of which are finally made by the Civil Service Commission.

Division of positions.—The Classification Act of 1949 consolidates the number of divisions of positions within the classification plan. Specifically, the act of 1949 established two basic compensation schedules for positions to which the act applies. A *General Schedule* (designated "GS") exists in lieu of the professional and scientific service, the clerical, administrative, and fiscal service, and the sub-professional service previously provided by the Classification Act of 1923 as amended. A *Crafts, Protective, and Custodial Schedule* (designated "CPC") exists in lieu of the crafts, protective, and custodial service provided in the Classification Act of 1923, as amended. The General Schedule is divided into 18 grades of difficulty and responsibility of work; the Crafts, Protective, and Custodial Schedule continues the 10 grades of difficulty and responsibility of work previously established in the crafts, protective, and custodial service. Positions already in existence at the time of the passage of the Classification Act of 1949 were allocated to appropriate corresponding grades in the new schedules by the Act itself.

[14] 64 Stat. 798.
[15] 64 Stat. 1044.

The factor evaluation method.—In contrast to traditional classification methods, a few federal agencies have devised other classification methods and procedures. As an illustration of such variation, reference is made to the factor evaluation method of position classification as developed by the Navy Department.[16]

In the factor evaluation method, certain common denominators of positions, called factors, are singled out for use as a means of measuring degrees of difficulty and responsibilities of positions. Originally ten in number, the factors have been revised and reduced in number since the method was inaugurated in 1943 by the Navy Department until at present there are seven factors, namely, (1) variety of work and of knowledge required, (2) independence from supervisory control, (3) individual judgment in relation to guide lines, (4) originality of thinking required by the work, (5) commitments, (6) person-to-person relationships, and (7) nature of the control of the work of others and number of positions supervised.

In the establishment of the Navy Department's system, a position evaluation pattern was created by defining carefully each factor and several degrees of each factor and by deriving a scale value of each degree definition through assessment by experienced classifiers of a value for each degree definition on a scale from 0 (no value) to 100 (maximum value). The initial position evaluation pattern thus derived was tested by applying the pattern to selected complete position descriptions. After such a test, adjustments were made in the pattern by adding additional degree definitions to provide quantum indicators of relative strength for each factor. The selected positions were then evaluated by obtaining a numerical score for each factor of each of the selected positions. At this point in the refinement of the pattern, two of the original ten factors were eliminated after a multiple correlation study revealed that the two factors did not appreciably affect the total score. The resulting eight factors were assigned equal weights. The grades of the selected positions were then used to convert the numerical score

[16] McDonald, William T., "The Navy's Method of Position Evaluation," *Public Personnel Review,* April 1947, pp. 89–95; Monahan, James F., and Herbert F. Seversmith, "The Evaluation of Scientific Research Positions," *Personnel Administration,* November 1947, pp. 14–17; McGinnis, Donald, "Classifying by the Evaluation Chart,' *Personnel Administration,* April 1946, pp. 10–12; Kennedy, John J., and Frank Waldenfels, "The Responsibility Distribution Chart: A Classification and Administrative Tool," *Public Personnel Review,* October 1943, pp. 254–259.

for any position to a particular position grade. The position evaluation pattern became a basic tool in the Navy Department approach.

Subsequently, series evaluation charts, similar in structure to the position evaluation pattern, were prepared to evaluate special kinds of work. Factor and degree definitions on the series evaluation charts were constructed to give meaning in relation to the particular kind of work. Degree definitions on the series evaluation charts were scaled with the definitions of the position evaluation pattern as a guide. Such charts were validated through the use of selected positions.

To secure data preparatory to the evaluation of a position, the Navy Department system requires that the employee prepare his position description, subject to review by his immediate superior. As an aid to classification, a general questionnaire has been developed which seeks to elicit facts about a position in terms of the basic allocation factors. Special question lists supplement the general questionnaire in seventy different occupational series and, where applicable, are filled out by the employee in lieu of the general questionnaire.

Several advantages of the factor evaluation classification method over traditional classification methods are claimed by personnel officials familiar with both approaches. It is pointed out that the factor evaluation method (1) stresses the same allocation factors for all positions to which the method has been extended, (2) affords a convenient review of evaluations, (3) enables new classifiers to learn to allocate positions more quickly than when these classifiers must learn historical aspects of position allocations characteristic of traditional methods, (4) emphasizes areas over which differences of opinion among classifiers may arise, (5) features the use of evaluation charts which are prepared more quickly than conventional class specifications, and (6) induces objectivity.

Certain limitations of the factor evaluation methods are noted. The position evaluation pattern has not yet been made applicable to all positions falling under the scope of the classification program of any large agency; particularly where motor skills and physical effort are involved or where creativeness in scientific research is an essential element of a position, series evaluation charts have not been fully established. Furthermore, the statistical reliability of many series evaluation charts has not been determined with exact-

ness. There is also variation among classifiers with respect to the precise meaning of specific factors. Nevertheless, since 1945, approximately 100,000 positions a year have been classified in the federal service under the factor evaluation method.

Position Classification in State Government

At the state level, the classification movement was effectively initated in Illinois. By action of the state legislature in 1911, Illinois became the first state to install a classification plan. Early consideration of the classification movement was not confined to Illinois, however; in 1913 the Colorado Civil Service Commission conducted a survey to draw up a classification plan based on duties and responsibilities of the positions in the state service, and in 1916 in New York State a similar plan was proposed by the legislature. Classification programs were subsequently adopted by Ohio (1917), Massachusetts (1918), and New Jersey (1918). Between 1920 and 1930, Maryland, Pennsylvania, and Wisconsin adopted plans for state positions. The decade 1930–1940 witnessed the installation of classification plans in California, Rhode Island, Minnesota, and Alabama. The classification movement at the state level has grown consistently. Today classification plans are in operation in 17 states.[17] (See Fig. pp. 392–393, Appendix.)

For illustration of the adoption of a state classification plan, reference is made to Rhode Island. The Director of the State Department of Civil Service was required to recommend to the Civil Service Commission a classification plan to cover all positions in the classified service. After the Civil Service Commission held a public hearing and made such modifications as semeed desirable, the Civil Service Commission recommended the plan to the Governor for final approval. Upon approval, the plan became official for all personnel actions. The Director henceforth has been required to allocate every position in the classified service to one of the classes contained in the plan.

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[17] Marsh, Harry W., and Norman J. Powell, "A Classification and Pay Plan for the State of New Hampshire," *Public Personnel Review,* April 1945, pp. 109–113; The Council of State Governments, *The Book of the States, 1945–1946,* Chicago, 1945, pp. 156–157; Griffenhagen and Associates, *Report on Classification and Compensation of Positions in the Service of the Commonwealth of Virginia,* Richmond, 1937; New York State Legislature, Joint Legislative Committee on Classification of Positions in the Civil Service, Albany, 1932; Anderson, William, and E. W. Weidner, *State and Local Government,* New York, 1951, pp. 555–556; Bates and Fields, *State Government,* New York, 1949.

Position Classification in Local Government

The classification efforts of the Chicago Civil Service Commission antedated those of any other local unit of government. In 1908, the Municipal Civil Service Commission of Chicago originated a program to classify municipal positions on the basis of duties and responsibilities. At approximately the same time a classification program was considered for positions in certain Chicago park districts and in Cook County (Illinois) and the program was adopted by the state legislature in 1911. The classification plan devised by the Chicago Commission became effective by action of the Chicago City Council in 1912 and thus became the first systematic municipal plan for the analysis of positions based on duties and responsibilities. Classification studies were made in Milwaukee, Portland, Pittsburgh, and New York during the period 1913–15. The movement grew with the adoption of classification plans during the next five years in approximately a dozen cities including Baltimore, Cleveland, and Los Angeles. Since 1920, the number of local units establishing a classification plan has grown. Today it is estimated that approximately 30% of jurisdictions at the local level have a classification program, the preponderant number being found in average-sized or large-sized cities.[18]

An illustration of an effective classification plan currently in operation at the local level is that of the Los Angeles County Civil Service Commission.

The charter of the County of Los Angeles provides that the County Civil Service Commission shall prescribe rules for the classified service, including, among others, rules for the classification of all positions. Under rules of the County Civil Service Commission each position is classified on the basis of duties and responsibilities and placed in a class; classes of positions are placed in groups; groups of positions in series and series of positions in services. The classification plan is administered by the Secretary and Chief Examiner of the Commission.

[18] Shils, Edward B., "Philadelphia Streamlines Personnel Plan," *National Municipal Review*, July 1943, pp. 369–370; International City Managers Association, *The Municipal Year Book 1952*, Chicago, 1952, p. 136; MacCorkle, Stuart A., *American Municipal Government and Administration*, Boston, 1948, pp. 354–357; Bromage, Arthur W., *Introduction to Municipal Government and Administration*, New York, 1950, pp. 429–431; New York City Civil Service Commission, *Classification of the Civil Service Commission of the City of New York*, New York, 1944; Schulz, Ernst B., *American City Government*, Harrisburg, 1949, pp. 484–485; International City Managers Association, *Municipal Personnel Administration*, Chicago, 1947, ch. 3.

In the classification process, the employee describes his duties fully on a Position Description and Analysis Form. Emphasis is also placed on: (1) education, training, and experience required; (2) extent of use of judgment and of independent action; (3) personal contacts required; (4) consequences of failure to perform work properly; (5) supervision; (6) extent of job tiring because of mental, visual, or physical effort required; and (7) extent of any disagreeable working conditions or hazards. Allocation of positions is made by the County Civil Service Commission. In 1952 there were 1394 classes of positions in the classification plan.

Action of the Evanston, Illinois, Civil Service Commission illustrates a revision of a classification plan at the local level. In 1949 the Commission realized that over a period of a few years certain positions had been abolished in a piecemeal fashion and that new positions had been created but were not included in the classification plan. Furthermore, a variety of conflicting titles were applied to various positions. Study was made of the situation by the Commission, and a plan was finally presented to the City Council under which approximately 500 positions reflecting current duties and responsibilities were given descriptive titles and grouped into classes and grades by services. The City Council approved the plan for use in connection with the 1950 budget. In view of the necessity for keeping a classification plan, once established, up-to-date, larger cities particularly conduct periodic reviews of their classification plans. Two recent studies were the 1951 position classification surveys in the New York City [19] and San Francisco [20] municipal governments.

Problems of Administration

Among the problems associated with the administration of the position classification function, the following call for special attention:

Inadequately prepared position descriptions.—Position descriptions written by employees and supervisors are frequently inadequately prepared. Some position descriptions contain broad generalities,

[19] New York City Mayor's Committee on Management Survey, *Classification and Compensation of the Service of the City of New York,* New York, 1951, Volumes I and II.

[20] San Francisco Civil Service Commission, *Classification of Duties of Positions in the Municipal Service,* San Francisco, 1951.

such as, "prepares reports," without reference to specific behaviors which may involve merely copying previously prepared figures, or, at the other extreme, may require statistical or scientific research. Other position descriptions are incomplete because an employee or supervisor, through an inability either to assess duties properly or to express himself clearly, fails to include essential elements of a position. Some position descriptions contain phraseology copied verbatim from standard class specifications or from previously approved descriptions which is not, in fact, characteristic of the latter positions. In employee and supervisory prepared position descriptions, there is occasionally reflected a tendency to overwrite or to magnify the importance of various duties and responsibilities for the purpose of justifying a predetermined grade. Refining generalities, obtaining additional data to supplement incomplete descriptions, detecting inapplicable phraseology, and distinguishing between bona fide duties and assumed duties—each of these tasks throws an additional burden on a classification staff.

A properly prepared position description clearly and succinctly relates the duties performed, the responsibilities involved, and the qualifications necessary to carry out the duties and responsibilities. The preparation of such position descriptions may be facilitated through careful orientation of both employee and supervisor in the classification function. Emphasis may be placed upon the fact that the position description is a determinate of the amount of salary paid from a public treasury and that an erroneous description may constitute misappropriation of public funds. Preparatory to the writing of individual position descriptions, assistance may be furnished to the supervisor by the classification staff and to the employee, if he prepares the description, by the supervisor or classification staff. Incident to a classification survey, specific training in position writing may be given on a group basis. In any event, clearly understandable instructions must be furnished by the classification staff before adequate position descriptions from employees and supervisors can be expected.

Length of time required for individual classification actions.—Classifying a position turns out sometimes to be a very time-consuming job. Among reasons for what appears to be an excessive length of time required for certain classification actions are: (1) inadequately prepared position descriptions which may necessitate

resubmission after a subsequent desk audit or revision; (2) the frequent requirement of recommendations of successive levels in the administrative hierarchy, involving as many as five or six signatures of line officials, on the position description itself, prior to actual submission of the description to the classification staff for allocation; (3) the lack of a sufficient number of competent classifiers within a jurisdiction or agency; and (4) the location within a jurisdiction or agency of the allocating authority, especially in the instance of field activities of an agency.

In some jurisdictions, the time element may be reduced by improving the preparation of position descriptions at the initial writing, as discussed above. Strengthening supervisory responsibilities reduces the number of administrative signatures required on a position description before allocation. In some jurisdictions and agencies, the number of technicians on a classification staff must be increased if the classification function is to be administered on a current basis; in other instances, the classification staff, already sufficient in terms of numbers, is in need of additional training in classification procedures. Another solution effected by some jurisdictions and agencies to reduce the time element is decentralization of authority to allocate positions either to regional or branch classification offices or to resident classifiers attached to a field unit or group of field units. The necessity of keeping the time required for classification actions to an absolute minimum must be constantly borne in mind by a classification staff.

Outdated position descriptions.—Assuming that position descriptions are adequately prepared at the time they are submitted for classification action, the mere passage of time renders innumerable descriptions out of date. Organizational changes, work load shifts, and changes in individual methods of carrying out assignments are inevitable. Although careful precautions may be taken to record each significant organizational or other change with the classification staff, modifications take place which often escape attention. Undermanned classification staffs and failure on the part of the individual employee to realize the significance of particular changes contribute to the condition.

Some jurisdictions and agencies seek to maintain current position descriptions of all employees by conducting frequent surveys, such as periodic maintenance reviews, and by requiring that notice of any organizational change be referred at once to the classification

staff so that adjustments may be made. Modifications may thus be effected with or without a desk audit. Regardless of the methods established, it is essential that position descriptions be maintained on a current basis. To the extent that descriptions are outdated and, hence, incomplete, full utilization of the classification function as an arm of management is not possible.

Pressures.—The classification function is sometimes subjected to strong pressures exerted from outside of the personnel office. The pressure takes the form of attempted interference with the determination of individual allocations by other governmental officials such as legislators and executive officials within and without the agency or by members of special interest groups. Such interference may be motivated by a sincere personal belief in the actual or anticipated unfairness of a particular allocation or by other considerations. During a period of appropriation shortages, top management may encourage a more strict interpretation of class specifications by a classification staff in order to reduce the administrative expenses of the agency; during a period of personnel shortages, supervisors may urge a more liberal interpretation in order to compete more successfully for available personnel.

Continuous education in the classification function and in the benefits of a sound program free from outside interference is a method utilized by many classification staffs to obtain the full support of all responsible officials and employees of the jurisdiction. Pressures may be reduced, if not eliminated, through the maintenance of an effective classification program and through the development of mutual confidence in the program. Workable appeal procedures are established for use of the individual who feels aggrieved over a classification action. Interference on behalf of individual allocations through any other means introduces a serious obstacle to the objectivity required for a sound classification program.

Incomplete class specifications.—In many jurisdictions, class specifications are incomplete in one or two respects: class specifications have not been developed for all groups of positions; or owing to the changed nature of certain positions, various class specifications are no longer valid. Regardless of plans to eliminate the condition, reduction of the amount of incompleteness is sometimes perpetuated through continued lack of funds over a period of time. To the extent that class specifications remain undeveloped, individual classification actions are made extremely difficult.

Efforts must be directed to keep the legislature informed of the need for maintaining an up-to-date classification program. When sufficient money is forthcoming, the classification program must include appropriate training for new technicians as well as for the improvement of current technicians. Adequate financial support on a sustaining basis from the legislature produces funds to provide for competent classifiers to conduct investigations necessary to develop and to publish new class specifications, and to keep current already established specifications. Preparing class specifications is a highly technical task.

Lack of employee and supervisor confidence.—Lack of employee and supervisor confidence in the classification program of some jurisdictions and agencies is caused by delay in learning of an employee's allocation, cumbersomeness incident to preparation of position descriptions by the employee and supervisor, secretiveness with respect to allocation standards, and misunderstanding of the classification program. Lack of such confidence, where found, contributes to other problems associated with the administration of the classification function.

The time element must be reduced to a minimum through such methods as the systematic analysis of classification processes with the objective of reducing inefficient procedures, the preparation of weekly reports of the status of individual position descriptions forwarded to the classification staff, and follow-up on requests for additional information necessary to complete a classification action. Basically, however, employee and supervisory belief in the efficacy of the classification program is dependent upon the establishment and maintenance of a sound program. Elements of a sound program have been previously discussed. Such a program results in allocations made within a reasonable period of time and considered fair by the vast majority of employees of the jurisdiction or agency. A feeling of cumbersomeness may be dispelled by keeping forms and procedures to a minimum. The practice of making allocation standards available for all tends to eliminate feelings of suspicion with respect to the objectivity of the allocation process and consequently to inspire positive attitudes toward the classification function. Gaining and retaining confidence of both employees and supervisors must continue to be an objective of every classification plan.

Belief that supervisory responsibility is necessary for allocation to higher level positions.—A preponderant number of high-level positions (that is, those in the upper half of a service) embrace supervisory responsibility. The feeling has, therefore, developed among employees and supervisors that, to attain a high-level position, an employee must have under his direction many subordinates. This feeling frequently results in a situation whereby an employee seeks to increase the number of subordinates under him on the theory that the importance of his position and, hence, his grade will automatically be enhanced.

Classification technicians contend—and their actions support their contention—that the number of subordinates in itself is usually not the determining factor in a classification action. In view of the traditional classification relationship between supervision and higher-level positions, special efforts must be made by a classification staff to indicate that careful attention is given to non-supervisory factors. Individual allocations of non-supervisory positions to higher grades may be publicized. Accessibility of employees and supervisors to class specifications promotes greater understanding of allocation standards and negates erroneous beliefs about the classification system.

Security precautions.—In a governmental jurisdiction or agency having projects of a confidential nature, there is the ever-present need for security precautions. Security regulations may result in absolute secrecy with respect to certain positions in the jurisdiction or agency. Interests of security may also require project operations to be compartmentalized, that is, a project may be divided into parts such that the employees assigned to work of one part do not know the nature of related assignments nor of the whole task, nor do they know how their individual duties fit into the total effort. Under such circumstances, complete position descriptions may be impossible. In some cases, the preparation of a traditional position description may be inadvisable. In any event, normal analysis of interrelationships between related positions is likely to be out of the question.

Although management has a responsibility to support its classification program, it has a superior responsibility for security especially where the national interest is concerned. The necessity for deviating from normal classification processes because of security

precautions, therefore, must be recognized. A classification staff must modify usual techniques to make full use of the position data which may be made available. In some instances, the solution may be to exempt individual positions from the classification program.

Misuse of classification process.—There is frequently a tendency among supervisors and personnel officials to rely on the classification program to solve personnel problems which are properly outside the scope of classification. In such instances, position descriptions are prepared and positions reallocated not for the purpose of reflecting an actual revision of duties and responsibilities but primarily to ward off or negate other personnel actions. Thus, when an incumbent fails a qualifying examination for retention in his position during a conversion period, the position description may be rewritten to establish a new position to which the examination does not apply. In such a case, when the incumbent continues to perform essentially the same duties, regardless of the basic change in the position description, the classification process is improperly used to circumvent an examination program.

Misunderstanding of the classification process may be cleared up through an active training program. Furthermore, the classification staff may follow up, as a matter of routine, on certain types of reallocations to ascertain that the allocation represents in fact a change of duties and responsibilities. As a positive measure, periodic meetings with supervisors and administrators serve to focus attention upon the proper role of a classification program in personnel management.

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CHAPTER 3

Compensation

DETERMINING SALARIES OF PUBLIC EMPLOYEES

The determination of salary in the public service is basically a matter of legislation. Whether at the national, state, or local level, legislation dealing with salary of public employees is subject to the normal vicissitudes of the law-making process. Among the factors influencing legislative action, practical consideration is given to the following:

Duties and responsibilities of classes of individual positions.—A basic characteristic of salary determination in the public service is the relative importance of the duties of, and the degree of responsibility inherent in, classes of positions. Salary is generally established in terms of positions, not in terms of employees who occupy the positions. Thus, factors of age, sex, marital status, and the number of dependents of employees do not enter into salary determination. The concept of equal pay for equal work—characteristic of public employment—requires not only that positions in the same class have the same salary range, but, also, that there be a relationship in the salary schedule among the various classes of positions, such relationship being based upon material differences of duties and responsibilities. The intimate relationship existing between salary and the duties and responsibilities of classes of positions indicates the dependence of an effective salary schedule upon a workable position classification plan.

Salary of comparable positions in other government jurisdictions and in private enterprise in the area.—The salaries of comparable positions in other government jurisdictions and in private enterprise in the area exert a decided influence upon the efforts of a governmental unit to attract and retain qualified personnel. Competition, either from other government jurisdictions or from private

industry, exists with respect to almost all types of positions in any one jurisdiction in the public service. Where equalization of salaries of one government unit with those of other government jurisdictions or private industry has been an objective in salary determination, local levels of government have been more able to approximate, in a general way, such salary standards than has either state or national government; national and state units face the disadvantage of a greater diversity of salary for comparable positions over a broader geographical area. The divergence between salary in the public service and salary in private enterprise for comparable positions is particularly pronounced, in favor of private enterprise, in higher grade professional, technical, and administrative positions. Unless there are compensating advantages, the lower salary for a position in the public service acts to reduce, if not halt, the flow of applicants for the government position. Consideration of the salary of comparable positions in competition with positions of a government unit thus becomes paramount.

Concept of a living wage.—In the opinion of many officials and students of public administration, government should strive to be a model employer, especially since the essential nature of its services demands the most efficient performance from qualified employees. Included among the practices of a model employer is the payment of a living wage as a minimum to every employee. A living wage has been regarded as one sufficient to provide adequate food, clothing, and shelter, and reasonable comforts of life. Attention focused upon the entrance salary of the lowest-grade employees of a jurisdiction frequently brings about increased minimum pay. Salary for public employees must at least conform to the minimum standards established by federal and state labor laws for comparable work in private industry.

Legal ceilings for key positions in a jurisdiction.—The constitutions of states and charters of localities, as well as national, state, and local laws, frequently fix specific salaries for key positions in the jurisdiction. The salary thus fixed for legislators or a chief executive or department heads often becomes, in effect, an amount beyond which no other salary in the jurisdiction is set. This amount, where so stipulated, acts as a ceiling, in relation to which the salary of other classes of positions may be determined proportionately. Reluctance of members of a legislature to change these ceilings or to

acknowledge that other positions may warrant greater salary becomes a bar to justifiable salary determination.

Extent of additional benefits accruing to public employees.—In many jurisdictions, the salary of a position does not represent the total monetary reward for the incumbent. Other benefits, such as membership in a retirement plan, eligibility for disability compensation, and liberal leave privileges, are frequently available to public employees. Although, in the case of retirement, the employee himself may make regular monetary contributions toward the ultimate benefit, the benefits are usually a direct charge to the public treasury. In determining the amount of a salary, consideration is often given to the extent of such additional benefits available to employees in order to evaluate the total cost of personnel.

Lack of opportunity for advancement.—Occasionally, a position is a "dead-end" position and does not afford the incumbent an opportunity to progress. The chief method of retaining competent employees in such positions may be to provide additional pay for the position. Recognition of the lack of opportunity to advance often causes a salary to be fixed at a rate higher than otherwise.

Financial condition of the jurisdiction.—Regardless of the desire of the legislature to provide an adequate salary for public employees, the fact sometimes is clear that the jurisdiction is financially unable to increase the salary of the employees. A jurisdiction cannot be expected to pay out in salaries what it cannot reasonably collect in taxes or obtain through reasonable borrowing or other sources. Determination of salary, therefore, must be made with an understanding of the current financial status of the jurisdiction.

A Compensation Plan

An orderly system for the payment of salaries to employees is referred to as a compensation plan. It consists of a schedule of pay scales applicable to classes of positions covered by the plan and rules for administration. A compensation plan is normally based on classes of positions previously designated in a position classification plan. Hence, the classes of positions covered by the compensation plan differ with respect to duties and responsibilities.[1]

[1] Baruch, Ismar, "The Structure of a Pay Scale," *Public Personnel Review,* July 1946, pp. 141–148; Crowley, John C., "Job Evaluation Methods in Salary Analysis," *Public Personnel Review,* October 1946, pp. 184–189; New York State Temporary Salary Standardization Board, *Report,* Albany, 1938; Personnel Classification Board, *Report of Wages and Personnel Survey,* 1929.

Generally, the compensation plan includes a separate pay scale for each class of positions. Each pay scale includes within itself a range of salary rates, consisting usually of minimum, intermediate, and maximum rates. If the pay scale has three gradations or steps, the intermediate rate for that scale represents a single amount; if the pay scale has more than three gradations, there are two or more intermediate rates. The fundamental objective of a pay range is to provide monetary reward for efficient service in a class of positions.

The minimum pay rate of a pay scale is the entrance salary for the particular class of positions. The maximum pay rate is the highest salary an employee can receive while still performing the duties of one of the positions in the class. Intermediate pay rates represent salaries between the minimum and maximum rates. In addition to constituting an incentive for efficient service, intermediate pay rates may be used to provide monetary benefit when a grade increase does not result in a salary increase or to avoid salary reduction due to a change in grade. The minimum rate of any class is seldom lower than the maximum rate of the next lower class. The gross amount of each rate computed on an annual basis is usually selected out of consideration to simplify accounting procedures: hence, annual gross amounts are ordinarily divisible by 5 and 12. However, rates of deductions for retirement and withholding taxes are such that the anticipated simplicity of accounting operations is in fact non-existent.

The monetary difference between the minimum and maximum rates of a pay scale is the spread. The size of the spread is usually such as to permit the employee, under stipulated conditions, to progress financially as he becomes more experienced. On an annual basis, spreads vary from $240 among classes of positions involving comparatively simple duties and responsibilities to $1200 or more among classes of positions with complex duties and responsibilities. In a few types of positions, such as trainee and top administrative positions, there may be no spread. In the trainee position, it is often assumed that, upon completion of training, the employee will be transferred to a non-trainee position with a higher salary, or he will fail the course and be separated; in top administrative positions it is frequently expected that the incumbent will remain only for a limited period, such as two or four years.

Determination of Specific Salary Rates

Determination of specific salary rates of a compensation plan is made by the legislative or the executive branch of the jurisdiction.[2]

When the **legislative** branch makes the determination, the legislature fixes the rates either for individual positions or for various groups of positions. The initial law usually contains a schedule of pay scales for groups of positions, constituting the majority, if not all, of the positions of the jurisdiction. The initial legislation may also include a position classification plan to which the compensation plan is related. Modification of the schedule so established is made through subsequent legislation substituting new amounts in established pay scales, adding new pay scales, or providing for a definite percentage increase or decrease to be applied administratively to all positions included in the compensation plan. An illustration of this approach is the Federal Classification Act of 1923.

When the executive branch makes the determination, an individual administrator or an administrative body fixes the rates on an individual position or group basis. In such cases, the legislature generally establishes specific standards under which the executive branch makes its determination.

One such legislative standard is the prevailing wage of the area. The legislature may stipulate that rates of pay for particular types of positions are to conform to local prevailing rates for comparable work in private enterprise. The geographical area to be considered is the locality from which personnel for the positions is obtained and which constitutes competition for the positions in the jurisdiction. No specific rates are included in the legislation. Instead, an administrator, such as the head of an agency, or an administrative body, such as a wage board, conducts a local wage survey to determine rates prevailing in the labor market.

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[2] Baruch, Ismar, "Surveying Prevailing Salary Rates," *Public Personnel Review,* April 1942, pp. 86–100; Graves, W. B., *Public Administration in a Democratic Society,* Boston, 1950, pp. 137–148; Litchfield, E. H., "Theory and Practice in Public Service Salary Determination," *Public Personnel Review,* April 1945, pp. 77–84; Pfiffner, John M., *Public Administration,* New York, 1946, pp. 290–296; Richey, C. L., "Determining Pay Policy," *Public Personnel Review,* January 1942, pp. 20–24; Hearings, Committee on the Civil Service, House of Representatives, 79th Congress, 2nd Session, *Salary and Wage Administration in the Federal Service,* Washington, 1946; Library of Congress, Legislative Reference Service, *Salaries in Top Level Positions—in Government, in Industry, and in the Professions,* Washington, 1947; Martucci, Nicholas, "Wage and Salary Administration," *Modern Management,* October 1945, pp. 11–13.

The determination of prevailing wage rates is made after a wage survey. The need for a wage survey may be ascertained on a periodic basis (for example, annually in the case of certain types of positions in the Tennessee Valley Authority) or on an irregular basis (for example, at a time when wage rates for industry are increasing). The survey may be actually conducted by specialists in wage analysis or by agency employees temporarily assigned to participate in the survey under the direction of the personnel office.

The number of companies included in any one survey varies. Where the number of companies employing individuals in the trades to be surveyed is small, efforts are made to study the applicable wage rates of all the companies. Where the number of companies employing such individuals is large, representative firms are selected. Analysis of individual company wage rates includes evaluation of indirect as well as direct benefits to employees. To ascertain the prevailing wage rate for a specific trade, a weighted arithmetic average is normally computed. By this process the rates paid by each company for positions included in the survey are weighted by the number of employees paid the rate in order to reach a final median figure. Salary for skilled, semi-skilled, and unskilled laborers employed by federal agencies is established under the prevailing wage standard.

Another legislative standard is a significant change in the cost of living. The legislature may establish a schedule providing for normal salary ranges containing a fixed number of equal steps for the groups of positions included in the compensation plan. In addition, however, the legislature adds one or more steps beyond the minimum and maximum salary ranges, to be effective only when a price index, such as the Consumers' Price Index promulgated by the Bureau of Labor Statistics of the U. S. Department of Labor, changes significantly. What constitutes a significant change is determined by the legislature at the time the plan is adopted. For example, as the standard is applied to state employees of Minnesota, an increase or decrease of six and one-half points in the Consumers' Price Index as of the first day of January is sufficient to cause the salary to be increased or decreased by the value of one step on the subsequent July first.

Occasionally the executive branch is authorized to fix salary rates without reference to specific legislative standards. Basic legislation establishing an agency or authorizing or directing the carrying

out of certain functions by existing agencies may provide, without other limitation, that the head of the agency has the power to establish salary rates for his personnel. In such instances, the head of the agency may voluntarily follow the pattern of a compensation plan already in existence or he may establish a salary range for positions in the agency through whatever means appear reasonable. The salary of positions in many emergency agencies during World War II was established without reference to specific legislative standards.

A unique procedure to determine salary of public employees is the "dollar point value" method. Under this procedure, each position covered by the compensation plan is given a job point weight, based upon an aggregate evaluation of the duties and responsibilities of the position. The job point weight of a position remains constant as long as the duties and responsibilities of the position do not appreciably change. The value of a job point, called a "dollar point value," is determined periodically, however, by the legislature, usually annually. The annual salary of a position thus equals its job point weight multiplied by the "dollar point value" established at any one time by the legislature. The "dollar point value" method is used to determine the salary for municipal employees of the city of Toledo.

Establishment of a Compensation Plan

In the establishment of a compensation plan, the basic aim is to place a monetary value upon personal services such that, assuming working conditions are similar, positions with comparable duties and responsibilities have the same pay range. In many jurisdictions, therefore, creation of a position classification plan is prerequisite to establishment of a compensation plan.

Once a position classification plan has been set up, the preparation of a schedule of pay scales usually involves five specific steps: (1) basic data must be collected to show the present salary of positions to be included in the compensation plan, present salary of similar positions paid by other jurisdictions and by private enterprise within the same geographical area, and recruitment needs and turnover statistics; (2) an evaluation must be made of the financial status of the jurisdiction: in some jurisdictions, the financial condition of the government may preclude the establishment of an equitable compensation plan; (3) based upon a consideration of all of the positions to be included and any legal determination already made

with respect to the salary of particular positions, maximum and minimum salary points are established; (4) a determination is made of entrance salary of key positions (the entrance salary of such positions will be previously assigned maximum and minimum salary); and (5) upon comparison of the duties and responsibilities of all positions for which salary has not yet been determined, with the positions already evaluated, decision is made of the relative salaries of the former positions.

In formulating rules for administration of a compensation plan, attention is given to specific procedures of operation. Such procedures include such elements as the date of effectiveness of the plan, manner of informing employees of phases of the plan, methods of subsequent revision of the schedule, etc.

Methods utilized to ascertain transitional pay rates for positions already filled at the time a compensation plan is adopted differ. However, the following rules represent usual transitional rates applicable to incumbents of positions employed prior to the effective date of a compensation plan:

(1) If the current salary of a position is below the minimum rate proposed for the class in which the position is located, the salary is raised to the minimum rate. If the past performance of the incumbent does not warrant the monetary increase, he is reassigned to other duties or separated.

(2) If the current salary of a position falls at one of the rates of the class beyond the entrance rate and the incumbent has not had sufficient experience to otherwise warrant the rate, the salary continues until the incumbent is proposed for promotion or the position becomes vacant.

(3) If the current salary of a position falls between two rates of the class, the salary is raised to the higher rate.

(4) If the current salary of a position exceeds the maximum of the class, the current salary may be reduced to the maximum of the class or continued as long as the incumbent remains in the position.

The foregoing rules, where applied, have the effect of creating a temporary exception to rates of the compensation plan. Justification lies in avoidance of undue hardships for experienced employees which may otherwise be caused because of adoption of a plan.

After a compensation plan has been prepared, usually by the personnel office, but sometimes by outside consultants engaged for the purpose, it is usually transmitted to the legislative body, via the

chief executive or agency head, with a recommendation that the plan be adopted. Passage of a compensation plan by the legislature and approval by the chief executive make the plan the official pay program of the jurisdiction. Henceforth, salaries of positions covered in the plan conform to its pattern.

Federal Pay Plans

The Classification Acts.—The Classification Act of 1923,[3] as amended, provided for a pay plan applicable to the positions covered by the Classification Act. Under the act, the classification plan embraced five classification services; within each service was a number of grades. Each basic pay scale was integrated with one of the grades which collectively formed the structure of the position classification plan set up by the same act. For example, grade one of the professional and scientific service included "all classes of positions the duties of which are to perform, under immediate supervision, simple and elementary work requiring professional, scientific, or technical training as herein specified, but little or no experience." The act continued: "The annual rates of compensation for positions in this grade shall be $1,860, $1,920, $2,000, $2,100, $2,200, $2,300, and $2,400." Under the operation of the act, therefore, when a position was allocated to a particular grade, the determination of the applicable basic pay scale was automatic.

The establishment of basic pay scales for the five classification services was a decision of Congress. Congress determined the number of steps within each basic pay scale and fixed the exact amount of salary for each step. Congress also related each basic pay scale to one or more grades in the classification plan. The exact salary of employees whose positions were subject to the Classification Act was thus fixed by law. Any change in basic pay scales for positions in the five classification services was, therefore, a matter for Congressional action.

Subsequently, certain authority to establish basic pay scales for additional classification services was delegated by Congress to the President. The Ramspeck Act of November 26, 1940,[4] permitted the President to establish additional classification services by executive order when the provisions of the Classification Act were extended to the field service. Specifically, upon report and recom-

[3] 42 Stat. 1488.
[4] 54 Stat. 1212.

mendation of the Civil Service Commission, when the President found that positions could not be fairly and reasonably allocated to one of the five classification services under the Classification Act of 1923, as amended and extended, he might define additional classification services and grades as he deemed necessary. In so doing, the President was required to describe and fix the range of compensation for the grades of the new services on a basis comparable with the grades of similar positions covered by the Classification Act. Coordination of pay levels between positions in the five original classification services and any new services was accordingly achieved.

Although the basic pay scales of the five classification services of the Classification Act of 1923 were fixed by law, Congress also authorized the President under particular conditions to increase the basic pay scales by a pay differential. In the same Ramspeck Act, Congress provided that whenever the President, after report and recommendation of the Civil Service Commission, found that the basic pay rates were inadequate for positions under the act as amended and extended, he might by executive order establish pay differentials. Such pay differentials could not exceed 25% of the minimum rate of the pay scale of the grade to which a position was allocated. The only positions to which the authority of the President applied were those located at stations isolated or inaccessible when compared with stations at which positions of the same character were usually located, or those involving excessive physical hardships or hazards when compared with the hardships or hazards usually involved in positions of the same character, or those located outside of continental United States.

Authority to establish rates for classes of positions within grades, under certain circumstances, was delegated by Congress to the Civil Service Commission under the Federal Employees Pay Act of 1945.[5] In subdividing any grade into classes of positions, the Commission, when it deemed such action warranted by the nature of the duties and responsibilities of a class of positions in comparison with other classes in the same grade, and in the interests of good administration, might establish for any such class a minimum rate. This minimum rate had to be one of the basic pay rates of the grade, but it could not be in excess of the middle rate of that grade. Furthermore, when the Commission found that, within the same agency and at the same location, gross inequities existed between basic per an-

[5] 59 Stat. 298.

num rates fixed for any class of positions under the Classification Act and the compensation of employees whose basic rates of pay were fixed by wage boards, the Commission might establish a minimum rate of pay for such class of positions. The new rate could not exceed the middle rate within the range of pay fixed by the Classification Act for the grade to which such class of positions was allocated. Action taken by the Commission under this authority might apply to both departmental and field positions.

Since the passage of the Classification Act in 1923, several laws changed the basic pay scales of positions subject to the act. The basic pay scales established by the act were increased by the Welch Act of 1928 [6] and by the Brookhart Act of 1930 [7] (which also directed heads of departments to make salary adjustments in the field service to correspond to revised pay scales). Economy legislation [8] passed during the depression period, however, had the effect of revising downward the basic pay scales of the Classification Act. Horizontal reductions were effective from July 1, 1932, to March 31, 1935. During this period, the percentages of reduction were as follows: July 1, 1932, to March 31, 1933, 8 1/3%; April 1, 1933, to January 31, 1934, 15%; February 1, 1934, to June 30, 1934, 10%; July 1, 1934, to March 31, 1935, 5%. The increases and decreases noted above did not alter the classification plan; they constituted changes in the pay plan.

The basic pay scales, set up by the Brookhart Act of 1930, however, continued without change until the passage of the Federal Employees' Pay Act of 1945.[9] This act, effective July 1, 1945, provided for an increase of 20% on that part of the rate which is not in excess of $1200 per annum, plus 10% on any part which is in excess of $1200 but not in excess of $4600, plus 5% on any part which is in excess of $4600. The basic pay scales so revised were to be considered regular basic rates. Except for employees whose aggregate rate of compensation including overtime compensation was in excess of $10,000 per annum, a $10,000 ceiling was established by the act for employees subject to the act.

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[6] 45 Stat. 776.
[7] 46 Stat. 1003.
[8] 47 Stat. 416.
[9] 59 Stat. 298; see, also, Baruch, Ismar, "The Federal Employees Pay Act of 1945," *Public Personnel Review,* October 1945, pp. 201–212; "The Wartime Salary Problem," *Public Personnel Review,* April 1944, pp. 77–88.

Under the Federal Employees' Pay Act of 1946,[10] each of the basic rates was further increased by 14% or $250 per annum, whichever was the greater. However, by law, no basic pay rate was increased by more than 25%. As in the Federal Employees' Pay Act of 1945, the revision was to be considered the regular basic rates. No employee covered by the act could be paid at a rate in excess of $10,000 per annum.

Under the Postal Rate Revision and Federal Employees' Salary Act of 1948,[11] each employee whose rate of compensation was previously increased by the Federal Employees' Pay Act of 1946 was given additional compensation at the rate of $330 per annum. The previous ceiling of $10,000 was raised to $10,330.

The effect of the three pay increases (1945, 1946, 1948) upon entrance salary may be illustrated by the case of a P–1 (now GS–5) scientist. The basic entrance salary rate of a P–1 employee, under the Brookhart Act of 1930, and, hence, the basic entrance salary of a P–1 until July 1, 1945, was $2000. By the Federal Employees' Pay Act of 1945, this basic entrance salary rate was increased to $2320 (20% of first $1200, plus 10% of the next $800 equals $320). By the Federal Employees' Pay Act of 1946, the same basic entrance salary for a P–1 was increased to $2644.80 (14% of $2320 equals $324.80). The Postal Rate Revision and Federal Employees' Salary Act of 1948 changed this basic entrance salary to $2974.80 ($2644.80 plus $330).

The Classification Act of 1949 [12] repealed the Classification Act of 1923, as amended. Although the Classification Act of 1949 was not intended primarily to be a compensation act, it nevertheless modified the federal pay scales. As has previously been pointed out, the five classification services were consolidated into two schedules, the General Schedule and the Crafts, Protective, and Custodial Schedule. The concept of integration of basic pay scales with grades of positions collectively forming the position classification plan is continued. New rates of basic compensation were established by the Classification Act of 1949. Such salary increases ranged from $7.20 to $290.50 per annum, or an average of $140.50 per annum per position covered by the act. The legislation con-

[10] 60 Stat. 216.
[11] 62 Stat. 1224.
[12] 63 Stat. 971.

tained rules for adjusting the former rates of basic compensation to the new rates thus established.

In 1951 [13] Congress provided pay raises for employees whose positions were subject to the Classification Act of 1949. (See Fig. p. 395, Appendix.) The legislation was passed in October, 1951, but was retroactive to the first day of the first pay period which began after June 30, 1951. Revised compensation schedules for these employees were based on an increase of $300 or 10% of the minimum rate of each grade, whichever was greater, but not to exceed $800 per annum. For example, prior to the enactment of the 1951 law, the entrance salary of a GS–5 scientist was $3100. Under the 1951 act, the salary of the GS–5 scientist became $3410 (10% of $3100 equals $310 added to $3100). Corresponding monetary increases were made in all other rates in each grade. Hence the new scale for GS–5 positions, regardless of step, was a $310 increase over the previous scale. The average increase in salary provided by the 1951 act was approximately 9.4%.

Step increases.—A step increase, formerly called a periodic within-grade salary advancement, is an increase in an employee's pay rate, from one rate to the next higher rate within the pay scales of the grade. Since 1941, certain federal employees have been eligible for such salary advancements.

Under the Ramspeck Act of 1941,[14] an employee compensated on a per annum basis and occupying a permanent position subject to the Classification Act, under certain conditions, was advanced successively to the next higher rate of the pay scale for his grade at the beginning of the next calendar quarter (1) following each thirty months of service if the employee was in a grade in which the compensation increment was $200 or $250, or (2) following each eighteen months of service if the employee was in a grade in which the compensation increment was $60 or $100. Original conditions of eligibility contained in the Ramspeck Act were: (1) the employee had not received an equivalent increase in compensation from any cause during the period of either thirty or eighteen months; (2) the employee whose rate of compensation was below the middle rate of his grade could not be so advanced unless his current efficiency rating was "good" or better; (3) the employee whose rate of compensation was at or above the middle rate of the grade could not be so

[13] Public Law 201, First Session, 82nd Congress.
[14] 55 Stat. 613.

advanced unless his current efficiency rating was better than "good"; and (4) the head of the agency had to certify that the service and conduct of the employee were satisfactory.

The Federal Employees' Pay Act of 1945 liberalized rules of eligibility for a within-grade salary advancement. The period of service required was reduced: for employees in grades in which the compensation increments were $200 or more, the period of service became eighteen months; for employees in grades in which the compensation increments were less than $200, the period of service became twelve months. The requirement that an employee whose rate of compensation was at or above the middle rate of the grade had to possess a current efficiency rating of better than "good" was revised to permit such a salary advancement when the employee possessed a current efficiency rating of "good" or better, regardless of his specific rate of compensation within the grade.

Employees who left positions to enter the armed forces or the merchant marine or to comply with a war transfer as defined by the Civil Service Commission and who were subsequently honorably separated were permitted to count such war service toward the time required for within-grade salary advancements.

The Federal Employees' Pay Act of 1945 also reduced the waiting period, after an employee attained eligibility, before the increase became effective. Under the 1945 act, the advancement began at the beginning of the next pay period following the completion of the requisite period, instead of at the beginning of the next calendar quarter.

By subsequent Civil Service Commission rule, effective July 1, 1948, an employee holding either a temporary appointment pending the establishment of a register or an emergency-indefinite appointment became eligible to receive within-grade salary advancements in the same manner as an employee who occupied a permanent position.

The Classification Act of 1949 further liberalized rules for such salary advancements. Under this act, the periodic pay increase is called a step-increase. From the point of view of time, an employee now becomes eligible at the beginning of the next pay period following the completion of each fifty-two calendar weeks of service, instead of twelve months of service, if his position is in a grade in which the step increases are less than $200, or each seventy-eight calendar weeks of service, instead of eighteen months of service, if

his position is in a grade in which the step increases are $200 or more. The Classification Act of 1949 also provides that the benefit of successive step-increases must be preserved, under regulations issued by the Civil Service Commission, for employees whose continuous service is interrupted in the public interest by service with the armed forces or by service in essential non-government civilian employment during a period of war or national emergency.

Overtime pay.—Prior to the close of the nineteenth century, overtime work was generally not compensated, either through payment of additional salary or through subsequent time off. However, an Act of March 15, 1898,[15] provided that heads of departments might, by special order, extend the hours of employees in their departments beyond the minimum of seven hours per day (six days per week), but in the instance of an extension, additional compensation was specifically forbidden; in this connection, however, time off was often given subsequently. Prior to 1940, the general practice was that overtime work could be required without additional compensation, particularly in the instance of employees subject to the Classification Act.

However, owing to the national emergency, for several groups of federal employees time and one-half for overtime work in excess of 40 hours per week was authorized under statutes passed in 1940 and 1941. Individuals eligible under these statutes were certain employees in the Navy and War Departments, the Coast Guard, the Maritime Commission, and Panama Canal area. Each statute was passed for a limited period of time. Subsequently, an Act of December 22, 1942,[16] negated the portion of the Act of March 15, 1898, which provided that any extension of the number of hours in the work day must be without additional compensation. In addition, the Act of December 22, 1942, extended the authorization to pay overtime (already applicable to several groups, as stated above) to employees in general, until April 30, 1943, except those whose wages were adjusted in accordance with prevailing rates by wage boards. As a war measure, the War Overtime Pay Act of 1943,[17] effective May 1, 1943, extended and continued overtime compensation until June 30, 1945.

[15] 30 Stat. 316.
[16] 56 Stat. 1068.
[17] 57 Stat. 75.

Compensation for overtime has been continued on a permanent basis by the Federal Employees' Pay Act of 1945. Specifically, the act provides that employees generally who occupy positions subject to the Classification Act must be compensated for all hours of employment, officially ordered or approved, in excess of forty hours in any administrative work week. For employees whose basic compensation is at a rate less than $2,980 per annum, the overtime rate is set by the law as one and one-half times the basic hourly rate. For employees whose basic compensation is at a rate of $2980 or more per annum, the overtime hourly rate is fixed by a schedule which is included in the act. By the same act, heads of departments may provide for the granting of compensatory time off from duty, in lieu of overtime compensation.[18]

Night and holiday work.—Federal employees holding positions subject to the Classification Act were generally not paid additional salary for night or holiday work prior to 1945. The Federal Employees' Pay Act of 1945, however, stipulated that employees assigned to a regularly scheduled tour of duty, any part of which falls between 6:00 P.M. and 6:00 A.M., must be paid an extra 10% of the basic rate on the part of the actual work period falling between the above hours. The 1945 act further stated that the differential for night duty was not applicable to any overtime compensation to which an employee may be entitled. The Federal Employees' Pay Act of 1946 broadened the applicability of night pay differential to include overtime work which may fall within the time period stated in the 1945 act.[19]

Compensation for holiday work was, generally, not permitted prior to 1945. The Federal Employees' Pay Act of 1945, however, provided for compensation for holiday work. Under conditions specified in the act, employees assigned to duty on a holiday designated by federal law or executive order were compensated for such duty at the rate of one and one-half times the regular basic rate of compensation. The Federal Employees' Pay Act of 1946 amended the 1945 statute by providing that an employee assigned to duty on a holiday during hours which fall within his basic work week of forty hours must be compensated at the rate of twice his regular

[18] Baruch, Ismar, "Federal Overtime Pay Policies," *Personnel Administration,* November 1944, pp. 1–5; U. S. Congress, Committee on Post Office and Civil Service, *Compensation for Overtime and Holiday Employment,* Washington, 1951.

[19] Baruch, Ismar, "Federal Night Pay Policies," *Personnel Administration,* January 1946, pp. 7–11.

rate of basic compensation. The higher rate is in addition to any extra compensation for night duty which may be due.[20]

Craftsmen and laborers.—Craftsmen and laborers in the federal government are usually referred to as "blue collar" or "per diem" employees, in contrast to "white collar" or "per annum" employees whose positions are included in the Classification Act. The compensation schedules of the Classification Act apply neither to apprentices, helpers, or journeymen in a trade or craft nor to skilled and semi-skilled laborers unless such employees are under the direction of the custodian of a public building or unless they perform duties subordinate or preparatory to professional, scientific, or technical work. Wages of craftsmen and laborers in the federal government, therefore, are generally determined by individual agencies, through administrative action.[21]

One of the earliest statutes pertaining to skilled, semi-skilled, and unskilled employees was passed by Congress in 1862.[22] It provided that the rates of wages of employees in Navy Yards conform to those of private industry in the vicinity of Navy Yards. A law in 1874 [23] authorized payment of wages to certain skilled employees in the Bureau of the Mint as were customary and reasonable according to their occupations and locality. Similar laws were also passed, for example, in 1905 [24] for various tradesmen in the Treasury Department, in 1910 [25] for particular employees in the Public Buildings Administration, and in 1912 [26] for certain American citizens employed in the Panama Canal. Subsequent statutes have been applicable to craftsmen and laborers in other federal agencies. Generally, each statute provides for the establishment of wages for such employees on the basis of prevailing rates in the geographic area.

Other pay plans.—The pay plan established by the Classification Act of 1949 applies to more federal employees than any other pay system for civilian personnel. However, it should be noted that there are approximately forty systems of compensating employees

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[20] Baruch, Ismar, "Federal Holiday Pay Policies," *Personnel Administration*, September 1945, pp. 15–18; U. S. Congress, Committee on Post Office and Civil Service, *Compensation for Overtime and Holiday Employment*, Washington, 1951.

[21] See Sec. 202(7) of the Classification Act of 1949.

[22] 12 Stat. 587.

[23] 18 Stat. 96.

[24] 33 Stat. 1164.

[25] 36 Stat. 1363.

[26] 37 Stat. 560.

in the executive branch of the federal government. With respect to some of these plans, Congress has provided pay standards in specific legislation and the agency head is authorized to exercise discretion in applying the standards; in other instances, the pay plan is wholly an administrative creation and is subject only to administrative discretion. Some of the pay plans are very similar, but a few of the plans have distinctly contrasting features. In amount of remuneration, the range is from the President's salary of $100,000 per annum fixed by law to zero salary for individuals employed on a "without compensation" basis.[27]

Compensation for State Employees

States have one or more compensation plans covering particular groups of state employees. Certain groups of employees, such as state police, usually are included in special compensation plans limited to the single occupational area. General compensation plans often include the more common occupations such as clerks, typists, and messengers.[28]

Three methods of determination of the salary of state employees predominate among the several states. The usual method of determination is legislative action fixing the rates for individual positions or for various groups of positions. Upon recommendation of the central staff personnel agency and governor or acting on its own initiative, the state legislature in the majority of states establishes a compensation plan with a fixed salary schedule. One problem resulting from the direct legislative approach lies in the fact that the average state legislature meets only every second year; consequently, in any period of rising living costs, the lag before consideration of any necessary salary changes may have adverse effects upon recruitment and retention of state employees in periods of rising living costs. A solution to the problem is offered by the "pay equalization fund" plan in California; under the plan, a special fund, operated by the fiscal and personnel agencies and by representatives of the state legislature, is available for making

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[27] See Dembling, Paul G., and Herbert E. Forrest, "Government Service and Private Compensation," *George Washington Law Review,* December 1951, pp. 174–209, and January 1952, pp. 264–292.

[28] Council of State Governments, *Maintenance of Institutional Employees: Summary of Values Established in Various States,* Chicago, 1942; Karlen, Harvey M., "Wage Trends and State Employment, 1929–1944," *State Government,* November 1945, pp. 217–218; New York State Salary Standardization Board, *Annual Reports,* Albany.

necessary pay adjustments during a period when the legislature is not in session.

In a few states, the determination of the specific salary of state employees is made in the executive branch by the central staff personnel agency, with or without subsequent gubernatorial approval. By this method, prior to administrative revision, a survey is usually conducted to establish relationships between salaries of state employees and employees in industry in comparable positions. A limitation on the effectiveness of executive determination results when the legislature fails to provide sufficient funds to cover such increases. Hence, in the State of Washington, in 1947, certain increases administratively established could not be effected because of insufficient appropriations.

A third method of determination of salaries of state employees is executive action under a cost of living standard. The experience of Minnesota state employees in the classified service since 1945 typifies this approach.[29] Following a salary survey in 1944, a compensation plan was submitted to the legislature in 1945. As drawn up, it provided that the cost-of-living index of the U. S. Bureau of Labor Statistics would be the criterion for change, with a one-step salary adjustment to be made for each ten-point increase or decrease in the cost-of-living index. As initially adopted by the legislature, the plan provided for an additional one-step salary adjustment only for the ten lowest salary ranges. Based upon the operation of the 1945 plan, the legislature in 1947 made several modifications. For example, step adjustments were to be made as the result of nine-point changes, instead of ten-point changes; basic pay rates were also liberalized. Hence, based on an increase in the index of December, 1947, the Director of Civil Service certified that the cost-of-living index justified a two-step adjustment in all salary ranges, which became effective July 1, 1948. Because state salaries in the classified service were lagging behind salaries in private industry and other public jurisdictions within the State of Minnesota, the 1951 session of the legislature retained the basic ranges but amended the formula to provide for changes of six and one-half points, instead of nine points, in the cost-of-living index. Thus, effective July 1, 1951, one or more salary steps were added

[29] Berg, E. L., "Minnesota's Cost-of-Living Pay Plan," *State Government*, May 1949, pp. 140–142; Stover, Robert D., "The Minnesota Cost of Living Pay Plan," *Public Personnel Review*, July 1948, pp. 133–137.

or taken away for each six and one-half points change in the index. Although other factors such as the ability of the state to pay and the limits and structure of the state pay plan were also considered, the Consumers' Price Index of the U. S. Bureau of Labor Statistics has become an essential factor in the determination of salary by the State Civil Service Department. It may be pointed out that in 1951 the Minnesota legislature also adopted a cost-of-living pay plan for department heads of the state government. Cost-of-living adjustment steps, based on an annual rather than a monthly period, become effective for department heads on a seven-point change in the cost-of-living index.

Colorado has a unique "pay increase" plan based on the state's merit rating system. The salary for persons entering the classified service is the minimum of the grade in which the position is allocated. Positions are graded from 1 to 25, and for grades 1–23 there are five step increases beyond the minimum entrance salary. An employee is considered for a one-step increase dependent upon his average Merit and Efficiency Rating for the most recent twelve-month period. If an employee has an average rating within a range of 150 to 174 points, he is given a one-step increase each year up to three steps above the minimum; for the fourth step, he must have had five years of service; for the fifth step, eight years of service are necessary. If an employee has an average rating of 175 or better during the time he spends at the third and fourth steps, he is given a one-step increase each year up to five steps above the minimum. An employee who has been increased above the minimum rate must maintain an average rating of at least 150 points to keep the increase already granted. An average rating below 150 points prevents a step increase.

During World War II, states were unable to compete financially with industry and with the federal government for manpower. However, since the conclusion of World War II the salary of state employees has been raised in many states to reach the highest point in the history of state salary administration. Significant changes which took place in 1946 and 1947 may be illustrated through reference to seven states. In California, state employees earning less than $400 monthly received a $10 per month increase in 1946. In Wisconsin, two increases, totaling $20 per month, were applied to state employees in 1946. Michigan state employees benefited

from an average increase of $16. Connecticut provided average increases of from $15 to $20 per month for state employees. In Pennsylvania, salaries of lower grade positions were increased by 15% while those of higher grade positions were increased 5%. In Minnesota, increases ranged from $20 per month to $90 per month. In New York, a new compensation plan, effective April 1, 1947, created 50 grade levels ranging from $1600 as an annual minimum to $12,500 per year as a maximum. It should be noted, however, the average amount of increase in these seven states was higher than the average amount provided in other states. Scattered increases were effected in a dozen states in 1948 and 1949.

The outbreak of hostilities in Korea in June, 1950, with subsequent increased demand for manpower, created serious recruiting difficulties among the majority of states and resulted in further consideration of salary increases for state employees. Consequently, twenty-nine states granted salary increases. In some states the increase has been in the form of a cost-of-living bonus; in others, the base pay has been raised; in a few states both forms of increase have been adopted. The amount of the increases effected in individual states in 1950–52 was not comparatively large, the average amount being approximately 5% of the base rate.

Although many state central staff personnel agencies and governors have made recommendations to state legislatures since 1946, and although state legislatures have given consideration to the problem of inadequate salaries for state employees in the majority of jurisdictions, on the whole the increases which have been granted have been small in comparison with similar increases for positions in private industry. There are, of course, other incentives to public employment besides salary, but the fact remains that there are a few types of full-time positions in state jurisdictions which today pay less than $1000 per year. In some states there are constitutional limitations on the amount of compensation public employees may receive. As a matter of fact, it was not until November, 1949, that the State of Kentucky, by action of the voters, ratified a constitutional amendment which increased the maximum limit for salary for state employees from $5000 to $12,000; the $5000 limit had been in effect since 1892. Furthermore, in only nine states today can any civil service employee receive more than $10,000 per annum regardless of his duties and responsibilities.

Compensation for Local Employees

The number of adequate compensation plans for employees of local units of government is limited. Generally, determination of salary of such employees is a matter for the local legislative body. The chief executive of the local unit may take the initiative in proposing salary increases to the local legislature, but often the question of salary change is left wholly to the inclination of the local legislative body.[30]

As a general rule, prior to 1945, salaries for employees of local units were comparatively low. Some progress was made in establishment of compensation plans for employees of local units of government in the period 1945–49. However, the majority of local units gave consideration to increasing the salary of their employees in 1950–52 as a result of increased competition for manpower and the rising cost of living. The number of jurisdictions in which increases have been recently provided has been large, although the amount of increase has been estimated at approximately 7% of the base rate. (See Fig. p. 396, Appendix.) In some jurisdictions, only certain groups of employees, such as skilled craftsmen, policemen, firemen, and teachers, have benefited. The trend, however, has been to include most employees of the unit. Where increases have been granted, the formula for the increase has varied, a flat sum increase, a percentage increase, or a cost-of-living increase being the predominate formulae. With the exception of larger municipalities, however, salaries of employees of local units of government are still comparatively low. Pay plans exist in only approximately 45% of all cities having more than 10,000 population.[31]

The salary experience of the Milwaukee area illustrates positive action taken at the local level to increase compensation for employees of local units. The experience is particularly significant in that consideration was given in the plan to public employees in different local jurisdictions but located in the same geographical area. Five local jurisdictions operating within the corporate limits of Mil-

[30] International City Managers Association, *Municipal Personnel Administration,* Chicago, 1947, ch. 4.

[31] International City Managers Association, *Municipal Year Book 1952,* Chicago, 1952, pp. 135–136; Probst, J. B., "The St. Paul Plan of Adjusting Salaries to Cost of Living," 15 *Public Management,* 1933; Lyon, H., "Cost of Living Pay Adjustment Plans," *Public Management,* September 1948, pp. 260–265; Snyder, Eleanor M., "Cost-of-Living Adjustment of State & Municipal Wages," *Monthly Labor Review,* November 1943.

waukee (namely, the City, the County, the School Board, the Vocational School Board, and the Sewerage Commission) established a cost-of-living adjustment plan in 1943. The plan, still in operation, applies to approximately 98% of all of the municipal employees, the salaries of the remainder being fixed by wage contracts negotiated in the building construction industry.

The basic plan of Milwaukee provides for a salary adjustment based on a salary of $1620 per year, multiplied by the amount the Consumers' Price Index of the Federal Bureau of Labor Statistics exceeded 100, determined at monthly intervals. Since an annual salary of $1620 amounts to $135 per month, for each point rise in the cost-of-living index, $1.35 per month becomes the adjustment. Thus, for example, in 1944, the monthly adjustment figure was $30.64; in 1948, $83.02 and in 1949, $100.58. Following a slight decrease in the cost-of-living index during 1949, a reduction of $10.26 in the adjustment was made in 1950. It should be pointed out, however, that in order to lessen the effect of this decrease, four of the jurisdictions passed a special $10 monthly adjustment to be effective for one year. In 1951, the cost-of-living adjustment figure amounted to an increase of $11.66 per month, supplemented by a special increment of $5 per month. For 1951, as compared with 1943, the total amount of the cost-of-living adjustment amounts to $102.20 per month.

When the Milwaukee General Salary Ordinance for 1952 was passed, the raise over 1951 was $22.40 (of which $15 was the special adjustment); thus, for 1952, most city employees received an increase of $7.40 per month. The special adjustments of $10, $5, and $15 are not considered part of the basic adjustment plan; however, these special amounts do reflect changes in the cost of living of municipal employees.[32]

A unique approach to the problem of adequate salary for municipal employees has been made by the City of Toledo, Ohio. In July, 1946, as an outgrowth of demands for adjustment of the salary of municipal employees, a city ordinance authorized the city manager of Toledo to enter into a contract with a professional engineering firm for an evaluation of municipal positions. A position evaluation survey which was subsequently undertaken set a relative job

[32] Personnel Ordinances of Milwaukee, 1947, pp. 185–186; City of Milwaukee, Compilation of Salary Ordinances, 1952, secs. 3, 13; Christopherson, Richard, "Milwaukee Seeks Pay Justice," *National Municipal Review*, September 1946, pp. 408–412.

point weight for each municipal position. The point weight for the individual position remains constant, but the dollar point value established is a variable. The salary of an individual position is determined by multiplying the number of points established for the position by the dollar point value. The Toledo survey concluded that, based on the amount provided in the 1947 budget for payroll, the basic point value was $15.30; recommendation was made in the survey that a $16.00 point value would equitably adjust the pay problem. The city manager recommended to the city council that the position point values contained in the report be adopted and that $16.00 be the new point value. The city council, by ordinance, adopted the point findings, but adopted $16.25 as the dollar point value. The resultant compensation plan provided raises for 2138 city employees and decreases for 101 others in 1947. In 1948, the city council fixed $17.50 as the dollar point value. The dollar point value established in 1948 has been continued each year since that time; however, a city ordinance, effective January 1, 1951, provided a $300 annual raise as an adjustment in the cost of living. In 1952 the pay adjustment amounted to $225.

Hours of Work

Reference to the monetary aspects of a pay plan is incomplete without consideration of the workweek established in the individual jurisdiction. A pay plan and an understanding of the hours of work required to obtain a particular salary are interdependent in an analysis of compensation.[33]

The number of hours per day as well as the total number of hours per week an employee of an agency is required to work is usually fixed by the legislative body of the jurisdiction. The exact hours of the day (or night) during which an employee is expected to work is administratively set by the chief executive of the unit of government or by the head of individual agencies. Since fixing the time of work is considered to be a line responsibility, neither a central staff personnel agency nor an agency personnel office establishes specific hours of work for employees of a jurisdiction or agency. The normal workweek in the federal government for most employees is forty hours, comprised of five days of eight hours each,

[33] Graves, W. Brooke, *Public Administration in a Democratic Society*, Boston, 1950, pp. 194–195; International City Managers Association, *Municipal Personnel Administration*, Chicago, 1947, pp. 248–249.

Monday through Friday inclusive. The normal workweek for state employees is forty hours, on a five-day basis. At the local level, a forty hour (five-day) workweek or a forty-four hour (five and one-half day) workweek is common for most employees of a jurisdiction. The forty or forty-four hour average often does not apply to certain types of positions, like forest ranger, or fireman, the performance of duties of which do not constitute a continuous physical or mental strain on the employee.

Under normal circumstances no employee is required to work in excess of the established work period within the same week. In some jurisdictions, work within the same week in excess of forty hours, but not in excess of forty-eight hours of work, on regular workdays, may be authorized by agency heads when, in their judgment, such work is necessary to meet unusual conditions or emergencies. Employees may be paid overtime compensation for all hours of employment officially ordered or approved in excess of the normal workweek. In some cases, as compensation, an employee may receive compensatory time off in lieu of overtime pay.

The general policy with respect to tardiness may be summarized as follows: (1) tardiness in any reasonable amount is excusable for adequate cause or it may be handled administratively by requiring additional work; (2) group tardiness due to inclement weather, transportation failures, etc., may be excusable and employees who arrive late for such reason may be credited with a full day's work if they otherwise work until the normal closing hour; (3) if the privilege is abused, tardiness may be charged against annual leave or treated as a disciplinary matter; (4) individual tardiness of thirty minutes or more may be charged to annual leave; in such cases the minimum leave charge is one hour and additional leave is charged in multiples of one hour; and (5) in the case of unexcused tardiness, the range of penalties is from a minimum penalty of a warning for the first offense to a maximum penalty of consideration for discharge.

From the point of view of hours of work, there are three types of employees: full-time, part-time, and intermittent. The full-time employee is one who is regularly required to work, as a minimum, the number of hours in the workweek specified for employees in his group. A part-time employee is one who is regularly required to work a specified minimum number of hours per week determined in advance at less than the workweek prescribed for similar full-time employees. An intermittent or irregular employee is one who is not

regularly required to work a specified minimum number of hours in a workweek.

Maintenance of accuracy in recording hours of work performed is absolutely essential if public funds are to be expended properly. Supervisors are responsible for familiarizing their employees with the agency's policy pertaining to hours of work and time recording and for promoting willing cooperation and compliance by all employees.

Leave

In the majority of jurisdictions, permanent employees of an agency are given leave (or time off from their official duties) amounting to a fixed number of days per year with pay. A charge is generally made to an employee's leave record when he is absent from his position. Leave is charged only for absence upon a day which an employee would otherwise work and receive pay. Thus, leave is not chargeable for Saturdays or Sundays which do not occur within a regular tour of duty, or for holidays or non-work days established by law. Generally, there are two kinds of leave: annual (or vacation) leave and sick leave.[34]

Annual leave.—This type of leave may be granted employees for personal business, recreation, or family conditions, such as illness in the family for which an employee believes his presence is desirable. It has been held that it is within the authority of agency heads to require employees to take annual leave as the needs of the service may require; however, as a matter of practice, the employee usually decides when he desires to take annual leave. Before annual leave is actually taken, supervisory approval is requested. Supervisors are expected to use sound judgment with respect to granting requests for annual leave so that the minimum needs of the work program may be continuously met. The rate at which annual leave accrues is usually fixed in legislation or executive order and varies widely among jurisdictions. In many jurisdictions accumulated annual leave may be carried forward for use in succeeding years; in such instances, there is generally a fixed maximum, however, beyond which leave cannot be accumulated.

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[34] Graves, W. Brooke, *Public Administration in a Democratic Society,* Boston, 1950, pp. 196–197; International City Managers Association, *Municipal Personnel Administration,* Chicago, 1947, pp. 249–257; New Jersey Chamber of Commerce, *An Analysis of Sick Leave Programs for Government Employees,* Newark, 1944; Sibley, E. W., "Leave of Absence," *Civil Service Review,* September 1951, pp. 300–319.

In the federal government, employees generally were authorized annual leave at the rate of thirty days per year (exclusive of Sundays and holidays) from 1898 to 1932. Although basic legislation remained the same until 1936, annual leave was curtailed administratively during the period 1932–1936. In 1936 Congress passed a leave act [35] under which permanent employees generally accrued annual leave at the rate of one day per bi-weekly pay period or twenty-six days per year. Under the same act temporary employees accrued two and one-half days' annual leave for each month of service. Employees were permitted to accumulate annual leave for use in succeeding years until it totaled not in excess of sixty days at the end of a calendar year. Because of the demands of World War II for manpower in the federal government and the consequent curtailment of vacations, federal employees were permitted to accumulate up to a total of ninety days of annual leave, instead of sixty days, until 1947. In July 1947, however, the normal maximum of sixty days' carryover to the next calendar year was resumed and was in effect until 1950. A few groups of federal employees such as postal workers were not covered by the 1936 act; these groups were granted annual leave under other legislation.

During the period 1950–51, certain changes were made in the annual leave system for federal employees. In 1950, Congress provided that all annual leave earned during the calendar year of 1950 must be used by June 30, 1951, or else it would be forfeited.[36] This provision did not nullify any annual leave earned and accumulated prior to January 1, 1950, but it prevented annual leave earned in 1950 to accumulate after June 30, 1951. In 1951, Congress enacted a similar limitation on annual leave earned in 1951 by requiring that it must be used by June 30, 1952 or forfeited,[37] but this later requirement was subsequently repealed in October 1951.[38]

Another change made in 1951 reduced the rate of accumulation of annual leave. A rider to the Independent Offices Appropriation Act, signed by the President on August 31, 1951, provided that effective July 1, 1951, annual leave accrued at the rate of twenty days per year for those employees generally who received more than this rate.[39] Certain groups of employees who have been receiving less

[35] 49 Stat. 1161.
[36] Public Law 759, Second Session, 81st Congress.
[37] Public Law 137, First Session, 82nd Congress.
[38] Public Law 233, First Session, 82nd Congress.
[39] Public Law 137, First Session, 82nd Congress.

than twenty days of annual leave per year (such as the postal workers who have been receiving fifteen days of annual leave per year) were not affected by the above act. However, in October 1951, Congress passed the Annual and Sick Leave Act of 1951 [40] which canceled the leave rider to the Independent Offices Appropriation Act and established a new schedule for the accumulation of annual leave applicable to most federal employees including postal workers. Under the Annual and Sick Leave Act of 1951, an employee with less than three years of service accrues thirteen days' annual leave per year; an employee with at least three years of service but less than fifteen years accrues twenty days' annual leave per year; an employee with fifteen years of service or more accrues twenty-six days' annual leave per year. Service includes honorable military service as well as civilian service. The Annual and Sick Leave Act of 1951 did not become effective until January 6, 1952, but it repealed the leave rider to the Independent Offices Act effective July 1, 1951; one effect, therefore, of the Annual and Sick Leave Act of 1951 was to negate retroactively the leave rider to the Independent Offices Appropriation Act. In repealing the requirement that all annual leave earned during the calendar year of 1951 had to be used by June 30, 1952, the Annual and Sick Leave Act of 1951 provided that a maximum of sixty days of accrued annual leave may be carried over to the next calendar year. Subsequently, in 1952, Congress required that all annual leave earned in 1952 had to be used by June 30, 1953, or be forfeited.

Although a few state and local units of government allow one week of annual (or vacation) leave per year and a few others allow three weeks, the average is two weeks per year. A recent survey of 43 states and 32 cities having a population of more than 250,000 indicates that 71 jurisdictions out of the total of 75 provide vacation leave ranging from 10 to 25 working days per year.[41] Results from the 72 jurisdictions were as follows:

Length of Vacation	*No. of States and Cities*
None	1
10 days or less	19
11–15 days	46
16–20 days	5
21–25 days	1
	72

[40] Public Law 233, First Session, 82nd Congress.

[41] Joint study by U. S. Bureau of the Budget and U. S. Civil Service Commission, Washington, 1950.

In the three remaining jurisdictions covered by the survey the amount of vacation leave is fixed by individual department heads. For the 71 jurisdictions granting vacation leave, the average is approximately 13 days per year. As is the case in the federal government, the rate of accumulation of vacation leave at state and local levels of government does not vary with the length of service of the employee. In addition to annual leave, the survey reveals that about 70% of the jurisdictions authorize excused leave for "personal reasons" (not including sick leave). Illustrations of acceptable personal reasons are the transaction of personal business, shopping, sickness, weddings, and death in the immediate family. In those jurisdictions authorizing leave for personal reasons, the average is approximately eight days per year.

Sick leave.—In most jurisdictions sick leave is granted employees when they are unable to perform their duties because of personal sickness, injury, pregnancy, or for medical or dental examination or treatment. Sick leave may be granted to an employee when a member of his immediate family has a contagious disease, or when, through exposure to contagious disease, the employee on duty would jeopardize the health of others. The rate at which sick leave accrues may be fixed by legislation, although in the majority of units of government the rate is set administratively, sometimes dependent upon the circumstances of individual employees. As a matter of fact, some jurisdictions make no provision for sick leave as such. Sick leave may be accumulated by an employee for future use, with a maximum amount beyond which sick leave cannot be accumulated.

In the federal government, prior to January 6, 1952, most employees earned sick leave at the rate of one and one-fourth days per month or fifteen days per year. Since January 6, 1952, however, employees generally accrue sick leave at the rate of one-half day for each full biweekly pay period or thirteen days per year.[42] The minimum credit and charge for sick leave is one hour; additional credits and charges are made in multiples of one hour. Unused sick leave may now be accumulated in an indefinite amount by an employee in the federal government; prior to January 6, 1952, an accumulation of 90 days of sick leave was the maximum permitted.

The usual sick leave allowance in state and local units is two weeks per year, with a maximum accumulation of 30, 60, or 90 days permitted.

[42] Public Law 233, First Session, 82nd Congress.

In addition to annual (or vacation) and sick leave, there are other types of leave found in many units of government.[43] These types include court leave, holiday leave, excused absence, and extended leave without pay.

Court leave.—When an employee is absent from duty for attendance in court as a witness on behalf of a unit of government, or for jury duty, such absence from duty is frequently recorded as court leave. Jury duty in police, county, state, and federal courts is considered jury duty for this purpose. Before court leave is granted, an employee is usually required to submit a true copy of the official summons for jury or witness service prior to the beginning date of such service.

Holiday leave.—The following days are designated as regular holidays and non-work days in most jurisdictions: 1 January, 22 February, 30 May, 4 July, Labor Day, 11 November, Thanksgiving Day, and 25 December. Employees on leave with pay receive pay without charge to leave for a holiday occurring within the period of leave with pay. Although sincere religious scruples of employees are usually given appropriate consideration,[44] the absence of an employee on a holy day which is a work day is charged to annual leave, if the employee has leave to his credit; otherwise, the employee is carried on leave without pay.

Excusable absence.—In some jurisdictions certain absences may be excused from work without charge to leave. Thus, if an employee (1) volunteers as a blood donor, or (2) is required to be examined by the central staff personnel agency in connection with a proposed promotion, or (3) is taking a civil service examination in order to retain his position, or (4) is absent for medical examination or treatment for an injury sustained in line of duty, or (5) is absent from duty for the purpose of attending a convention as an official delegate in connection with the work of his agency, or (6) wishes to vote in an election, he may be excused from duty for a limited period of time, without charge to leave. In each instance, the employee is not excused for a period of time longer than is deemed by the supervisor to be reasonable.

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[43] See, for example, U. S. Civil Service Commission, *Federal Personnel Manual,* Washington, ch. LI.

[44] For an analysis of the conflict between religious principles and legal authority, see Torpey, William G., *Judicial Doctrines of Religious Rights in America,* Chapel Hill, 1948.

Extended leave without pay.—Leave without pay may be granted to an employee for a definite period regardless of whether he has annual leave standing to his credit. A request for extended leave without pay is usually examined closely to assure that the value to the agency or to the serious needs of the employee is sufficient to offset the cost and the administrative inconvenience to the agency which result from the retention of an employee in an extended leave-without-pay status. Among these costs and inconveniences are the following: (1) loss of services which may be needed in the organization, (2) obtaining and training a temporary replacement for the employee going on extended leave without pay, (3) obligation to provide employment at the end of the approved leave, and (4) credit toward retirement.

Extended leave without pay is often granted for educational purposes and recuperation purposes. Thus, an employee may be given extended leave without pay to pursue a formal course of study which falls directly within the scope of the employee's work, and which would make the employee more valuable to his agency. To permit recovery from an illness or disability not of a permanent or disqualifying nature, an employee may be granted extended leave without pay when his immediate return to employment would threaten his health, or the health of other employees. By contrast, extended leave without pay is not granted to accept other permanent employment or to care for business affairs.

It is the responsibility of an employee on extended leave without pay to return to duty on the first work day after the expiration of the leave period. Failure to do so may constitute "abandonment of position" and result in separation for that reason. An employee on extended leave without pay, who recovers from an illness, who discontinues his education, or who otherwise makes any change eliminating the reason for the leave, is expected to advise his agency immediately of this change and either arrange to return to active duty or submit a resignation. When circumstances justify, a request for an extension of a period of extended leave without pay is usually forwarded to the agency for consideration prior to the end of the approved leave period.

Unauthorized absence.—When an employee is absent from duty without authorization and does not give notification of his absence, the employee may be carried in an indeterminate or nonpay status until the cause of absence is determined. Leave with pay or leave

without pay is often substituted subsequently for the period carried in an indeterminate pay status. Appropriate disciplinary action may be taken in event an absence cannot be adequately justified by an employee.

Problems of Administration

Among the problems associated with the administration of the compensation function, the following call for special attention:

Lack of pay ranges in compensation schedules.—In many government jurisdictions the compensation plan contains no pay range for the individual grades making up the schedule. Under such circumstances, an employee cannot look forward to any monetary increase as long as he continues in the same position. Lack of a pay range, therefore, tends to lower morale and to promote routine performance.

A pay range is properly included in a compensation schedule to provide increments in salary for satisfactory performance of an employee in the same or similar position over a minimum period of time. Inclusion of a pay range is an expression of worth of experience and constitutes encouragement for both the inexperienced and experienced. As an incentive for personal improvement, a pay range should be a part of every compensation schedule.

Improper use of pay ranges.—In many jurisdictions, the increment of a pay range is, in effect, automatically awarded upon the completion of a minimum period of service. The chief motive in so granting is frequently the desire to meet increasing living costs, with little, if any, objective reference to the quality of performance on the part of the employee during the period of performance. Such improper use of pay ranges unduly minimizes, if not destroys, incentive and becomes a method for partially solving a financial problem through a method not contemplated in the establishment of a pay range.

In order to become eligible for a salary increment, an employee should be required to qualify under standards of performance, realistically applied. Where qualifications of eligibility include a standard of efficiency, compliance with the standard must be carefully observed, if the purpose of the creation of the salary range is to be achieved.

Use of similar methods of salary determination resulting in competing salary rates.—Where evaluations of local prevailing wage rates are made administratively by individual agencies, the resultant salary rates frequently vary in the same geographical area at any one

time. Diverse salary determinations for identical occupations in the same location often result from the fact that the wage surveys may have been conducted at different periods of time and from the fact that different formulae may have been used by individual agencies to ascertain their salary rates. (Instead of uniformity of salary for a particular occupation of one government jurisdiction in a single geographical area, there may be, in fact, as many different salary rates for the same occupation as there are agencies in the area.) Competition among government agencies of the same jurisdiction for the same people becomes very keen. During periods of rising living costs, employees in such instances tend to move to the agency making the most recent salary determination. Conversely, during a period of declining costs of living, employees tend to transfer to agencies in the geographical area which have been slow to adjust their salary downward.

The desirability of uniform salary rates for identical occupations in the same jurisdiction in the same geographical area should be readily apparent.

Use of different basic methods of salary determination resulting in competing salary rates.—In some jurisdictions the use of different methods of salary determination for certain occupational groups results in the establishment of competing salaries within one jurisdiction in the same geographical area. Thus, in the federal government the positions of craftsmen subordinate or incidental to professional and technical employees come within the purview of the Classification Act of 1949; the positions of craftsmen in the identical trades who are not subordinate or incidental to professional or technical employees are not within the Classification Act. The salary of the former group of craftsmen is fixed by the Classification Act, while the salary of the latter group of craftsmen is fixed administratively. The application of two different methods of salary determination for the same category of employees results, in practice, in dual standards of payment in the same federal agency for employees whose training, background, experience and quality of performance may be identical. Differences in salaries resulting from these contrasting methods of salary determination agitate for the inclusion of such employees under the Classification Act when the salary schedules of the act are higher than those set administratively and, conversely, outside of the Classification Act when administrative determination results in higher salary.

The labor market would be more effectively stabilized if a uniform method were used to determine the salary for identical occupational groups of employees in the same agency and jurisdiction.

Time involved in salary determination.—The time involved in salary determination frequently is so great as to negate many desirable effects the change is intended to have. Municipal legislatures generally meet weekly or bi-weekly, but many state legislatures meet bi-annually. Once consideration is initiated in a state legislature, the normal legislative process may consume many months or frequently a year. When salary determination is made administratively, the time required to conduct a survey and to analyze results may be lengthy. The problem of arriving at a reasonable amount for individual salary ranges may prove to be very technical and necessitate careful study. The time consumed may bring about a condition whereby revised public salary rates at the time of promulgation may not even approximate current market conditions.

Unless the time needed to revise salary rates is reduced to a minimum, private industry and organizations competing for government personnel will have ample opportunity to attract individuals who otherwise would select, or remain in, the government service.

Excessive time required for salary increments.—Granted that a salary increment within a grade is for incentive purposes, when the increment is awarded only after an exceptionally long interval of experience in a position, its value as an incentive is greatly diminished. In some jurisdicitons, it is necessary for employees to continue in the same position for two years before a salary increment may be due. In the case of professional and executive positions, the time period required as a factor for eligibility for such an increment is greater in some jurisdictions.

Although it is not desirable to have an extremely brief period of experience in a position, such as three or five months, a waiting period beyond one year for clerical employees or beyond eighteen months for professional and executive personnel may easily result in negation of the purpose of the increment.

Identical time intervals between steps in a range.—In many jurisdictions the time interval which an employee must spend as a minimum in each step in the range is the same. Furthermore, if an experienced employee reaches the top of the range of his position after a comparatively short period of time, there frequently is no motivation for him to improve or maintain his efficiency except as may be

provided through knowledge that at some time in the indefinite future he may be promoted to a different job.

Psychologically, the minimum time required before an employee's salary may be increased by the first increment should be a shorter period than for the last increment in the salary range. Encouragement in the form of potential increase is especially valuable for new employees. Availability of a potential increment during most of the period the average employee remains in one position is usually an effective challenge to continued satisfactory performance.

Uniform size of step increases.—In many jurisdictions the amount of the step increase is the same for each salary range in the schedule. The monetary increase for the messenger is the same as the monetary increase for the division head.

By contrast, the size of the step increase within a range should be a relatively constant percentage of the minimum salary of the range. A greater amount of increase must be given to higher grade employees if the corresponding financial reward is to have reality in proportion to that afforded lower grade employees who receive such an increase.

Inadequate basic salary rates.—Especially in a period of comparatively high living costs, basic salary rates for the majority of the positions in state and local governments are inadequate. In the federal government, salary for professional and executive personnel appears to be far below salary for comparable positions in private enterprise. Since the conclusion of World War II the ability of government to attract and retain competent personnel has become increasingly ineffective. Innumerable surveys indicate inadequacy of salary as a key reason for this problem. The full effects of a short-sighted policy of comparatively low salaries for government employees are often obscured. Costs incident to recruitment programs, employee turnover, and inefficiency of operations are frequently the price taxpayers must assume for inferior performance resulting from employment of mediocre personnel.

Regardless of the basic considerations receiving emphasis at any one time by legislatures during the determination of rates to be included in salary schedules, government must pay a salary at least reasonably equivalent to private enterprise if the kind of service which the people require is to be offered by government. In the setting of salary schedules, due consideration may be afforded to the various advantages of public employment. What constitutes ade-

quate salary for government employees obviously differs among individual areas and among occupations. However, until government establishes real wages sufficient to provide reasonable comforts of life, government employment will not attract and retain its fair share of competent employees.

Abuse of sick leave.—Because of misunderstanding of the purpose of sick leave or otherwise, a few employees sometimes apply for sick leave to cover periods of absence during which there is serious doubt whether the employees are, in fact, ill. Occasionally, employees erroneously believe that sick leave is a right to be used as they see fit; in reality, the use of sick leave is a privilege available for bona fide situations in which an employee is incapacitated for duty. Since an employee does not receive any compensation for unused sick leave at the termination of his appointment (contrary to the usual practice with respect to unused annual leave), there is sometimes temptation to use accumulated sick leave before separation. Administratively, it is often very difficult to verify whether sick leave is being used properly; for a variety of legitimate reasons, sick leave rates as such, either on an agency or individual basis, may be meaningless.

Elimination of any abuse of sick leave depends upon a complete understanding of the purpose of sick leave by both supervisors and employees and upon the wholehearted cooperation of each employee. Training and supervisory guidance in this respect constitute two avenues of positive approach to the problem. Furthermore, the establishment of a preventive health program for employees is a practical way to guard the health of employees and to provide a measure of reassurance or relief which is sufficient to cause an employee to return to duty without loss of time. There is conclusive evidence that, when management takes an official interest in the well-being of employees, apparent abuses of sick leave (as well as bona fide claims for sick leave) significantly decrease.

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CHAPTER 4

Employment

GOVERNMENT AS EMPLOYER

In the execution of their manifold functions, federal, state, and local units of government require a variety of skills. These skills run the gamut of abilities—from the dexterity required of a common laborer, for example, to the skill required of a top level administrator. In the federal government alone, there are more than 15,000 skills needed to carry on the federal government business. Nearly an equal number of skills are needed by state and local governments. Government demands not only diversity of skills but also depth of skills. The turnover factor necessitates replacement in volume for employees in common occupations such as clerks and messengers who leave government employment. In the federal government alone, for example, approximately 600,000 persons are needed annually as replacements. For all levels of government, approximately 1 1/4 million replacements are required yearly.

Persons are continuously needed for government employment, not only as replacements in the current body of government employees, but also as additional employees to carry on new functions of government determined by legislatures. In view of increased demands for service which citizens are currently making upon various units of government, there is reason to anticipate that the need for new employees will continue to increase during the next few years.

As used in this chapter, employment embraces "placement from without" and "placement from within." Placement from without involves the recruitment, testing, and selection of individuals from outside a government unit for positions in the unit. Placement from within refers to the movement of individuals who are already employed in a government unit and involves reassignment, transfer, promotion, and demotion.

Recruitment

Objective.—Recruitment refers to the process of obtaining applications for positions. Recruitment is a cornerstone of personnel operations. Without a steady stream of new employees in ample numbers and of sufficient quality, government would cease to operate. In contrast to other forms of government, recruitment in a democracy depends upon voluntary action of the citizenry. Essentially, the aim of recruitment by government is to stimulate interest among individuals in working for the government as employees.[1]

Agency responsible.—Where there is a central staff personnel agency for a government jurisdiction (such as a Civil Service Board or Commission), the central staff personnel agency usually carries on most, if not all, of the recruitment for the jurisdiction. In some jurisdictions, however, even though there is a central staff personnel agency with responsibility for recruitment, agency personnel offices may also recruit for particular categories of personnel.[2] Where there is no central staff personnel agency, recruitment is usually carried on through personnel offices of the individual agencies in the jurisdiction.

Continuity of process.—In view of the variety and number of positions in a jurisdiction and the rate of separations, recruitment as a function takes place on a continuous basis.[3] Recruitment with respect to particular types of positions, however, is usually not a continuous affair. Thus, a central staff personnel agency or an agency personnel office, as the case may be, may seek applicants for typist or stenographic vacancies at one time, while it may look for economist or guard applicants at another time. To assure orderly operations, the continuous need for new personnel, nevertheless, demands that an examination schedule for a jurisdiction be established and followed. This schedule lists the names of examinations to be conducted presently and in the near future. Recruitment efforts are

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1 Pfiffner, J. M., *Public Administration,* New York, 1946, pp. 265–268; U. S. Civil Service Commission, *Direct Recruiting for Civil Service: Selected Bibliography,* Washington, 1942; Rogers, Wm. C., "Recruiting Administrative and Professional Personnel," *Public Personnel Review,* October 1945, pp. 213–218; U. S. Civil Service Commission, *Interviewing: A Selected List of References,* Washington, 1945; Marx, F. Morstein, *Elements of Public Administration,* New York, 1946, pp. 557–560.

2 For amplification, see Torpey, William G., "Problems in Recruiting Scientific and Technical Personnel," *Public Personnel Review,* January 1948, pp. 11–17; see, also, Torpey, William G., "A Summer Work Program for Scientific Personnel," *Personnel Administration,* January 1948, pp. 34–36.

3 See Ch. X.

correlated with the examination schedule for maximum benefit to the jurisdiction.

Written announcements.—The normal procedure for recruiting personnel for government employment necessitates issuance of a written announcement by the central staff personnel agency or agency personnel office, as the case may be. The form and content of the announcement differ greatly among jurisdictions. However, individuals are usually informed of vacancies for which applications are sought by two media, namely, (1) by a general announcement and (2) by an examination circular.

A general announcement may be in the form of an information sheet for direct public consumption or it may take the form of advertising material for use through press, magazine, and radio channels. An information sheet, frequently in the form of a poster or of mimeographed material for posting, contains basic limited data about one or more forthcoming civil service examinations. An information sheet, in a sense, is a form of advertising—advertisting employment opportunity. The most effective information sheet is attractive as well as informative. Since the information sheet is usually placed on bulletin boards, it competes with other types of posters and placards for public interest and, hence, must have eye appeal as well as utility for potential applicants. (See Fig. p. 397, Appendix.)

The content of information sheets varies among units. Essential information on an information sheet, however, includes the name and address of the recruiting agency (that is, the central staff personnel agency or an agency personnel office), the title of the position or positions for which applications are being sought, a brief description of the duties of the position or positions, entrance salary, location for obtaining application forms, the closing date for filing an application, the place and date of examination (if appropriate), and the date of issuance of the information sheet.

The exact distribution of information sheets depends upon the positions included on the sheet. In any jurisdiction, copies of all information sheets are normally sent to certain interested groups within the geographical area such as personnel offices of various government jurisdictions; schools, colleges, and universities; newspapers and periodicals; private employment offices; industrial concerns; labor organizations; veteran and civic groups. In addition, information sheets covering specific types of positions may be sent to selected

addresses, such as professional societies in the case of technical vacancies.

For use through public communication media, the material of a general announcement may differ in content from the information sheet. Material for press releases, magazine stories, professional periodicals, and radio broadcasts is usually prepared by the examining agency in a literary style most useful for the media. In some jurisdictions, where regulations permit, recruiting agencies resort to paid advertisements in newspapers, periodicals, and trade journals. Lecture material is prepared in some jurisdictions for use either by speakers from the recruiting agency or by others. To supplement public communication media, recruiting agencies sometimes establish general information booths at public exhibits. A few jurisdictions have prepared descriptive pamphlets on their employment opportunities for general distribution.

An examination circular, usually in the form of a brochure or small booklet, contains more detailed information about the position or positions for which applications are sought.

As is the case with the information sheet, the content of examination circulars varies. Essential information pertains to the position in question, minimum qualifications for eligibles, and the nature of examination to be given. Specific items cover the name and address of the recruiting agency; the title of the position or positions for which applicants are sought; the name and address of the agency or agencies in which the positions are located; a résumé of duties to be performed; entrance salary; educational and experience qualifications; requirements (if any) of sex, age, citizenship, residence, and physical fitness; reference to the type and content of the examination (including sample questions, if appropriate); source for obtaining application forms; instructions for executing application forms; the closing date for filing an application form; and the place and date of examination (if appropriate). Sometimes, examining circulars also point out other salient facts of interest to applicants such as the fact that traveling expenses to the place of the examination must be paid by the applicant and that the examining agency has no connection with a "cram school."

The examination circular is sent by the recruiting agency to potential applicants, especially those who write for specific examination information either because of a suggestion contained in the general announcement or because of their own interest, or those whose

names are contained on a mailing list maintained by the recruiting agency. The examining circular may also be sent to sources which receive the general announcement.

A great difference appears in the number of pages, dimension, color, size of type, and general appearance of both general announcements and examination circulars. With respect to number of pages, written announcements vary from one page to fourteen or more pages. In dimension, the range is from postcard size to large placard. In color, written announcements are printed on ordinary white paper or on attractive colored paper or even on multicolored paper. With respect to size of type the same size may be used throughout the written announcement. The written announcement may contain important data in bold type with relatively unimportant material in small 8 point type or the announcement may feature all large-sized type such as 18 point. In general appearance, written announcements vary from a drab mimeographed page to an illustrated colorful brochure. (See Fig. pp. 398–399, Appendix.)

Direct recruitment.—When it is believed that the normal dissemination of written announcements will not attract sufficient qualified applicants, or when it is demonstrated that a particular announcement has not produced, or will not produce, an adequate number of applications (See Figs. pp. 400–405, Appendix), a recruiting agency may, in a positive manner, seek additional applicants by personal solicitation of individuals presumed to be qualified for the position or positions. Under this process, known as direct recruitment, representatives of the recruiting agency may communicate with particular individuals through personal correspondence or through personal visits and call their attention to pertinent announcements. By direct recruitment, the initiative is taken by the recruiting agency with the objective of stimulating the filing of applications by potentially qualified individuals who otherwise presumably would not know of the need for particular talent.

Furnishing employment information.—Another phase of recruitment carried on by the recruiting agency is the furnishing of routine information concerning general employment opportunities in the jurisdiction. The recruiting agency is a focal point where individuals interested or potentially interested in public employment visit in person or write. Among the large number of persons who seek such information daily, interest in employment in the jurisdiction may be stimulated and a reserve of applicants may be built up for

future use when applications will be sought for particular types of positions.

In addition to the furnishing of employment information in response to specific individual requests, such information may be disseminated generally by the recruiting agency at periodic intervals or it may be presented on special occasions in conjunction with vocational guidance efforts of educational institutions. A "senior week" at a high school or "job clinic" at a college or university illustrates the latter approach.[4] Thus, by the periodic issuance of written announcements and by continuous dissemination of general information to job seekers, recruiting agencies seek to obtain an adequate number of applications for specific vacancies which arise. Obtaining applications, however, is but the first step in employment. Consideration will now be given to the second step in the process of placement from without, namely, testing.

Testing

Objective.—Applicants for public positions are diverse in physical features such as height and weight. But, of far greater importance, applicants also vary in their ability to perform duties and carry out responsibilities and in their capacity for growth. Thus, within any group of applicants, there are basic individual differences with respect to job factors such as mechanical ability, numerical ability, and learning ability. The most effective test for an applicant might be to assign him the actual duties and responsibilities of the position to be filled and to observe his performance carefully over a period of time. However, since this approach is usually impracticable, the technique of testing is used. Frequently, the term "examination" is used interchangeably with the term "test." In this section, however, "examination" refers to the complete selective process while "test" refers to a part of the process.

The objective of a civil service test is to rank a group of applicants in the relative order of proficiency with respect to a particular position. There are certain characteristics possessed by employees who have demonstrated ability with respect to a particular position but lacking in employees who have little or no ability with respect to the same position. The test seeks to ascertain in applicants the

[4] For a description of a job clinic at the university level, see Torpey, William G., "University Job Clinics for the Federal Service," *Personnel Administration,* September 1947, pp. 27–29.

presence or absence of these characteristics due to individual differences in knowledge and aptitudes.[5]

Characteristics of an effective test.—Effective tests have five chief characteristics. These characteristics are as follows:

A high degree of validity.—Validity refers to the extent to which a test measures what it is designed to measure. Thus, a particular test item should differentiate between desirable applicants and undesirable applicants. Validity may be determined by comparing the test results with measurements of proficiency in the position by members of the group tested.

A high degree of reliability.—Reliability refers to the relative scores among applicants which are obtained when the test is repeated with the same applicants. When a test is unreliable, an applicant at the top of the list after initial testing may be found, on a subsequent administration of the same test, to be near the bottom of the list. Factors which promote a high degree of reliability include an adequate length of time for taking the test, a large number of test items, and objectivity in scoring. Factors which reduce reliability include faulty sentence structure, confused instructions, and use of unusual words. Reliability may be determined by comparing (1) one-half of the test items with the other half; (2) total scores on even numbered test items with total scores on odd-numbered items; and (3) scores derived from administering alternate forms of the same test to the same group.

Brevity.—A test should be concise. A comparatively long examination requires an excessive amount of time of the applicant and of the examining agency and reduces the applicant's efficiency.

Objectivity.—An applicant's score is independent of the individual who administers the test. When a test has objectivity, any personal factor affecting the scoring of the test is non-existent.

Presence of a spread of grades.—The test is set up in such a way that, although every applicant obtains a grade, there is a rather wide

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[5] Pfiffner, J. M., *Public Administration,* New York, 1946, pp. 268–278; Marx, F. Morstein, *Elements of Public Administration,* New York, 1946, pp. 560–566; Adkins, Dorothy C., *et al., Construction and Analysis of Achievement Tests,* Washington, 1947, chs. 1–5; Mandell, Milton, "The Group Oral Performance Test," *Public Personnel Review,* October 1946, pp. 209–212; McCoy, W. A., "Improving the Rating of Training and Experience," *Public Personnel Review,* April 1947, pp. 73–78; Thurstone, Louis L., "Testing Intelligence and Aptitudes," *Public Personnel Review,* January 1945, pp. 22–27; Feder, D. D., "An Approach to Test Analysis for Public Personnel Agencies," *Public Personnel Review,* July 1946, pp. 126–131; Mandell, Milton, "Testing for the Public Service," *Personnel Administration,* June 1946, pp. 8–10.

distribution among individual grades. When a test possesses this characteristic, few, if any, applicants achieve a perfect mark.

Types of tests.—Many types of tests have been devised and are utilized in the process of determining the fitness of applicants for public positions. Of all of these types, six are most common, namely, assembled tests, unassembled tests, performance tests, oral tests, medical tests, and physical tests. A brief description of such tests follows:

Assembled tests.—In an assembled test, applicants are required to meet in a group at a specific time and place to take a written test or series of tests. Such tests may aim to measure skills or intelligence. Tests intended to predict an applicant's immediate proficiency in a particular subject matter area are known as achievement tests. A stenographic test, for example, is an achievement test. Tests intended to predict an applicant's potentialities, that is, his ability to learn to do a task, are called aptitude tests. A test to ascertain facility with numbers illustrates an aptitude test which indicates trainability in the field of mathematics; a general intelligence test is an aptitude test which indicates general learning ability.

On the basis of the extent of freedom granted an applicant to phrase his answer, written tests are further classified as free-response or limited-response tests. In a free-response test, the applicant is allowed generally unrestricted freedom in phrasing his answers. There are three key forms of free-response tests: *essay,* wherein the applicant prepares a paragraph or a discourse; *short answer,* wherein the applicant gives a brief answer to a specific question; and *completion,* wherein the applicant fills in a missing word or phrase. The free-response test is particularly useful in testing integration of knowledge and basic attitudes. A principal advantage of the free-response test lies in the fact that it may be constructed with comparative simplicity. Two chief disadvantages of the free-response test, however, are the difficulty of formulating a method to evaluate answers objectively and the time required to correct the test.

In a limited-response test, the applicant is allowed no freedom to phrase his answers. This type of test is used more extensively than the free-response type. There are four kinds of limited-response tests: (1) matching, wherein the applicant associates related items with each other; (2) arrangement, wherein the applicant places items in a specified sequence; (3) true-false, wherein the applicant indicates the truth or falsity of a given statement; and (4) multiple

choice, wherein the applicant chooses from several possible answers the most appropriate answer. A limited-response test requires careful preparation, but it has greater reliability and permits a wider sampling of knowledge than is possible in the free-response test.

Unassembled tests.—In an unassembled test, applicants are not required to meet in a group; instead, ratings are assigned to applicants on the basis of education or experience, or a combination of both. Material considered includes data submitted on application forms and through publications, reports, and answers to special questionnaires to former employers and associates. Unassembled tests are particularly utilized for types of positions characterized by maturity and experience. Unassembled tests may also be used to fill a temporary position where the cost of administering an assembled test is not justified.

Performance tests.—A performance test seeks to evaluate a sample of performance of an operation. The test is usually conducted by one or two experts in the occupational field who may constitute a rating board or panel. Performance tests are advantageous because applicants and supervisors alike believe that this type of test is fair, and because the use of such tests permits a reduction or elimination of arbitrary minimum requirements. On the other hand, performance tests are comparatively expensive to administer. When expensive and intricate equipment is involved, the use of such tests may be costly to the jurisdiction as well as a safety hazard to the applicant.

Oral tests.—In order to evaluate specific tests which are related to performance of the duties of the position and which cannot otherwise ~~cannot otherwise~~ be measured accurately, such as the ability of an applicant to speak clearly, oral tests may be used. A rating form contains a number of specific traits, usually not more than ten; the interviewer rates each applicant with respect to the degree the applicant possesses each trait. With weights assigned to the traits, a final score is calculated for each applicant. Because of the time involved to administer, oral tests may be given only to those who have previously passed a written test. Oral tests usually instill a feeling of fairness among applicants. However, the cost and effort involved in preparing and administering oral tests practically prohibit their use when large numbers of applicants are involved. Furthermore, unless all oral tests for the same position are administered by members of one interviewing team or, in some cases,

by the same interviewer, a question of subjectivity may be legitimately raised.

Medical tests.—Most jurisdictions require that an applicant, otherwise qualified for appointment, pass a medical examination prior to his appointment. The medical test is given either by a physician employed by the governmental unit or, where the former is not available, by a private practitioner. For veterans and sometimes for non-veterans, physical defects which do not impair the performance of duties of the position involved may be waived. Justification for the requirement of passing a medical test lies in the desirability of reducing or preventing irregularity of attendance due to sickness, of minimizing turnover, and of protecting the soundness of retirement systems.

Physical tests.—In contrast to medical tests, physical tests are given to determine positive physical fitness to carry out specific duties of a position. Thus, the type of physical test to be given depends upon the position in question. Such tests may be given to ascertain, for example, whether a guard is agile or whether an unskilled laborer may lift heavy cartons.

Combinations of tests.—The duties and responsibilities of individual classes of positions suggest a combination of two or more of these types of tests (exclusive of medical tests) in specific instances. For example, in the case of determining qualifications of a typist, the evaluation of education and experience is not paramount because these factors in themselves do not guarantee current proficiency in typing. In such a case, an assembled test is appropriate. However, if the duties of the typist include daily contact with the public, an oral test may be added to determine personality traits. Furthermore, to test a non-administrative engineer, having no official contacts with the public, an unassembled test may be considered adequate, especially at the lower grades. When, however, the position of an engineer also includes administrative duties, an oral examination may be desirable. Where there is a combination of types of tests, the relative importance of the skills required by the position, the relative validity and reliability of specific tests, and the opinion of experts in the occupational field determine the weight to be given to the types of tests utilized.

Steps involved in developing a test.—Developing a test involves eight steps. In the developmental process, the personnel technician:

(1) *Plans the content of the test.*—In choosing content, the technician may proceed by breaking a broad subject matter field into specific areas or he may approach the broad field through consideration of particular areas of subject matter. In any event, assistance is derived from careful job analyses, from professional literature, interviews with incumbents already performing the duties of a position, and from interviews with supervisors and others having an intimate knowledge of the duties and responsibilities of the particular position. The relative importance of different aspects of a position should be related to the kinds of test items.

(2) *Decides upon the type of test.*—The various types of tests have been previously mentioned. The use of written tests is predominant. It may be pointed out that the present tendency among jurisdictions is to emphasize multiple-choice questions more than any other single form of written test.

(3) *Formulates test items.*—The establishment of individual test items is often a difficult task. The task requires basic knowledge of the subject matter, skill in the use of measurement techniques, and the ability to express ideas clearly. Each test item, in itself, must have the characteristics of an effective test.

(4) *Constructs the test.*—A test outline indicates a breakdown of the number of test items to be used in the various categories of subject matter or types of attitudes. Individual test items, formulated in (3) above, are grouped into areas pursuant to the test outline. Within each area, the test items may be further subdivided, depending upon specific type, specific subject matter, etc. Overlapping and duplication of items must be prevented. The test items must be numbered clearly, and the format of the test must be understandable. After the test items have been initially placed together, a careful review must be made from an educational, technical, and subject matter point of view.

(5) *Establishes grading rules.*—The amount of credit for individual test items must be determined. Where appropriate, a scoring key is prepared for use by correctors. Intricate scoring methods are not only inaccurate but also expensive in terms of time required for correcting. A well-designed test permits scoring with a minimum of effort. Many jurisdictions have found it helpful to require that a separate answer sheet be filled out by each applicant.

(6) *Provides instruction for administration.*—Rules to be followed by applicants in taking a test must be explicit. Such rules

should be planned and should be distributed among applicants before the test begins. One or more samples of each type of question asked on the test should be included. Instructions must insure that the individuals who actually administer the test, even though of different backgrounds, will give uniform interpretation of rules and provide uniform enforcement during the test.

(7) *Provides a trial run of the test.*—In order to try out a test, a sample representative of probable applicants is selected. Unless the sample is representative, the trial run fails in its objective. For example, if particular test scores would vary with sex, the sample should include the proportion of males and females expected to take the test. Either groups of employees or groups of applicants may be used for the trial run. The advantages of utilizing employees are twofold: measures of job performance are usually available for analysis, and the validity of the test may be readily ascertained. The limitation of the use of a group of employees, however, lies in the question whether the group is, in fact, representative of the prospective applicants. If a group of applicants is used, the sample may be more representative than a group of employees, but there usually is difficulty of follow-up on the test as well as costly record keeping. Statistically, it is desirable to have as large a number in the group as possible. However, the cost factor may limit the actual size.

(8) *Revises the test after a trial run.*—After the trial run, inconsistencies in the test may be noted. On the basis of the results, instructions for administering the examination may require adjustment; the scoring weights may require modification. If the scores on the trial run are higher or lower than expected, it may be necessary to change the content. Validity may be enhanced by eliminating certain test items, whereas reliability may be improved by increasing the length of the test.

Agency responsible.—The testing process is usually conducted by the central staff personnel agency or, occasionally, by the agency personnel office. The agency conducting the testing function (known as the testing agency) establishes minimum qualifications for applicants who wish to be declared elegible to perform the duties of a particular position. Qualifications include such factors as age limitations, physical stamina, education, training, and experience. When a test may be taken by applicants, regardless of whether or not the applicants are already employed in the jurisdic-

tion, the test is known as an open competitive. When a test is limited to an individual already an employee of the jurisdiction, the test is called non-competitive.

Anticipation of time required.—The testing agency announces tests after it determines that personnel needs of the jurisdiction cannot be fully met either from eligibles available through previous tests or by other appropriate placement procedures, such as promotion from within the jurisdiction. It is difficult to anticipate precisely the time necessary to plan and construct a test. In actual situations, the time varies from a few days to four or five months. The tendency of persons who are not test technicians is to underestimate the time required. It is essential that needs for specific kinds of personnel be ascertained as early as possible to allow time for the creation and use of the most effective testing instrument which can be devised.

Open continuous tests.—As a general rule, the applicant's qualifications are evaluated soon after the time permitted for filing applications has expired. However, under the method known as open continuous testing, a testing agency receives applications for an indefinite period; periodically, during the indefinite period, such as once a month or once every three months, the applications received during the previous period will be rated and the eligibles will be determined. The open continuous method offers the advantage that an applicant may file at any time while the test is "open": in a tight labor market this method is a material aid to employment. A difficulty, however, is the rather constant demand upon the time of the testing staff to evaluate applications for the particular positions involved.

Establishment of registers.—The names of individuals whose applications are rated eligible by the testing agency are placed on a roster after each test. This roster is known as a register and contains the names of all eligibles resulting from the test, arranged in numerical score, except that the numerical order may be modified by veteran preference or other regulations. The testing process is completed with the establishment of a register of eligibles.

Selection

Objective.—Selection is the process of determining who, among a group of eligibles, is to be appointed to a specific position. The objective of the process is to place the right man in the right posi-

tion. In contrast to the recruiting and testing processes which are performed by the central staff personnel agency of a jurisdiction or by the agency personnel office, selection is the responsibility of an operating agency. Request is made within an operating agency for eligibles from a register, previously established through the testing process. Selection is normally made by a line official from a list of eligibles, called a certificate, forwarded to the agency personnel office by the testing agency in response to specific request.[6]

Basic selection rules.—Selection by the line officials of an operating agency, however, follows basic selection rules established by the central staff personnel agency or the agency personnel office, or both, as the case may be. These rules pertain to such items as (1) the number of eligibles who may be considered for each vacancy, (2) the manner of inquiry to ascertain their availability, (3) the length of time during which the operating agency may retain a certificate and consider eligibles sent by the central staff personnel agency or the agency personnel office, and (4) conditions under which certain eligibles may be passed over in order that other eligibles having lower numerical scores may be chosen by line officials.

The number of eligibles who may be considered for appointment by an operating agency to a single vacancy is normally three. This figure includes only eligibles who are actually available for the particular vacancy. In a few jurisdictions the maximum number of available eligibles who may be considered for each vacancy is higher than three, while in others the maximum number is as low as one. The manner of inquiry to ascertain the availability of eligibles is usually specified by the examining agency. Usually a form letter, called a notice of inquiry, is standardized by the central staff personnel agency for use by all operating agencies of a jurisdiction. The notice of inquiry affords space for an eligible who receives it to indicate his availability or unavailability for the vacancy at the salary and at the geographical location in question. Under rules of the central staff personnel agency, the agency personnel office may subsequently transmit to the central staff personnel agency the notices of inquiry returned by eligibles who reply.

The average length of time an agency personnel office is permitted to consider the eligibles on a certificate from a central staff

[6] Marx, F. Morstein, *Elements of Public Administration,* New York, 1946, pp. 566–567; Pfiffner, J. M., *Public Administration,* New York, 1946, pp. 278–281; Graves, W. Brooke, *Public Administration in a Democratic Society,* Boston, 1950, pp. 112–114.

personnel agency is approximately three weeks. The exact length of time during which an agency personnel office may retain a certificate and consider eligibles depends frequently upon the type of position to be filled and conditions of the labor market. Hence, when eligibles in a certain occupation are plentiful, an agency personnel office may be given a longer time under the rules during which to make a selection than when eligibles are scarce; in the latter case, an excessive amount of time used to consider eligibles may result in the employment of the eligibles in private industry or elsewhere. Rules under which certain eligibles may be passed over in order that other eligibles having lower numerical scores may be chosen by an operating agency depend upon basic preferential legislation and policy. Hence, in the case of veterans, a normal requirement is that adequate reason must be given for passing over a veteran to appoint a non-veteran from the same certificate.

Interviews with eligibles.—Accompanying a certificate are usually application and test papers of each eligible whose name is contained thereon. The critical part of the selection process is usually the interview. An applicant for public employment usually has two or three interviews within an operating agency prior to ultimate selection for a vacancy in the agency. When recruitment and testing are carried on by a central staff personnel agency, an initial interview is normally held in the agency personnel office for the purpose of screening any applicant obviously unqualified for the particular position and, hence, of saving the time of line officials. The second interview often takes place with a personnel assistant of the operating division and a third interview subsequently with one or more line supervisors. The decision whether or not a particular eligible is to be chosen for the vacancy is usually made by a line official, in most cases, the immediate supervisor.

During the interview, the duties and responsibilities of the position are explained and the desired qualifications enumerated. General employment questions such as hours of work, leave privileges, etc., are answered, and the prospective employee is given an opportunity to indicate his qualifications and interest or non-interest in the position. Frequently, a final decision is not made until the period during which eligibles may appear for interview has passed in order that consideration may be given to all of the qualified eligibles available. In an efficient agency, the applicants

who are not selected are informed of the final decision as soon as possible after the decision is made.

Factors considered in selection.—In the determination of the eligible to be selected, consideration is given to a variety of factors, such as positive qualifications of eligibles for the particular vacancy, experience, availability, and legal requirements surrounding the appointment. Positive qualifications refer not only to specific skills and aptitudes, but also to personality traits and personal characteristics. Experience includes the period spent in performing duties and responsibilities similar to those of the vacancy, as well as the time spent in carrying out duties and responsibilities which may, in any reasonable way, be related to the vacancy. Availability concerns length of time required by the eligible before he may actually report for duty. Legal requirements surrounding the appointment may include such items as veteran preference,[7] residence qualifications, and rules with respect to the number of members of one household who may be employed at any one time in a particular governmental unit.

Return of certificate.—After consideration has been given to the eligibles certified and available and after the operating agency decides either to make or not make a selection (or selections), the agency personnel office returns the certificate with the identity of the selection noted or with an explanation if no selections have been made from the certificate. The names of unselected eligibles which are returned to the central staff personnel agency are reentered upon the register and become available for subsequent referral to agencies requesting eligibles from the register. The life of a register, that is, the length of time during which one register remains in use by the central staff personnel agency or agency personnel office, as the case may be, depends upon the supply of, and demand for, eligibles. Usually a register loses its value after one year from date of establishment.

Probational appointment.—An individual who is appointed from a certificate usually receives a probational appointment. A probational appointment may be considered a part of the examination process in that an employee is expected to perform his duties and

[7] Miller, John F., "Veterans Preference in the Public Service," *Problems of the American Public Service,* New York, 1935; Civil Service Assembly, *The Employment of Veterans in the Public Service of the United States,* Chicago, 1944; National Civil Service League, *Veteran Preference in the Civil Service,* New York, 1945; Ordway, Samuel H., Jr., "The Veteran in the Civil Service," *Annals,* March 1945, pp. 133–139.

carry out his responsibilities satisfactorily for a trial period, usually one year. It frequently occurs that the probational period is not utilized by immediate supervisors as a trial period; in such cases, the receiving of a probational appointment is tantamount to permanent selection. The better practice, however, is for the immediate superior to use the probational period for purposes of close observation of the employee's work in order that full assistance may be given the employee to perform efficiently and in order that the operating agency may be assured that the employee possesses the qualifications necessary for effective job performance. (See Fig. p. 421, Appendix.)

At the time an individual receives a probational appointment, he frequently acquires competitive status in the jurisdiction. Competitive status, simply stated, refers to a preferential condition, based upon law or regulation of the jurisdiction, which attaches to an individual employee. An employee who has competitive status often acquires specific employment benefits in a jurisdiction such as exemption from certain examination requirements otherwise applicable to individuals, and preferential retention in the jurisdiction. Upon completion of the probationary period, the appointment normally becomes absolute. An absolute appointment often carries certain prerogatives of employment in a jurisdiction not associated with other types of appointment.

Other types of appointment.—When a central staff personnel agency or an agency personnel office does not have eligibles available and believes that it will not be able to obtain eligibles in the immediate future, authorization may be given for the temporary or provisional appointment of a person who has not been tested, pending the establishment of a register or the subsequent referral of qualified applicants. Persons so appointed do not acquire competitive status. These persons are eventually supplanted by other qualified eligibles unless meanwhile they become eligible through normal testing procedures.

In some jurisdictions, when the examining agency believes that, in the interest of good administration, the position cannot be filled through open competitive examination because the duties of a position are such that qualified individuals are rare, a non-competitive appointment may be made. Persons so appointed do not acquire competitive status. In many governmental units, excepted appointments may be made to positions not covered by the civil

service act of the jurisdiction or exempted from examination by legislative act, executive order, or central staff personnel agency action. Frequently, persons given excepted appointments must meet qualification standards established by the testing authority of the unit. Individuals given excepted appointments do not acquire competitive status.

Reinstatement.—Reinstatement refers to re-employment authorized on the basis of an individual's competitive status secured through previous service. Generally, a former employee who has obtained competitive status in a jurisdiction may be reinstated in the jurisdiction if he is otherwise qualified. However, a former employee separated during probation may usually be reinstated only in the same agency, locality, type of position, and same or lower grade for which he meets the training and experience requirements.[8] Reinstatement is effected in some units by an agency personnel office without prior approval of the central staff personnel agency; in other units, prior approval of the central staff personnel agency is necessary.

When prior approval of a central staff personnel agency is not required. Reinstatement may be effected by an agency personnel office when it ascertains that the individual to be reinstated meets certain stipulated requirements. Illustrations of such requirements in various jurisdictions are as follows: (1) a competitive status in the jurisdiction secured previously; (2) a time limitation, that is, the period of time following last employment in the jurisdiction within which a former employee must apply for reinstatement; (3) citizenship requirements for original appointment; (4) residence requirements; (5) qualifications requirements; (6) conformity to general civil service rules, such as those pertaining to holding of office, pensions, suitability in connection with any record of discharge or arrest, age, identity of employee, and members-of-family requirements; (7) physical fitness; (8) evidence that the former employee was not removed for cause; (9) length-of-service requirements; and (10) veteran preference requirements. Reinstatement is generally subject to post-audit by the central staff personnel agency. A reinstatement may be disapproved if it is determined, upon post-audit, that the necessary conditions have not been met.

[8] Graves, W. Brooke, *Public Administration in a Democratic Society*, Boston, 1950, p. 228.

When prior approval of the central staff personnel agency is required. Illustrations of type cases are as follows: (1) when the person proposed for reinstatement was removed for cause from his last position in the jurisdiction; (2) when the reinstatement is to a higher grade position than the one in which the employee last served, unless he could be promoted without prior approval of the central staff personnel agency; (3) when the person proposed for reinstatement is a disability annuitant; and (4) when a non-veteran is proposed for reinstatement to a position restricted to veterans.

An employee who is reinstated usually automatically enjoys the privileges of competitive status. In an emergency period, however, an employee with reinstatement eligibility may not be restored to full competitive status until some subsequent time. An employee is usually not required to serve a new probationary period after reinstatement unless reinstatement eligibility is based on service under which the probationary period was not completed. In such a case, the person reinstated must complete his probationary period before he acquires absolute appointment.

Following a period of active military duty or service in the merchant marine in time of war, former government employees may be eligible to apply for their previously held government positions. In some jurisdictions, return to one's former civil service position is considered as a "re-employment"; in other jurisdictions, such return is processed as a reinstatement. In the former instance, the individual's name is usually retained on the payroll of the jurisdiction during his period of absence on active military duty or service in the merchant marine in time of war; in the latter instance, the employee is generally separated from his civilian position at the time of his entrance into the armed forces or merchant marine in time of war. Where re-employment rights are provided by legislation, as in the Selective Service Act of 1948, as amended, normal reinstatement requirements may not apply.

Reassignment.—A reassignment is a lateral change of an employee from one position to another in a different line of work or in the same line of work within the same agency; the movement, however, does not involve a change of grade or salary. An employee who has permanent, probational, or indefinite appointment usually may be reassigned. Reassignments to a different line of work must meet qualification requirements established by the central staff personnel agency or personnel office of the line agency. These

requirements relate to such factors as length of service, education, experience and training, and written tests.

Transfer

Inter-agency transfer.—An inter-agency transfer refers to appointment to one agency during continuous service in another agency in the same jurisdiction. Subject to limitations described below, an employee having a permanent, probational, or indefinite appointment may be transferred. Employees having a limited appointment usually may not be transferred outside the agency in which they are currently employed.[9]

When a central staff personnel agency has eligibles available for filling a particular position, generally an employee must have competitive status to be appointed through inter-agency transfer to fill the vacancy. When a central staff personnel agency has not withdrawn authority to make appointments, an employee of another agency, regardless of whether he is under a probational, absolute, or indefinite appointment, may be appointed through inter-agency transfer to the position.

Transfers involving a promotion or reassignment to a different line of work are governed by the length of service requirements, educational requirements, experience and training standards, and written test requirements. When the location of the position from which he is being tranferred is beyond a reasonable commuting distance, an agency may, in its discretion, reimburse the employee for the travel costs for himself and his immediate family, and for the transportation costs of household goods and personal effects, if the transfer is made in the interest of the unit of government.

Intra-agency transfer.—An intra-agency transfer refers to a change of position from one organizational unit to another in the same agency without break in service of one workday. Subject to the limitations described below, an employee having permanent, probational, or indefinite appointment may be transferred within an agency. In addition, employees serving under limited appointments may be transferred from one organizational unit to another within the same agency (but may not be transferred between one agency and another agency).

Intra-agency transfers may be particularly desirable with respect to: (1) the redistribution of employee skills to provide for the change

[9] *Ibid.*, pp. 220–221.

in personnel needs of an agency; (2) the retention within an agency of qualified employees who are reached for reduction in force; (3) the rendering of assistance to individual employees whose particular personal needs may be served by transfer to an agency of their choice where their services are desired.

When a central staff personnel agency has eligibles available for filling a particular position and the central staff personnel agency has withdrawn authority to make appointments, generally no employee other than one with competitive status may be transferred to fill the vacancy. In case it is necessary to fill the positions for which such authority has not been withdrawn, any employee serving under probational, permanent, indefinite, or limited appointment may be transferred to the position.

Length-of-service requirements (when a transfer involves promotion or reassignment to a different line of work), educational requirements, experience and training standards, and written test requirements previously indicated apply. Unless there is a release requirement in connection with the transfer of employees between agencies of a jurisdiction, the agency from which an employee prefers to transfer may not decline to consent to the transfer. The provisions governing the payment of expenses resulting from the inter-agency transfer of an employee are generally applicable to an intra-agency transfer.

Promotion

Promotion refers to the movement of an employee from one position to another position having a higher grade or a higher minimum salary. A promotion involves increased duties and responsibilities for the employee. To be eligible for promotion, an employee must meet minimum qualification requirements established by the central staff personnel agency and/or the personnel office of the line agency. These requirements relate to such factors as length of service in present position, education, experience, training, and written tests. An individual selected for promotion may be already employed in the agency having the position to be filled or he may be working in another agency of the same jurisdiction. When an employee is selected for a position of greater duties and responsibilities from within the jurisdiction but from

without the agency, the personnel action is usually regarded as a transfer and promotion.[10]

The use of the promotion technique in a governmental unit or within a line agency may be sporadic or systematic. In many jurisdictions, although lip service may be paid to a policy of "promotion from within," employees are selected on a personal basis for assignment to higher grade positions without reference to objective qualifications for the vacancies and without regard for other employees who may be better or at least equally qualified for the higher grade vacancies. Such a sporadic use of the promotion technique is particularly characteristic of small jurisdictions where it is sometimes contended that the number of higher graded positions is so small that the effort of giving broader consideration to filling these positions is not justified. In other jurisdictions, however, progress has been made in establishing and maintaining a systematic plan for promotion.[11]

The objective of a promotion program is to provide for an orderly method of giving adequate consideration to employees who may be qualified for promotion on the merits of their employment record. Occasionally, a central staff personnel agency administers a centralized promotion plan for the whole jurisdiction; frequently, however, the agency personnel office operates a promotion program, subject to compliance with minimum standards promulgated by the central staff personnel agency. When the central staff personnel agency administers the plan, the area of opportunity for promotion for the individual employee is broader; when the agency personnel office administers the plan, competition may be less keen.

A promotion program has as its nucleus a policy of promotion from within the organization, as long as there are qualified employees. This policy does not comprehend absolute selection from within for all higher grade vacancies for the reason that at least a comparatively small number of selections from the outside for these vacancies is desirable in order to bring new ideas into the organization. A promotion program enables the agency to make greater use of the capabilities of its own employees and tends to reduce the margin of error in selection because of the fact that the individual

[10] Pfiffner, J. M., *Public Administration,* New York, 1946, pp. 303–307; Marx, F. Morstein, *Elements of Public Administration,* New York, 1946, p. 567.

[11] Asher, John W., "Making a Promotion Plan Work," *Public Personnel Review,* October 1951, pp. 187–189; Kidd, Charles V., "Resolving Promotion Problems in a Federal Research Institution," *Personnel Administration,* January 1952, pp. 13–23.

already employed in an agency or jurisdiction can usually be better evaluated by the agency than an individual not employed by the agency or jurisdiction. Most significant of all values, perhaps, is the reaction of an effective promotion program upon the morale of employees. Where employees realize that they can acquire greater responsibility over a period of time by working diligently and faithfully in their present positions, the resultant improved morale not only spells higher production but also lessens turnover. Slowness on the part of jurisdictions or agencies in establishing promotion programs partially lies in the fact that a promotion program improperly operated may limit the discretion which line officials may choose to use in promotions and may tend to cause undue delay in filling certain positions. In well-administered plans, both of these objections turn out to be negligible or non-existent.

In a jurisdiction or agency having a promotion program, the central staff personnel agency or agency personnel office, as the case may be, may initiate a promotion program by conducting a survey in the jurisdiction or agency to ascertain those positions which may be properly filled through promotion. Qualification requirements of these positions are analyzed, and in some instances certain positions are grouped on the basis of the relationships of qualifications. The identity of employees eligible for the higher grade positions in the promotion range is ascertained either through the holding of promotion examinations or through evaluation of the work records of employees who signify their interest in promotion. Specific selection for the individual vacancies is usually made by the first-line supervisor from among the names certified by the central staff personnel agency or agency personnel office. There are frequent modifications of the above procedure, particularly when there are eligibles in the division of the line agency where the vacancy occurs. An effective promotion program provides for a follow-up on selectees chosen under the plan in order that the effectiveness of the program may be periodically determined.

Demotion

Demotion refers to the movement of an employee from one position to another position having a lower grade or lower minimum salary. A demotion involves decreased duties and responsibilities for the employee. Generally, a classified employee cannot be demoted unless the demotion promotes the efficiency of the

service. In many jurisdictions special procedures surround the demotion of a veteran. In progressive governmental units, advance notice of two to four weeks is given, when practicable, before a demotion is effected. A frequent practice in demotion cases is written notification to the employee of the fact of the impending demotion, of the reasons therefor, and of any appeal action which the employee may initiate. Qualification requirements established by the central staff personnel agency or personnel office of the line agency must generally be observed in a demotion.[12]

The Federal Government as Employer

In the federal government, the competitive service embraces all civilian positions in the executive branch unless specifically excepted by law or by executive order and all positions in the legislative and judicial branch which are specifically included by law.[13] Approximately 92% of all federal positions are in the competitive service. In normal times recruitment of applicants for probational appointment to positions in the competitive service is generally carried on by the U. S. Civil Service Commission (either through its central office or through its regional offices), by Committees of Expert Examiners, and by Boards of Examiners. In a period of national emergency, operating agencies, acting principally through their personnel offices, may recruit persons for temporary appointments to positions in the competitive service. For positions in the federal government outside of the competitive service, operating agencies usually carry on their own recruitment.

Methods of recruitment in the federal government for the competitive service include the preparation and issuance of written announcements, the establishment and maintenance of contacts with appropriate sources of potential applicants (such as colleges and universities, business schools, trade and professional associations, veterans' organizations, and the U. S. Employment Service), the use of free newspaper and radio publicity and direct recruitment. By contrast, the use of private employment agencies is discouraged. In 1951 Congress enacted legislation prohibiting the acceptance of a fee by a private employment agency for assistance in securing a

[12] Graves, W. Brooke, *Public Administration in a Democratic Society*, Boston, 1950, p. 221; Kronemeyer, Robert E., "Manpower Problems in Demobilizing the Navy," *Personnel Administration*, May 1947, pp. 32–40.

[13] U. S. Civil Service Commission, *Federal Personnel Manual*, Washington, ch. S2. See, also, U. S. Civil Service Commission, *Working for the U.S.A.*, Washington, 1952.

federal job. Specifically, an individual who solicits or receives any money for aiding another person to obtain a federal position or who requires the payment of a fee from another person because the other person has secured federal employment is liable to a fine of not more than $1000 or imprisonment of not more than one year or both.

For the competitive service, the *testing agency,* usually the Civil Service Commission, a Committee of Expert Examiners, or a Board of Examiners, establishes basic minimum qualifications which applicants must possess to be eligible for testing. These qualifications pertain to such factors as age limitations, physical standards, experience, and educational requirements.[14]

Normally, a maximum of 62 years and a minimum of 18 years is prescribed for the age requirements of an applicant for entrance to a federal competitive civil service test. The Civil Service Commission may establish higher or lower age limits for a particular position if the Commission and the operating agency agree that the interests of sound administration so require. Physical requirements are based upon analysis of the duties of the position and of the physical abilities necessary to perform those duties. These requirements are the minimum physical standards necessary for efficient performance of the duties without hazard to the appointee or others.

Experience requirements vary with the specific duties to be performed. In accordance with the Veterans' Preference Act of 1944, minimum educational requirements may be prescribed only if (1) the position covered by the requirement is a scientific, technical, or professional position, and (2) the Civil Service Commission decides that the duties of the position cannot be performed by a person who does not have such education. When the Commission concludes that positive educational requirements should be prescribed for particular positions, it publishes justification for the requirements and the duties of the position in the lists of these positions in the Federal Register. Such a positive educational requirement applies to positions with the same duties in all agencies, regardless of the title of the position.

Granted that an applicant possesses the requisite qualifications stated above, he may be denied the opportunity to take an exam-

[14] *Ibid.,* ch. R2.

ination for reasons of character.[15] Thus, an applicant may be denied opportunity of taking a federal test because of dismissal from previous employment for delinquency or misconduct; physical or mental unfitness for the position; criminal, infamous, dishonest, immoral, or notoriously disgraceful conduct; intentional false statements or deception or fraud in testing or appointment; habitual use of intoxicating beverages to excess; or reasonable grounds for belief that the applicant is disloyal to the United States Government.

Qualifications for applicants for federal positions outside of the competitive service are established by the operating agencies concerned. Generally, these qualifications follow the qualifications of the competitive service.

On the basis of individual grades obtained in a test, the testing agency in the competitive service establishes a register of eligibles which contains the names of persons who have obtained a grade of 70 or more (including preference points) and who meet the other test requirements. Subsequently, in response to requests from operating agencies, eligibles are certified by the testing agency in the order of their ratings, as augmented by any preference points, with the following exceptions: (1) eligibles entitled to ten-point veteran preference are certified ahead of all others except for professional and scientific positions for which the entrance salary is more than $3000 per annum; (2) eligibles entitled to veteran preference are certified ahead of all others for positions which are restricted to veterans; (3) for positions in the departmental service, preference eligibles, non-preference eligibles from states in arrears of their quota, and eligibles serving under probational or permanent appointments in the apportioned service are certified ahead of all other eligibles; and (4) veterans whose names have been placed on the register because they lost opportunities for probational appointment because of their military service are certified ahead of all eligibles.[16]

Upon receipt of a certificate of eligibles from the testing agency, the agency personnel office communicates with individuals certified. The communication to the eligible may be an inquiry as to availability, or it may be a tentative offer of appointment. The *selection* of the person to be offered appointment in the competitive service

[15] *Ibid.*, ch. Z1.
[16] *Ibid.*, ch. R2.

must be made by the operating agency in accordance with civil service regulations promulgated by Congress, the Chief Executive and the testing agency. In normal times, the majority of appointments in the federal government are probational and carry with them competitive status for the individual receiving the probational appointment.

Regulations governing the selection of an individual from a certificate are specific.[17] For the first vacancy, the operating agency must select one of the highest three eligibles on the certificate who has not been eliminated. For the second vacancy, the operating agency must select from a group consisting of the two eligibles who were considered but not selected for the first vacancy and the next highest eligible who has not been eliminated. The same order must be followed in filling additional vacancies. If the operating agency passes over a veteran, and tentatively selects a non-veteran who is lower on the certificate, a statement of the reasons for doing so must be submitted to the testing agency.

Selection must be made solely on the grounds of the merit and fitness of the eligibles. The operating agency may not consider any recommendation that involves discrimination of an applicant's religious or political opinions or affiliations or his race. The operating agency must not make inquiries concerning the political or religious opinions or affiliations of applicants except as to membership in such political parties or organizations that constitute by law a disqualification for government employment.

The operating agency cannot administer tests to eligibles whose names are on certificates with the intention of using the results of the tests as a basis for objecting to the eligible or for determining him disqualified. However, if the operating agency has considered an eligible in connection with three actual appointments to the same type and grade of position from one or more certificates, the operating agency may eliminate that eligible from further consideration for the same kind of appointment to positions of the same type and grade.

Appointees to competitive positions must be citizens of, or owe allegiance to, the United States. If the Civil Service Commission discovers that an employee occupying a competitive position is not a United States citizen and secured his position by falsely claiming citizenship, it requests his removal by the operating agency.

[17] *Ibid.*, chs. A6, A7.

The Civil Service Act prohibits the appointment of any person to a position in the competitive service when two or more members of his family are already serving under probational or permanent appointments in the competitive service. By the Veterans' Preference Act of 1944, certain persons entitled to veteran preference may be appointed without regard to the members-of-family requirement. A requirement that appointments to competitive positions be apportioned among the states, territories, and District of Columbia upon the basis of population applies to positions in the departmental service.

If an eligible declines to accept appointment, if he fails to reply to the written availability inquiry or tentative offer of appointment, or if the communication inquiring as to his availability or offering him appointment is returned through the mails as undeliverable, the eligible may be eliminated from consideration.

In addition to the normal method of obtaining competitive status through probational appointment to the competitive service, during the period following "VJ Day" in 1945 certain classes of persons serving in positions in the federal government acquired competitive status under special procedures.[18] These procedures were established as transitional methods in view of the fact that probational appointments were not made during the period 1942–1945. Such classes of persons may be summarized as follows:

(1) *Employees serving in competitive positions without competitive status to whom the "five-point spread" provision applied.*—An employee who had served at least one year under an appointment not limited to one year or less and has received an eligible rating in an open competitive test might acquire competitive status. In such instances, if the employee had not been reached in regular order, the operating agency might request his conversion when the testing agency had issued its first general displacement order directing the operating agency to make displacement of non-status employees occupying positions which would be filled from the same register. The testing agency then authorized the conversion if and when the lowest rating reached in the regular order of certification did not exceed the employee's rating by more than five points. A nonveteran could not be granted status under this provision until all veterans standing higher on the register had been appointed or had been given appropriate consideration. An employee might be con-

[18] *Ibid.*, ch. C4.

sidered for conversion only in the type and grade of position for which his name had been reached on the register.

(2) *Certain persons entitled to veteran preference.*—When a person who established the existence of a service-connected disability of not less than 10%, or who was entitled to wife or widow preference, was serving under a war service indefinite appointment, a temporary appointment pending establishment of the register, or a temporary appointment for job employment which had been continuous for more than one year, he might acquire competitive status. In such instances, the employee had to have served satisfactorily in, and to have been recommended by, the operating agency. If the employee had not satisfactorily completed one year of service, he was required to serve a one-year probationary period. He also had to pass such tests as the testing agency might prescribe.

(3) *Employees reached on a register prior to War Service Regulations.*—An employee who was serving when his name was reached for certification on an appropriate civil service register might acquire competitive status. In such instance, the employee had to have been appointed to a competitive position for other than temporary job employment lasting one year or less prior to the date the position was placed under the War Service Regulations. The employee had to have been continuously employed since his appointment and be recommended for competitive status by the agency in which he was employed.

(4) *Incumbents of positions brought into the competitive service.*—Under certain circumstances, the Civil Service Commission determined that a permanent excepted position had been brought into the competitive service by statute, executive order, or otherwise, or that the federal government had taken over a public or private enterprise and continued its functions on a permanent basis. When the Commission concurred that the employees involved might be retained, a person occupying a position when it was brought in the competitive service might be appointed at that time to such a position and might acquire competitive status.

In order to acquire competitive status under this method, an employee had to be recommended by the operating agency in which employed, had to have rendered six months of satisfactorily active service in the position that was brought into the competitive service or in the civilian executive branch of the government immediately prior to the effective date of the change in status of the posi-

tion, and had to pass such test as the Civil Service Commission might prescribe.

(5) *Employees who have been reached on a register.*—An employee who was serving when his name was within reach for probational appointment on a civil service register appropriate for the position in which he was serving might acquire competitive status. In such instance, he had to have been continuously employed since his name was reached on the register and he had to be recommended for a competitive status prior to expiration of the register. A nonveteran employee might not be granted status under this provision until all veterans standing above him on the register had been given appropriate consideration.

The foregoing five procedures were utilized to obtain competitive status for thousands of federal employees prior to the outbreak of the Korean conflict in June 1950. Some of these same procedures may be invoked again to confer competitive status at the expiration of the current national emergency.

In contrast to probational appointments, there have been several types of limited appointments in the federal service since 1945.[19] Among these, the most prevalent types are: (1) emergency appointment, (2) temporary appointment pending the establishment of a register, (3) temporary job appointment, and (4) indefinite appointment.

Emergency appointment.—Emergency appointments may be made only in limited cases in which the position must be filled without any delay. An operating agency may make thirty-day emergency appointments without prior approval of the testing agency in two kinds of situations: when there is an extreme emergency which requires the positions to be filled without delay and time does not permit selections for other types of temporary appointments to be made, and when positions must be filled and the operating agency cannot make another temporary appointment in the time required because the testing agency has not furnished qualifications standards. Emergency appointments may not extend beyond thirty days without prior approval of the testing agency.

Temporary appointment pending establishment of a register.—Temporary appointment pending the establishment of a register may be made when the public interest requires that the vacancy be filled before an examination can be held and eligibles certified and

[19] *Ibid.*, ch. A7.

when the agency has been delegated the authority by the testing agency to make such appointments. Selections for these temporary appointments must be made from the persons whose applications have been forwarded to the operating agency by the testing agency or have been filed directly with the operating agency and who meet the qualifications standards prescribed by the testing agency. Temporary appointment pending the establishment of a register may also be made when all of the following conditions exist: (1) the testing agency has less than three eligibles available for certification for the position to be filled; (2) the operating agency has received the certificate containing the list of the available eligibles and has elected not to make probationary appointment from the certificate; and (3) it is necessary to fill the position without waiting for the establishment of the appropriate register.

Temporary job appointment.—Generally, temporary job appointments may be made for jobs which are not expected to last longer than six months. If employment is expected to last longer than six months, probational appointment or appointment pending the establishment of a register is normally made. However, temporary job appointments to positions expected to last longer than six months may be made with prior approval of the testing agency. Generally, selection for temporary job appointments must be made from certificates issued by the testing agency. In the absence of registers, or when the testing agency agrees that there are no eligibles immediately available, an operating agency may select persons for appointment in the same manner as for temporary appointment pending the establishment of registers. The authority to make temporary job appointments is withdrawn by the testing agency under the same circumstances and to the same extent as authority to make temporary appointments pending the establishment of a register. When a temporary job appointment is made from a certificate of eligibles, the testing agency has already determined whether the appointee meets the qualifications standards before certifying his name. Where appointments are not made from certificates of eligibles, the operating agency must determine that the appointee meets the qualifications standards prescribed by the testing agency. Persons given temporary appointments do not acquire competitive status in the classified service.

Indefinite appointment.—Executive Order 10180 established "Special Personnel Procedures in the Interest of the National De-

fense." The order, effective December 1, 1950, required that all appointments in the executive branch of the federal government (excluding Presidential appointments and postmasters) be made on a non-permanent basis with two exceptions. First, the Civil Service Commission (or the head of an agency having positions outside of the competitive service) may authorize permanent appointments whenever, "in unusual circumstances," the Commission (or the head of the agency) determines that permanent appointments are "in the interest of the Government." Second, agencies are permitted to make permanent appointments of persons selected for permanent appointments prior to December 1, 1950. Other than appointments falling in one of the above two categories, appointments to a federal agency generally have been "indefinite" since December 1, 1950. Original indefinite appointments are made from registers of eligibles furnished by the Civil Service Commission unless insufficient eligibles are available. Such appointees serve a trial period of one year. After completion of the trial period, the demotion, suspension, or separation of an indefinite appointee is subject to usual procedural requirements already established for such processes. On December 1, 1950, non-permanent appointments already in effect (that is, temporary appointments pending establishment of a register, war service indefinite and emergency appointments) were converted to indefinite.

With respect to *reinstatement,* a former federal employee who has completed the required probationary period may generally be reinstated within a specified time limit. The following schedule applies to the reinstatement of federal employees: [20]

Number of Complete Years of Federal Service	*Time Limit*
Less than 2 years	1 year
2 years	2 years
3 years	3 years
4 years	4 years
5 or more years	No limit

In the federal service, the normal rule is that, if the former employee did not complete probation, the time limit is restricted to one year. However, the time limit is waived for veterans. Beginning December 1, 1950, the reinstatement process was superseded by the indefinite appointment described above.

[20] *Ibid.,* ch. R4.

In the federal government, the Civil Service Commission normally establishes certain qualifications and requirements for *promotion* and *reassignment*.[21] Thus, prior to promotion, six months of service are generally required after appointment and (if applicable) after conversion to probational or competitive status. If the appropriate unit of the Civil Service Commission has announced an open competitive examination which is pertinent to the position, any experience and training requirements contained in the announcement must be met by the employee to be promoted. Otherwise, the experience and training standard applicable is the last one issued by the Civil Service Commission. However, an agency may make a formal agreement with the Commission to provide a special standard for a particular position. A written test is required if a written test was included in the latest examination for the position. If the Commission has prescribed a positive education requirement for original appointment to a position, an employee must also meet this requirement. The Commission post-audits individual promotion actions to ascertain compliance by line agencies. Normally, the Commission makes length of time-in-grade requirements applicable to the promotion of employees; an exception to the normal practice has been made by the Whitten Amendments which have required, in the majority of cases, a minimum of a year in a grade before an employee may be promoted to the next higher grade.

Under Executive Order 10180 (and consistent with the initial Whitten Amendment to the Supplemental Appropriation Act of 1951), effective September 1, 1950, all promotions, transfers of personnel from one agency to another, and re-employment of former federal employees had to be made on a non-permanent basis. Further, under the Order, effective December 1, 1950, any reassignment might, in the discretion of the agency, be permanent or non-permanent. Hence, all promotions in the federal government were "indefinite" while the initial Whitten Amendment was in effect from September 1, 1950 to June 5, 1952 at which time a revised Whitten Amendment became effective. Under the revision, as contained in the Third Supplemental Appropriation Act of 1952, federal agencies were authorized to make permanent promotions in particular grades up to the number of employees in such grades in an agency prior to September 1, 1950.

[21] *Ibid.*, ch. Z1.

With respect to *demotions* in the federal government, as a general rule, an employee in the competitive service cannot be demoted except for cause which will improve the efficiency of the service. Under the Veterans' Preference Act of 1944, veteran preference employees must be given a thirty-day advance written notice of a proposed demotion. Agency policy usually provides for a similar thirty-day advance written notice to non-veterans. The notice indicates why the circumstances require a demotion and the appeal procedure. Veteran preference employees have a right to appeal to the Civil Service Commission. In the federal government, experience and training requirements for a position must be observed in demotions, but a written test requirement is waived.

Under Executive Order 10180, demotions as well as reassignments are "indefinite" unless such action involves the return of a permanent employee (1) to the position he last held on a permanent basis or (2) to a position of lower grade than such position and unless an agency decides that a reassignment should be permanent. The designation of a reassignment or demotion as "indefinite" does not change the employee's permanent status in his agency. Thus, permanent employees continue to have protection afforded by normal Civil Service regulations.

Under the Order, the Civil Service Commission is authorized to issue regulations covering the release of employees by any agency of the executive branch for employment in another agency and covering the establishment, granting, and exercise of rights to re-employment in the agencies from which employees are released. Thus, re-employment rights are provided for permanent employees relased for employment in another agency "in the interest of the Defense Program." Each agency is responsible for applying certain standards to determine whether re-employment rights will be granted in individual cases. The Civil Service Commission entertains appeal from a requesting agency if the releasing agency decides in the negative.

The primary purpose of limiting the number of probational (and permanent) appointments in the federal government, beginning 1950, was to keep the number of employees holding permanent appointments from exceeding the total number of such employees in the federal service at the time of the outbreak of the Korean conflict. The first major step in reverting to the normal practices of probational appointments and permanent promotions, demotions,

reassignments, and transfers occurred in June 1952 with the passage of the Third Supplemental Appropriation Act; under the act, federal agencies were authorized to make permanent appointments and promotions, provided that the total number of employees holding permanent positions in individual grades does not exceed the number of employees in such grades in an agency prior to September 1, 1950. It is to be expected that after the termination of the current national emergency, all indefinite aspects of appointment, promotion, demotion, reassignment and transfer procedures will be eliminated, and the conversion to competitive status of certain employees who entered the federal service since 1950 will be completed. Probational (and permanent) appointments will then again be the normal practice.

State Government as Employer

In many states, *recruitment* for some or all of the personnel of state agencies is still a matter of party politics. In such states, names of individuals who desire public employment are obtained through political recommendations. In some instances, announcements of vacancies are made with little intent of seeking qualified applicants but more as a gesture to placate public opinion. In other states, the vast majority of state positions are included in a competitive service, appointment to which depends upon qualifying through an objective testing process. In these latter states, recruitment is carried on by a central staff personnel agency or an agency personnel office for ultimate appointment to the competitive service, similar to the recruitment methods as described previously.[22] It was the Pennsylvania State Civil Service Commission, for example, which recently studied its recruitment operations and concluded that the three most effective methods of publicizing examinations are newspapers, local offices of state agencies, and general announcements.

In states where the spoils system dominates, objective methods for *testing* and *selection* either do not exist or may be used as a camouflage for spoils system operations. It may be said that in such states more objective attention is generally given to positive qualifications of applicants for technical positions than for other types of positions. In states having a bona fide civil service or merit system,

[22] Council of State Governments, *The Book of the States, 1952–1953,* Chicago, 1952, pp. 176–177; Field, Oliver P., *et al., State Government,* New York, 1949, pp. 340–344; McKeen, D. D., *Party and Pressure Politics,* New York, 1949, ch. 13.

testing and selection techniques as described earlier in this chapter prevail.[23] A few states have introduced an element of objectivity beyond that of the federal employment program. For example, under an amendment to the New York State Constitution, which became effective on January 1, 1951, absolute preference for veterans was abolished.

Reassignments and *transfers* are handled on an individual basis, with much less use of these techniques at the state level, as compared with the federal level. *Promotion* programs at the state level are the exception, rather than the rule. *Demotion* other than that prompted by party politics in a state where the spoils system prevails is rare at the state level.

To illustrate the employment program of a state government where objective employment procedures are utilized, reference is made to the state of Illinois. In Illinois, all positions except those specifically exempted by law constitute the classified civil service of the state. Recruitment for such positions is the responsibility of the State Civil Service Commission. The State Civil Service Commission seeks to attract competent applicants by preparing and issuing, on a periodic basis, written announcements of tests to be conducted and by disseminating general information pertaining to the advantages of state employment. The announcements themselves, including the information sheets, are attractively designed and feature on the front cover a superimposed outline map of the state. Significant occupational groups are frequently contacted by the Commission in its request for applicants.

The testing process is carried on by the State Civil Service Commission. Tests are held at Chicago and Springfield and at other cities in the state, depending upon the number and geographical distribution of applicants. Applicants must be United States citizens who have been residents of the state for one year preceding the test. The state residence qualification, however, is waived for technical positions for which no qualified Illinois residents are available. Applicants who are accepted for testing receive an admission letter from the Civil Service Commission approximately one week before the test is held. The admission letter indicates the time, place, and date of the test.

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[23] Anderson, William, and Edward W. Weidner, *State and Local Government,* New York, 1951, pp. 556–557.

By state law, tests must be practical in nature. Testing procedures include assembled tests, unassembled tests, performance tests, and oral tests. Often a combination of types of tests is used in connection with determining eligibility of applicants for a position. In order that papers may be scored anonymously, they are identified only by an identification number until the register is established. The Commission uses an electric scoring machine to speed up the correction of test papers and to eliminate errors. To be rated eligible, an applicant must obtain a grade of at least 70 on each type of test taken.

When a vacancy occurs in the classified service in the state government of Illinois, the operating agency sends a requisition to the Commission for the names of the three highest eligibles on the appropriate eligible list. After the operating agency makes a selection of one of these three names, the remaining two names are subsequently sent for consideration, along with a third name, when another requisition is made upon the same eligible list. An appointee serves a six months probationary period, upon the completion of which the employee usually obtains permanent status.

As during World War II, but to a lesser extent, demands for manpower incident to the Korean conflict have modified the recruiting, testing, and selection rules in most states. Because of the national labor shortage, new areas of recruitment have been sought, with greater reliance placed on women and the physically handicapped. Examining standards have been lowered in many jurisdicdictions through an extension upward and downward of eligible age ranges and through reduced qualifications and experience. Open continuous examinations have been held in shortage categories. Certification for emergency appointments instead of probationary has been adopted in some states for certain occupational groups. In some instances, the effect of modifications appears to be to reduce the general quality of individuals attracted to certain types of positions in state employment.

Local Government as Employer

Similar to the situation at the state level of government, employment of individuals for municipal positions is often the function of a political machine. When a political machine dominates the local scene, whatever *recruitment, testing,* and *selection* processes exist are the result of party politics and usually are not designed to

obtain the most capable individuals for appointment. As in the instance of state government, however, greater attention is generally paid in such localities to positive qualifications of appointees to technical and professional positions than to other types of positions.

Although the adoption of objective methods to recruit, test, and select municipal personnel has been slow, progress has been made in many localities.[24] Such methods, where adopted, are often patterned after federal experience, more so than after state experience. When localities establish objective recruitment, testing, and selection programs, the specific methods utilized among these local units differ greatly because of such factors as the number of public employees in the jurisdiction or agency, the relative wealth of the community, activity of civic organizations, public interest, etc.

In localities where an objective civil service system is in operation, employment rules tend to follow the experience of state and federal governmental units. However, during the past few years one distinct trend has been the establishment of local residence requirements as a qualification for local employment. The effect of such requirements is to restrict the area of competition and hence to reduce the general quality of applications. In a few local units, adoption of local residence requirements has been followed by subsequent repeal. For example, a 1950 amendment to the city charter of Richmond, Virginia, provided that all city employees had to be bona fide residents of the city: failure of individuals who were employees when the amendment went into effect to comply by September 1950 resulted in separation from the service. In 1952, however, the Virginia legislature eliminated this Richmond charter requirement.

Usually, employees of local units of government must meet entrance qualifications of a position in order to be eligible for *reassignment* and *transfer*. A few larger local units of government have effective *promotion* programs. As in many localities, the Binghamton, New York, Civil Service Commission gives written promotion examinations for certain higher grade positions, such as detective. On the whole, however, local promotion programs have not been established. An exception to the condition found among most localities in this regard is found in Denver: where an employee who

[24] International City Managers Association, *Municipal Personnel Administration*, Chicago, 1947, ch. 5; Bromage, Arthur W., *Introduction to Municipal Government and Administration*, New York, 1950, pp. 432–437; MacCorkle, S., *American Municipal Government and Administration*, New York, 1948, pp. 360–367.

believes his full abilities are not utilized may request the central staff personnel agency for a position of higher grade with more responsibility.

Detroit, Michigan, typifies a municipality which has developed a progressive employment program. In Detroit, positions of trust, skill or employment, as provided by city charter, are included in the civil service system. To obtain applicants for these positions, the Municipal Civil Service Commission prepares and issues written announcements to high schools and colleges, trades groups, and professional and technical journals, as well as to radio stations and three metropolitan newspapers. Nation-wide coverage is given to technical vacancies where local residence requirements are waived.

The Municipal Civil Service Commission conducts tests to ascertain the fitness of applicants for particular positions. Testing procedures include assembled tests, unassembled tests, and oral tests. An applicant must obtain an average of 65% on each test and an average of 70% on the entire test. Applicants are given a number to identify their test papers; the identity of the number is not disclosed until the tests have been rated. An applicant who believes that his rating is erroneous may appeal to the Commission for review of his test. A person who takes a test is not permitted to take another examination for the same series or class of positions with similar test content for a period of ninety days after taking the original test.

Names of eligibles are placed on an eligible list in the order of proficiency as shown by the test average except as otherwise provided by the Veterans' Preference Law of the State of Michigan. All names on the eligible list remain active for a period of one year except for individual names certified and selected and unless the eligible list is extended by the Municipal Civil Service Commission for a period not to exceed an additional year. Upon requisition by an operating agency, the names of eligibles standing highest on the appropriate eligible list are certified by the Commission. The probationary period is ninety days, the successful completion of which usually results in confirmation of appointment. In certain cases, however, with the concurrence of the Commission, the period of probation may be extended or the employee may be discharged.

In smaller communities, it is frequently impractical for a unit of government to establish a permanent personnel staff to engage in recruitment, testing, and selection processes. There is a point of di-

minishing return below which it is advisable for a small jurisdiction to utilize professional service offered by a neighboring unit of government or by a municipal league. One factor which has distinctly increased the objectivity of recruiting, testing, and selection techniques at the local level is the availability of a state government to furnish professional personnel assistance to local jurisdictions or to assist local jurisdictions in this respect.

Problems of Administration

Among the problems associated with the administration of the employment function, the following call for special attention:

Appearance of recruitment literature.—When recruitment announcements are mimeographed, single-spaced, with the same size of type throughout, when they are without sketch, illustration, design, or picture, and when they are in the form of a giveaway, they more nearly approximate an advertisement for a patent medicine than a description of career employment opportunity. The recruitment literature of many jurisdictions approximates the characteristics described above. In view of the general appearance of some recruitment literature, there is small wonder why a sufficient number of competent applicants are not attracted to file for certain Civil Service tests.

Recruitment literature should be designed to present, in an attractive manner, essential details of the position or positions for which applications are sought. Variation of size of type serves to emphasize salient employment factors. The booklet form of examination circular has proven very effective where adopted. The use of sketches, designs, and illustrations is helpful. The general appearance of both general announcements and examination circulars should receive careful consideration from the point of view of their receptiveness by the public for whom intended.

Language of recruiting announcements.—The language used in recruitment literature is often too complicated to be understood by the average individual reading the announcement. Phraseology may be unduly technical and stereotyped; various Civil Service concepts which may be mentioned in the literature such as "status" may be foreign to the individual who has never previously been employed by government; certain conditions of employment described in the literature such as the wage rate, retirement provisions, etc., may not be meaningful in the form in which the data appear.

The language of recruitment literature should be understandable to the person to whom the announcement may apply. If the use of technical terms is necessary, the terms should be defined or explained clearly. An excellent method of pretesting the readability of a recruitment announcement is to submit the announcement for criticism to a group of individuals outside of government who are representative of those who may be interested in the position. In any event, clarity in language is essential to effective recruitment efforts.

Restriction of applicants to particular geographical areas.—In some jurisdictions, particularly at the local government level, applicants for public employment must be residents of the jurisdiction for a fixed period, such as one year, prior to filing an application for a position. At the federal level, the rule of apportionment introduces a geographical qualification for federal appointment in the departmental service. Such restrictions limit the objective of obtaining the best-qualified and available applicants for public employment by establishing an artificial qualification having no relation to individual capacity.

Public opinion at the local level of government has not yet crystalized to the point of permitting local government employees in all jurisdictions to be selected without regard to residence requirements. It is sometimes considered expedient to restrict only lower level positions in local government to local residents. However, the quality of applicants for higher level positions, such as professional, technical, and scientific, has been definitely enhanced where residence qualifications have been eliminated. The rule of apportionment in the federal service appears to serve no useful purpose and should be eliminated.

Lack of central source of information concerning current personnel needs.—Frequently there is no central point in a jurisdiction to which persons interested in employment in a jurisdiction may go to obtain information concerning current job opportunities. Applicants are thus required to contact agencies and divisions within agencies for such information on an individual time-consuming basis. Such practice results in a waste of time and effort, not only on the part of applicants, but also on the part of employment staffs in the many agencies. In addition, some well-qualified applicants are reluctant to follow the practice; to that extent, potential applicants may be lost to agencies for consideration.

At a central point in every jurisdiction, normally the central staff personnel agency, information concerning current personnel needs of the jurisdiction should be maintained. The availability of job information on a centralized basis tends not only to create favorable public relations for the jurisdiction but also to result in a better utilization of available manpower.

Lack of coordination of recruitment efforts within a jurisdiction and among jurisdictions within the same geographical area.—Occupations such as clerks, typists, and messengers are common to all operating agencies of a jurisdiction and to all jurisdictions within the same geographical area. Within a single jurisdiction, where operating personnel offices carry on their own recruitment, such offices are frequently in competition with each other for applicants possessing these common skills. Where central personnel agencies carry on recruitment for operating agencies of the jurisdiction, similar competition exists among jurisdictions located in the same geographical area. In such situations, recruitment officials often act without reference to other operating personnel offices or central personnel agencies. Duplication of activity not only results in greater costs but it also lessens the chances that any one operating agency or jurisdiction will fill its recruitment needs most effectively.

Where more than one government agency seeks to attract persons in identical occupations in the same geographical area, the public interest is served best when all recruitment efforts are coordinated. Joint cooperation in such matters as time of announcement, test schedules, test standards, and the joint use of physical facilities for testing purposes serve to make recruitment more efficient. Progress has been made in joint test announcements among operating personnel offices of a jurisdiction as well as utilization of resources of a test agency by another test or operating agency of another jurisdiction. The existence of many ocupations common to most, if not all, jurisdictions indicates that further coordination is not only desirable but imperative.

Excessive length of particular tests.—Frequently, the allegation is made that the time required to take a particular civil service test is too great. Excessive length of time to take a test leads to fatigue among applicants and diminishes their ability to answer specific questions accurately. Although only representative test items pertinent to an area of knowledge may be included in a test, the

test may require such careful mental concentration as to be unduly lengthy for the average person who is competing.

The test items in a test must be sufficiently numerous and varied to enable an appraisal of the extent of knowledge one applicant possesses in competition with other applicants. As a matter of fact, a test must include sample items from all major areas of subject matter if it is to be reliable and to have validity. However, a test should not overtax the physical and mental ability of applicants to the point of undue fatigue. It is estimated that one test should not last more than three or four hours.

Impracticality of particular tests.—The charge is sometimes made that all or a portion of a civil service test is impractical. Newspaper editorials, letters to the editor, and complaints to testing agencies contain disparaging references to particular tests and to individual test items which, in themselves, leave doubt in the individual's or public mind why such data were included in a civil service test.

It is not enough that a test from a statistical point of view have a high degree of validity; it is essential that the questions on the test appear to be valid to individuals who take the test. Tests, as well as individual test items, therefore, must be checked prior to their administration, to ascertain that they appear to have validity from a public point of view. If a test is to have public acceptance, the test must be practical.

Lack of validity of particular tests.—The type of test or the content of individual test items often causes criticism that a particular test is not valid for a particular position. This criticism is especially prevalent when the positions for which applicants are tested are too heterogeneous for uniform test treatment or when the duties of the position are improperly defined, or when the type of test is unrelated to the test problem. The feeling of lack of validity of particular tests was accentuated in the post-war period at the federal level. When thousands of war-service and temporary appointees were tested by the federal Civil Service Commission during the period 1946–1950, individuals who had been performing duties of positions very satisfactorily for as long as five or six years were tested for fitness to continue in their positions. In many cases, these individuals failed tests and were displaced. In some instances, it was obvious that individuals did not meet post-war standards but in other instances it was apparent that there was a

distinct lack of correlation between grades on a test and previous performance.

Recognition must be given to the fact that tests must be valid for positions for which applicants are tested. A test or individual test item which fails to separate differences of characteristics between the most qualified applicants and the least qualified applicants should be discarded. Many testing agencies are conducting research with respect to the question of validity of tests, but, until further progress has been made, the validity of tests in some jurisdictions will remain an open question.

Repeated use of test material.—In many testing situations, such as those in colleges and universities, questions are repeated on subsequent tests in the same subject matter area. The continuous change of a student body over a period of time usually is considered sufficient to prevent a carry-over of knowledge of questions from one group taking a test to a later group taking the same test.

When test material is repeated on subsequent civil service tests, however, the fact that the applicants may retake tests at their discretion and the existence of "cram schools" which seek to obtain copies of previous tests raise a danger in the repeated use of test items. Although the carry-over in the identity of test items may, in fact, be relatively minor and may give no practical advantage to an individual applicant, the possibility of an unfair advantage, even for a few applicants, requires that the utmost caution be exercised.

As a general rule, test items should not be reused in their initial form and, at such times as they are used, sufficient time should have elapsed to minimize any possible advantage which otherwise might occur to one or more applicants possessing unfair knowledge of the item. Another method of obtaining the greatest utility from test items is through the incorporation of identical test items in two or more tests administered for the same class of positions at the same time.

Abuse of temporary appointments.—In some jurisdictions, through deliberate maneuvering, the temporary or provisional appointment of the particular employee is renewed repeatedly in order that an employee who did not initially qualify or has not qualified by the normal test process (or perhaps cannot qualify) is continued on the payroll indefinitely while individuals who are qualified and available are not selected.

The use of the temporary appointment, in the absence of an appropriate register or for positions of limited duration, is an accepted technique. But the use of the temporary appointment as a camouflage for the spoils system is to be condemned. Recruiting and testing agencies should anticipate, as much as possible, the need for specific types of eligibles and establish registers accordingly. Where the need for temporary personnel has not been anticipated by the central staff personnel agency or operating personnel office, as the case may be, the personnel agency may seek applicants for temporary positions through direct recruitment and through canvassing existing registers of closely allied occupations. Giving blanket authority to operating agencies to appoint temporary personnel whom they recruit often encourages the abuse cited.

Veteran preference regulations in testing and selection processes. —Because of military service rendered the nation in time of war, legislatures at the national and state levels of government frequently provide for specific privileges to veterans in the test and selection processes. Such privileges include automatic acquisition of additional points added to the basic score obtained on a test, the placing of disabled veterans at the top of the register, and the requirement of explaining satisfactorily to the test agency reasons for passing over veterans to appoint non-veterans. Adequate protection for men and women who have sacrificed a period of their life for the nation is and must continue to be a matter of positive public policy. However, to the extent that there is any kind of substitution for individual capacity in the test and selection processes, government efficiency may be lessened.

There is a sharp difference of opinion with respect to the appropriateness of veteran preference. Many public administrators feel that veteran preference rules currently in force in numerous jurisdictions should be limited in scope and application; thus, recommendations have been made to restrict the privilege to a fixed number of years (for example, five years) after discharge and to require that a veteran receive a passing grade on an examination before he is eligible to obtain any benefit of veteran preference. Such recommendations are based upon the belief that a government position obtained under a concept of reward for past military service is often regarded as a sinecure, and that as a result of this feeling less desirable employees are obtained. It is argued that veteran preference regulations promote abuse, such as the allegation

that "ten point" credit on examinations is sometimes claimed by veterans who in fact are not disabled. Because of veteran preference legislation, individuals who do not possess veteran preference but whose skills are essential to programs of government are sometimes discouraged from competing with veterans for public employment.

Proponents of veteran preference stress that the sacrifices made for the nation in time of war by men and women in the armed forces justify the preferential treatment accorded through veteran preference regulations. These advocates insist that the quality of employees is not lowered through the application of veteran preference. Moreover, they maintain that the extent of any abuse of the benefits is very limited.

Adjustments of these differences of opinion must be made in individual jurisdictions after further careful study of the problem. Legislators must carefully weigh the debt which government owes to each veteran against the needs of government for the best-qualified available personnel. In so doing, many legislatures have provided specific benefits for veterans without compromise of the merit principle of evaluation and selection of applicants solely on the basis of individual ability.

Lack of adequate funds.—In many jurisdictions, the central staff personnel agency or agency personnel office, or both, lack adequate funds to carry on effective recruitment and testing programs. Although the number of applicants for a test may be large and although there are sufficient available eligibles to fill vacancies, there is no assurance that the recruitment and test processes have reached the sources of best-qualified personnel. Lack of funds, especially, restricts the publication of recruitment literature, the adoption of direct recruitment methods, and construction of new or improved tests since the use of these techniques depends upon adequate finances.

The operation of an effective employment program requires a comparatively modest amount of money. What may appear to be a saving of taxpayers' money through curtailment of funds legitimately needed for an employment program may ultimately require greater cost to taxpayers through excessive turnover and inefficient employee performance due to misassignment. In their consideration of the amount of money to be made available for personnel management, legislators must remember that quality,

as well as quantity, of new personnel is essential. If the most desirable type of individual is to be attracted to government employment, the most effective procedures must be utilized in the recruitment and testing processes. Utilization of these procedures is impossible without adequate financial support from the legislature of the jurisdiction.

Inadequate or lack of planning of an employment program.—Through lack of funds, lack of competent staff, lack of foresight, or through other causes, little attention is sometimes given to planning of an overall employment program for a jurisdiction. In the absence of a well-defined program, it frequently happens, for example, that a request of an operating agency for eligibles for routine positions will precede any recruitment action by the central staff personnel agency or operating personnel office. In such cases, before the request can be filled, announcements must be drawn up and circulated, applications received, tests given, and a register established. Many months and even years may pass between the receipt of the request for eligibles and actual certification.

Recruitment, testing, and selection must be a coordinated operation. The amount of time needed to set up any one register depends upon a variety of factors such as staff available, the labor market in the locality, recruitment methods used, test procedures, etc. The complexity of many of these factors points up the need for careful planning of the overall employment program. Planning involves establishment of a time schedule related to the realities of a particular jurisdiction. The following is a typical time schedule where an assembled test is used: (1) preparation of announcement, 1–2 weeks; (2) acceptance of applications, 4–5 weeks; (3) preliminary review of applications to ascertain compliance with minimum qualifications, 4–5 weeks; (4) preparation and administration of test, 4–5 weeks (simultaneous with (3)); and (5) rating of papers and establishment of register, 4–5 weeks.

With respect to the total employment operation, close collaboration between the central staff personnel agency and/or the agency personnel office, on the one hand, and the line divisions of operating agencies, on the other, is imperative.

Delay in establishing registers.—Frequently an excessive amount of time is involved in the establishment of a register of eligibles by a testing agency. When agency personnel offices fail to make known to the central staff personnel agency anticipated needs or

when the testing agency inaccurately forecasts the future need for eligibles in particular occupations, positions may remain vacant while the recruitment and testing processes are carried on over a period of many months. Again, time may become a vital factor while references of applicants are being checked. In other instances, a large number of applicants for one particular examination throws a tremendous work load on an already busy testing agency and requires at least the temporary reassignment of employees of the agency away from their normal work schedules.

The time required to establish registers can only be reduced to a minimum through the joint cooperation of operating and testing agencies of the jurisdiction. Specifically, testing agencies must be kept continually informed of present and anticipated personnel needs. The testing agency must keep accurately aware of labor movements within the geographical area of the jurisdiction in order to maintain constant familiarity with the labor market. Furthermore, the testing agency must constantly renew procedural steps to eliminate any bottlenecks in recruiting and testing processes. Careful planning is essential. Finally, without adequate support from the legislature, the establishment of registers within a reasonable length of time becomes a difficult task.

Continued use of traditional methods of recruitment.—The recruiting procedures of many central staff personnel agencies and agency personnel offices having responsibility for recruiting are stereotyped. In some cases, the information sheet is the only method utilized; in others, the information sheet and examining circular used are couched in personnel jargon instead of simple phraseology. In these jurisdictions, distribution of information is limited and direct recruiting methods are unknown.

Government agencies responsible for recruitment must acquire the positive concept of attracting qualified candidates for positions. Only by becoming familiar with the range of recruiting procedures and by styling their own procedures to fit their individual recruiting problems will recruiting efforts become most effective.

Limitations on the making of immediate offers to competent personnel.—Civil service rules usually require that a particular order be followed in making selections from a certificate. Valuable time is consumed in contacting eligibles on a certificate resulting from nation-wide or state-wide examinations since these individuals are geographically distributed in various sections of the nation or states.

Moreover, an appointing officer may receive a certificate without accompanying applications of particular eligibles; in such cases, it is necessary to obtain an application from the eligible before final consideration can be given. Line officials of an agency may take two or three weeks to decide upon a particular applicant. Appointing officers are sometimes limited in their ability to make immediate offers because of the necessity for applicants to obtain specific credentials, such as a birth certificate or veteran preference proof. These circumstances often encourage competent eligibles to accept employment elsewhere.

Through the use of selective certification, appointing officers may request the testing agency for eligibles who possess any special qualifications for the type of position to be filled. Such a request reduces the possibility that a proportion of the eligibles on a certificate do not have the requisite qualifications. Emphasis is also placed upon the need for obtaining all pertinent personnel data on eligibles as promptly as possible and for making final selection without delay. At the time of initial contact with the eligible, appointing officers frequently request that specific credentials such as birth certificate or veteran preference proof be presented at the time of original interview. Internal personnel office procedures may be streamlined to facilitate the referral and selection procedures.

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CHAPTER 5

Training

Definition.—As used in this chapter, training refers to the process of developing skills, habits, knowledge, and attitudes in employees for the purpose of increasing the effectiveness of employees in their present government positions, as well as preparing employees for future government positions.

In the work environment, the choice between training or nontraining of personnel does not exist. Training, at least of an informal type, takes place even where no plan has been formulated to impart learning. Without some type of formal training, the work environment is frequently characterized by high accident rate, wasted effort, inefficiency, errors, excessive absenteeism, complaints, and personal dissatisfaction occasioned by inadequate use of individual capabilities.[1] Training as a strictly line activity of an agency such as the training of merchant seamen by the U. S. Maritime Service, and pre-entry training (that is, training given prior to entrance in a government position) are not within the purview of this chapter.[2]

Scope.—Training employees for greater effectiveness in their present positions may involve retraining in previously acquired skills, habits, knowledge, or attitudes, or it may consist of teaching new ones. Training employees to prepare them for future positions contemplates imparting skills, habits, knowledge, and attitudes in order that, at some future time, they may assume greater or different responsibilities. The time may come when present tasks are completed or when it becomes administratively desirable to reassign employees to other types of work. Training, therefore, may

[1] Civil Service Assembly, *Employee Training in the Public Service,* Chicago, 1941; Culver, D. C., *Training for Public Service: A Bibliography,* Berkeley, 1937; Lambie, M. B., *Training for Public Service,* Chicago, 1935.

[2] For an illustration of training as a line activity of an agency, see Torpey, William G., "A Saga of Sixteen Year Old Seaman," *Harvard Educational Review,* Winter 1946, pp. 44–51.

prepare employees for more efficient performance upon entrance to a position, while carrying on present duties, or in anticipation of a subsequent position.

Training may take place on an individual or group basis, in a classroom of an agency, or on the job. It may be offered at the central office of an operating agency or at one of its field units, by personnel of the agency personnel office, or by operating personnel. Such training is usually given during official hours of work, but it may be given after hours. Training is generally a function of an operating agency, not of a central staff personnel agency.[3]

Developing a Training Program

The types of training to be established in any agency vary directly with the needs of the agency. The training needs may be comparatively modest, due in part to a predominance of routine positions involving relatively little skill in an agency coupled with little turnover, or the training needs may be great in view of the variety of specialty positions in an agency and a scarcity of particular skills. Hence, the training needs of a smaller agency having a preponderance of clerical employees are much different than, for example, those of an agency with many kinds of technical employees. The personnel office usually ascertains training needs of an agency in conjunction with line supervisors; from these needs, the types of training to be offered are established.

To determine training needs requires fundamentally an analysis of the skills, habits, knowledge, and attitudes necessary to perform the duties of the agency and the degree to which employees possess such factors. In the process of determining needs, positions may be studied to identify specific duties, responsibilities, and minimum qualifications; desirable standards of performance may be established; and actual standards of performance may be checked. The difference between desirable and actual standards represents an area for development through training. Other criteria which may be studied in determining training needs include the extent of attainment of the objectives of an agency, the prevalence of administrative or technical problems within an organization, efficiency ratings, opinions of employees and agency officials

[3] Maguire, Dewitt, "Essential Elements of an Effective Over-All Training Program," *Public Personnel Review*, July 1952, pp. 110–116.

including officials in the agency personnel office such as the employment officer and the employee relations officer. Negatively, conditions in an agency such as the inability of an agency to attract competent personnel, excessive turnover, high absenteeism, or a heavy accident rate may point up the need for training.

Once a need for a particular type of training has been established, the training officer, together with line supervisors, determines jointly the identity of the groups of employees to be trained and the type of training to be given. (See Fig. pp. 406–407, Appendix.) Selection of instructors, length of training, and methods of testing may be matters for point determination, although in many instances these latter aspects may be decided exclusively by the training staff of the agency personnel office. It must be emphasized that, after a type of training has been offered, results must be objectively evaluated to ascertain how well the program has met the needs previously identified.

Staff and Line Aspects

Training, in a sense, is a line and staff function. It is a line function because it is fundamentally carried on by line supervisors. It is a staff function because over-all guidance and evaluation are matters for staff specialists. With respect to the training function, an agency personnel office may have only staff responsibility or it may have both line and staff responsibility. In any event, the training officer in the personnel office cannot take the place of the line supervisor in the training process.

In the public service, there is no uniform pattern of activities of a training branch of an agency personnel office. Staff activities carried on by training branches include: (1) making studies to ascertain needs, facilities, methods, etc.; (2) providing information concerning courses, materials, methods, and other training programs outside the agency; (3) rendering advice or assistance to administrators and supervisors on such matters as analysis of needs, program or course planning, selection of instructors, methods, and materials; (4) determining methods of appraisal of training programs; (5) providing advice to employees concerning their individual abilities and needs; and (6) coordinating training information. Line activities of training branches involve: (1) negotiating with organizations for facilities or instruction; (2) selection of instructors; (3) carrying on instruction; and (4) recording employee grades

in personnel records. A single training branch usually does not engage in all of the foregoing activities. As a generalization, it may be stated that training branches in agency personnel offices in a departmental or central organization tend to be staff in nature, whereas training branches in agency personnel offices in field agencies tend to be more linked with operations of the agency.

Training Methods

Training methods must be related to needs, and, hence, methods utilized in carrying on training activities differ greatly with the type of training and the activity involved. Criteria for choosing appropriate methods must conform to sound educational principles.[4] In addition, there are limitations of public policy, cost, time, available physical facilities, and available materials and instruction.

A survey of training programs in the public service reveals diversified use of methods, dependent upon whether the training is on an individual basis or on a group basis. For training the individual employee, common training methods are: discussion, rotation of assignments, formal courses, correspondence courses, supervised reading courses, supervisory practice, and cooperative education arrangements. For training a group of employees, typical methods include: seminars, colloquia, courses, conferences, field trips, tours, lectures, simulated situations, and inspection trips. Concomitant with many of these methods is the use of training aids such as visual and auditory aids, publications, and manuals. At least one agency has used television as a training method. Specifically, the U. S. Census Bureau of the Department of Commerce trained enumerators for the 1950 census by means of television. The effectiveness of every training program depends largely upon the methods and aids selected.

Types of Training

Based upon purpose, there are several types of training carried on in government.[5] Among the more prevalent types are the following:

[4] See, for example, Torpey, William G., "Educational Principles in Seamanship Training," *The Nations Schools,* July 1946, pp. 20–22.

[5] Pfiffner, John M., *Public Administration,* New York, 1946, ch. 21; Dooley, R. R., "Training Within Industry in the United States," *International Labor Review,* September–October 1946, pp. 159–178; Whitelaw, John B., "An Approach to Supervisory Training," *Personnel Administration,* September 1947, pp. 39–42.

Orientation training.—A new employee initially reporting for duty naturally feels strange in his work environment. He usually knows little about the objectives of the organization of which he is about to become an active member. He is probably ignorant of specific rules and regulations pertaining to employment in the organization. In order to extend an official welcome to new employees at the time they initially report for duty, to explain to them the mission and importance of the organization, and to inform them of basic rules, regulations, and privileges of employment, orientation training is established.

An additional reason for offering a comprehensive orientation training program is found in a situation which often develops when there is no such orientation. Among incumbents of positions in any agency, there are individuals who have not achieved normal advancement and, hence, may be disgruntled. Without the perspective gained through participation in orientation training, a new employee inadvertently may come to depend upon one or more of these individuals for guidance. The disgruntled employee may quickly spread his negative attitude to the new employee, to the disadvantage of both management and the new employee. This possibility is greatly reduced, if not eliminated, through a planned and constructive introduction to employment for new employees in the form of orientation training.

An appreciation of the value of orientation training is essential since this is one type of training which is applicable to all government agencies. A comprehensive orientation training program consists of two parts: general orientation, with respect to information for all new employees; and job orientation, with respect to information for the new employee about his specific job. General orientation is offered by the agency personnel office; job orientaton, by the immediate supervisor.

Orientation is not job training in the usual sense of the word. It is possible that a new employee may completely absorb the details of the orientation program and yet become an inefficient worker. However, experience indicates that when an employee understands the purpose of his organization and the rules and regulations incident to employment and when he is made to feel that he is a welcome member of the organization, he is a more productive worker. Orientation, as used here, is preliminary to instruction in methods of actually performing a job.

The orientation program may be offered to the new employee on an individual basis or as a member of a group of new employees. Whether the individual or group method is used normally depends upon the number of new employees reporting for duty during a particular period. In point of time, the orientation must follow the appointment of the new employee as promptly as possible, if maximum results are to be obtained. When the orientation program is given for a group of new employees, it is most desirable to conduct the session on an informal basis, with the new employees preferably sitting around a conference table. One excellent method to promote a feeling of informality is to place a name plate on the conference table in front of each new employee and participant in the program. The chairman of the meeting may then begin by introducing each individual around the table.

The general orientation training program itself may include discussion of six key points, as follows:

(1) *The over-all mission of the organization.*—Such data stress the general objectives of the organization and, when appropriate, the relation of the particular organization (for example, a field agency) to other component parts of the parent organization located elsewhere.

(2) *The basic organizational structure.*—Brief analysis is made of the major departments, divisions, bureaus, or other organizational units, together with a short explanation of the function of each. Particular emphasis is placed on the units in which the new employees are to be assigned.

(3) *General conditions of employment.*—Explanation is given with regard to such items as hours of work, rates of pay, pay dates, accumulation of sick and annual leave, promotion policy, efficiency rating system, safety and other rules and regulations deemed helpful for the new employees.

(4) *Grievance procedure.*—Discussion centers around the concept that, as job problems arise, employees usually bring them to their immediate supervisors but that, when, for some special reason, an employee believes that his immediate supervisor has not dealt, or cannot deal, with the problem satisfactorily, the employee may seek help from the supervisor next to the organizational hierarchy or from the personnel office.

(5) *Beneficial suggestion system.*—The value of employee suggestions is outlined, and the method of submitting such suggestions

for possible cash awards is described. The opportunity for new employees to have and to make constructive suggestions is stressed.

(6) *Employee services.*—New employees are acquainted with the range of personal services available, such as cafeteria facilities, banking facilities, recreation programs, sickness and health plans, and counseling on personal problems arising off the job.

At the conclusion of the discussion of the foregoing factors, literature in the form of employee handbooks or mimeographed material may be distributed to all new employees. The general orientation training program may be concluded with a tour of the physical facilities of the organization followed by individual escort to the exact place of work. When such a tour and subsequent referral by escort to the place of work are impracticable, the personnel assistant conducting the orientation program may make an appointment with the immediate supervisor to whom the new employee is to report. When reporting, the new employee may carry with him an introduction card prepared by the personnel assistant. Careful instructions must be given the new employee in order that he may locate the supervisor without difficulty.

Job orientation training may include discussion of three key points as follows:

(1) *Specific layout of the particular office or shop.*—Discussion may involve location of such items as lockers, cloakracks, washrooms, time clocks, first aid and fire-fighting equipment. The new employee may be shown not only places essential to the performance of his duties but also particular locations where related processes of the work of the office are carried on.

(2) *Specific rules of work.*—Comment includes data with respect to time of lunch period, rest period, closing time, and conditions of overtime and compensatory time. Special regulations may be mentioned such as smoking rules and safety requirements.

(3) *The work process itself.*—Explanation may include general statements as to the form or content of the work prior to transmittal of the work to the new employee's desk or place of work; the exact changes or modifications to be made by the new employee; and the general changes which subsequently occur in the work before the task is completed or the work leaves the office or shop.

Following the discussion as outlined above, job orientation training provides for the introduction of the new employee to other

The effect of the decision was to raise a question of the legality of training programs and to limit development of this function.

Emphasis was placed upon training, however, during World War II. Manpower shortages in many occupational fields, coupled with broad legislative grants of authority and emergency powers of the President, resulted in a significant reliance on training as a personnel function. In addition to training programs of individual agencies, the Civil Service Commission organized a program for promoting training throughout the federal service. Not only in terms of number of employees participating but also in terms of specific types of training established, training programs in the federal government reached their peak during the period 1941–1945.[10]

From 1946 to 1950, with reduced personnel in the federal government and a more favorable labor market, the number and scope of training programs were reduced. The program projected by the Civil Service Commission was drastically curtailed because of lack of financial support. Individual agencies had much less money to spend for training. In comparison with funds utilized for the administration of personnel offices in the federal government, the proportion of funds for training programs during this period was relatively small. For example, whereas an average of $38 was spent for the recruitment and placement of an employee during the fiscal year 1948, few agencies spent more than $1 per capita for training. During the same year, over-all personnel office salary costs chargeable to training constituted 8% of the total personnel salary expenses, ranging among federal agencies from 0.6 to 16.5%.[11] In 1950, however, shortages of personnel, together with additional government activity incident to the Korean conflict, again resulted in accelerated stress being placed upon the creation and extension of training programs.

Today formal training is carried on in most federal agencies. No agency has established on a broad basis all types of training mentioned earlier in this chapter. Congress has enacted special legislation which authorizes training of specific employees or groups of employees in particular agencies. Such authority has been granted

[10] Hausrath, Alfred H., Jr., "Guiding Principles of Training in the Federal Service," *Personnel Administration,* May 1946, pp. 1–2; U. S. Civil Service Commission, Training Programs in the Federal Service, Washington, 1942; Quartermaster General, *Handbook for the Director of Civilian Training,* Washington, 1943.

[11] U. S. House of Representatives, House Committee Report No. 2198, Second Session, 80th Congress.

to the Department of Defense, State Department, Department of Commerce, Veterans Administration, Weather Bureau, Public Health Service, and others. The legislation in itself generally does not grant funds for training; the legislation authorizes that funds may be spent for the purpose as outlined in the legislation. Each agency is dependent upon annual appropriations to carry on a training program.

The Civil Service Commission promotes the adoption by federal agencies of executive training and development programs. Two plans, the one providing for the assignment of administrative personnel to other fields of administration and the other providing for administrative training for specialized personnel, are recommended by the Commission for agency action. In connection with an agency, the Commission enters into a special agreement, under certain circumstances, to give credit for in-service training courses and thus to shorten experience and training requirements for promotion or reassignment.[12]

The only type of training administered now as a centralized service by the Civil Service Commission is the Administrative Intern Program. Started in 1945, the Administrative Intern Program is designed to train a limited number of employees in the federal government who show promise of qualifying for promotion to key career jobs within five to ten years. The program is sponsored by an Interdepartmental Committee on Administrative Interns, comprised of representatives designated by the heads of cooperating federal agencies. The length of each program is presently approximately five months, the fourteenth program having been completed in 1952. Approximately thirty employees comprise each program.[13]

To be eligible for consideration, a person must be employed by a government agency and possess the following qualifications: (1) at least two years' successful experience in the federal government or military service; (2) a civil service grade between GS–7 through GS–11, inclusive, or equivalent grade, at the time of nomination; (3) permanent status, the prospect of permanent retention in government employment and a positive interest in a career in the fed-

[12] U. S. Civil Service Commission, *Federal Personnel Manual*, Washington, ch. A6.

[13] Coman, Jean, "Internship Program for Federal Employees," *Personnel Administration*, February 1944, pp. 3–8; Reining, Henry, "The First Federal In-Service Internship Program," *Personnel Administration*, December 1944, pp. 8–20; Connor, Franklin, and Russel Landis, "The Federal Administrative Intern Program," *Personnel Administration*, December 1945, pp. 8–20.

eral service; (4) good personal qualities, an interest in administration and an aptitude for leadership; and (5) good health, adequate for an intensive schedule of work and after-hours' activity. Final selection is based on the individual's record, recommendation of his agency, a written examination, and personal interview.

An appreciation of the scope of federal training today may be obtained from a reference to a summary of training projects in four occupational areas, namely, the administrative area, the technical and professional area, the clerical and office methods area, and the supervisory area.

In the **administrative** area, training in specialized fields of administration takes the form of training in principles and processes of organization and management, training in personnel management and specialized phases thereof (such as personnel utilization, classification, and employee relations), an administrative intern program, public relations training, executive leadership training, and training in budgetary and fiscal management.

In the **technical and professional** area, training in arts, crafts, skills, and sciences is illustrated by public health training, junior scientist training, training in technical operations of foreign and domestic commerce (such as patent examining, international trade, airway control, statistical surveys and analysis, weather forecasting), training for civilians in technical aspects of military operations, apprenticeship training, student aid training, law enforcement training, training in statistical operations (such as survey design, machine tabulating), and training in agricultural operations (such as soil conservation, forestry, farm credit, rural electrification).

In the **clerical and office methods** area, training which deals primarily with ways of getting office work done, either by mechanical or manual means, is represented by secretarial practice, filing in complex subject matter systems, typewriting and shorthand in advanced stages or as adapted to an agency's needs, and the operation of office machines (such as calculators, comptometers, adding machines, bookkeeping machines, mechanical tabulating equipment).

In the **supervisory** area, training for first line supervisors includes training in particular rules or regulations (such as a performance rating system, an awards program, a production control system), leadership training, the "J" courses, and work simplification courses dealing with improvement of work methods.

Training in State Government

Until 1937 there was little formal training of public employees at the state level. Central staff personnel agencies and personnel offices of line agencies showed little interest in the training function and received little encouragement along this line from line agencies and officials. However, in 1936 Congress passed the George-Dean Act under which federal funds become available, under stipulated conditions, for training of state (as well as federal and local) employees.[14] Specifically, the act modified the condition (initially set forth in the Smith-Hughes Act of 1917) under which federal funds may be obtained, on a matching basis, for part-time education in trades and industries by including training for "public and other service" within the definition of "trade and industrial subjects." [15] Thus, state boards of vocational education were authorized to seek federal funds for training public employees in part-time schools and classes. The act stimulated the training function at the state (as well as at the local) level.

As demands for personnel in World War II reduced the effectiveness of state recruiting efforts, training of employees already on payroll for modified assignments and training new employees became necessary. The results achieved were sufficient in most instances to encourage continuance of training after World War II ended. Acceleration was also provided by the Federal Vocational Education Act of 1946 [16] which amended the George-Deen Act and authorized annual appropriations for vocational training on a permanent basis in an amount larger than that originally authorized by the Smith-Hughes Act. An illustration of training at the state level supported by federal funds is a series of administrative and supervisory training courses given at certain state hospitals in California.

Training at the state level emphasizes particularly on-the-job training in occupational fields related to government operations.[17] Thus, training programs for forest fire fighters, prison guards, police, tax administrators, and conservation work predominate. The training need has arisen in line operations and the role of the agency personnel office is primarily an advisory and coordinating one. Oc-

[14] 49 Stat. 1488.

[15] Section 6.

[16] Public Law 586, 79th Congress.

[17] For amplification, see Michigan Civil Service Commission, *Training Activities of the Michigan Civil Service Commisson,* Lansing, 1951.

casionally, significant advance is made in supervisory training.[18] Although the extent of formal training programs in state governments is still limited, greater consideration is now given to training at the state level than at any previous time.[19]

One of the states in which the greatest progress in training has been made is Illinois. The training program in Illinois started in 1943 and has since attracted more than 10,000 state employees. The training program has three aspects: (1) extension classes for undergraduate and graduate credit in professional and academic areas, (2) non-credit short courses to increase knowledge and skill in present positions, and (3) supervisory training. Furthermore, the Civil Service Commission, working with the State Veterans Commission, has established a long-range program of related training for veterans in state employment. Under this program, veterans qualify for subsistence payments while training for promotion to higher positions in the state government.

State agencies in Illinois have cooperated in the training program in several specific ways. Some agencies permit employees to attend classes during working time if the training is directly related to the job, if the supervisor approves, and if the employee has a satisfactory work record. Many of the courses are offered under an arrangement whereby one-half of the period of the class is on official time, and the other half is on the employee's own time. Various state agencies furnish instructors for the program. For example, accounting courses are taught by qualified auditors in the State Fiscal Department. Further, certain state agencies have sponsored courses, such as letter writing, for their own employees but have opened the courses to other employees. Supervisory training in human relations, given by the State Department of Public Welfare, has been practical and popular. Public relations training for doctors, nurses, and attendants has been developed at the request of the Department of Public Welfare. The University of Illinois, through its Division of University Extension, has provided instructors for a number of courses. During one recent semester, under-

[18] Hubbard, Allen S., "A New Supervisory Training Program for Public Employees," *Advanced Management,* January 1952, pp. 18–19.

[19] Farrington, Robert P., "New Work Training Program for State Employees," *Public Personnel Review,* October 1945, pp. 236–239; Caldwell, Lynton, "The New York State Internship Program," *Public Personnel Review,* October 1948, pp. 183–190; Hunter, Robert L., "The Illinois State In-Service Training Program," *Public Personnel Review,* July 1947, pp. 138–144.

graduate or graduate credit courses were given in Sampling Techniques, Governmental Accounting, Principles of Sociology, Administrative Law and Social Group Work.

The report of the Connecticut Personnel Study Committee, created to make recommendations concerning the role of the state as an employer, reflects a trend on the subject of training. The Committee, after surveying personnel operations in the state, pointed out in 1949 that the State Personnel Department and agencies should be directed to carry out an adequate training program on a cooperative basis. The Committee further stated that a training unit should be created within the State Personnel Department headed by a full-time training director. The Committee noted that the policy of the State Personnel Department was that in-service training must come from the line department or from employees, but the Committee felt that, even without a formal request, the responsibility for initiating in-service training programs rests with the Personnel Department.

Training in Local Government

In-service training of employees at the local level began early in the twentieth century. Many large cities in the first decade of this century provided vestibule and on-the-job training programs for firemen and policemen. New York City, for example, created a "Fire College" for training in fire prevention and fire-fighting techniques in 1907. In the decade of the 1920's, the scope of on-the-job training was broadened while supervisory and administrative training was adopted in many local units. Local training programs became more intensive and the list of occupations for which training was provided continued to grow in the third decade of the century. The greatest impetus to training of local government employees has occurred during the past ten years.[20]

A significant factor which stimulates training at the local level is the fact that a large number of positions in local government are found to a very small degree, if at all, in private industry. Train-

[20] Morales, M. S., "An Approach to Municipal Employee Training," *Public Personnel Review*, April 1947, pp. 79–82; Furia, John J., and Harold A. Winson, *Spending Money to Save Money*, New York, 1940; Morrison, Harry L., "Training in Local Government Administration," *Personnel Administration*, May 1952, pp. 27–29; International City Managers Association, *Municipal Personnel Administration*, Chicago, 1947, ch. 6; Schulz, Ernst, *American City Government*, New York, 1949, pp. 493–494; Municipal Finance Officers Association, *Training Municipal Employees, Municipal Finance*, May 1951.

ing constitutes the bridge between a basically qualified eligible lacking specific knowledge and skills and an effective employee. The policeman, for example, needs to learn laws and ordinances, rules of evidence, and the handling of firearms before he can perform his normal duties. Although he subsequently becomes proficient in his performance, it is necessary for him to continue to learn newer technical developments and revised procedures. The policeman, therefore, relies on a series of training programs to teach him how to carry out his duties and responsibilities efficiently, now and in the future. The fireman, the tax assessor, and the purchasing official are further examples of the local employee who must be continuously taught methods and procedures unique to his position.

Another factor which has facilitated the training of employees of local units has been the George-Deen Act of 1936, mentioned previously.[21] Under the act, federal funds are authorized to support training programs for local employees (as well as federal and state employees) which are administered by state boards of vocational education. With the aid of federal funds, training has been provided at the local level in fire fighting, police protection, teaching, water supply and sewage disposal, maintenance of streets and highways and inspection for health and safety.

At the local level of government, training is usually considered a responsibility of the line agency; central staff personnel agencies or agency personnel offices are primarily concerned with coordinating training efforts and facilitating specific progress. For smaller jurisdictions, impetus has been afforded the training function by state municipal leagues and state associations of officials. Illustrative of the former is the training assistance given to smaller units of government by state municipal leagues in Kansas, California, and Minnesota; an example of the latter is the New York State Fire Chiefs' Association.

The International City Managers Association is a pioneer in the field of municipal training. The Association's Institute for Training in Municipal Administration started the correspondence course type of training in 1934; subsequently the Institute prepared its own texts only for enrollees in its correspondence courses. Beginning 1941, however, the Institute made its texts available to individuals not registered in one of its courses. At present, there are eight volumes available in the following fields: general administra-

[21] See p. 172.

tion, planning, finance, personnel, police, fire, public works, and recreation administration. These books emphasize the "how" of administration and are used primarily by practitioners at the local level.

Reference is made to action in Kansas City to illustrate training progress at the local level. In Kansas City, a five-year plan was drawn up by the central staff personnel agency in 1945. The initial year was devoted to supervisory training. The first class was made up entirely of department heads and commissioners; other key supervisors composed the training group during the rest of the first year. Emphasis on the supervisory type during the period stimulated supervisory interest in the potentialities of the training function and resulted in many suggestions from supervisors. Subsequently, an orientation course was developed for new employees, with subjects to be covered handled by supervisors. One device which has been used in connection with the Kansas City program is a dramatic skit written by students and faculty of local educational institutions on a basis of letters of complaints and suggestions received. The approach used in Kansas City indicates the desirability of obtaining active support of all segments of an agency for a training program as well as the need for careful planning preparatory to launching successive phases of an effective training program.

Problems of Administration

Among the problems associated with the administration of the training function, the following call for special attention:

Improper evaluation of training programs.—Often there is little or no follow-up by personnel officials to ascertain the effectiveness of a training program. Especially where personnel officials believe in "training for training's sake," sight may be lost of the fact that a training program should be established only to fulfill training needs. Data on such factors as the number of employees enrolled, the number of courses offered, and the number of certificates awarded, in themselves, do not necessarily indicate a successful training program.

Proper evaluation of training programs involves objective analysis by personnel administrators of results in terms of objectives of specific types of training. When such analyses are made on a continuing basis, it is possible to determine how closely particular training efforts have attained their objectives. Furthermore,

through such analyses, changes may be suggested to implement and strengthen present training activity.

Lack of training-mindedness among various top-level administrators.—Some administrators consider the training function as a luxury or frill in public personnel administration. Those who hold this concept may give support as long as the training program is popular, but, at the first sign of administrative difficulty, they may withdraw essential support. When turnover in top personnel of an agency brings to the agency an official who does not believe in a training program, the whole program may disintegrate during his tenure. Sometimes, this lack of appreciation for training is the mark of a senior administrator who himself "came up the hard way" without benefit of any training program. Hence, in some jurisdictions, even though funds are modestly adequate for training, administrators give only lip service to training programs.

Employees must learn, formally or otherwise, how to perform assigned duties and responsibilities most effectively. From an economical and practical point of view, it is better that they learn the most efficient ways of job performance systematically, not haphazardly. A training program is the preferred means of insuring such learning. If a training program is to succeed in any agency, top management must recognize its essentiality and lend its wholehearted support.

Slowness of legislatures to formalize the training function.—In the majority of instances, legislatures have failed to provide in basic legislation a specific legal framework for a training program. In contrast to basic laws dealing individually with personnel functions such as classification or retirement, there are very few statutes containing legislative guides for the training function. In most cases, training is established by administrative determination pursuant to general authority granted to an executive branch over personnel management. In certain jurisdictions the legality of training has been challenged on the grounds that, in establishing a training program, the executive lacked adequate legislative authority.

There is need for the legislatures in many jurisdictions to enunciate broad training policy in basic legislation. Providing, in specific legislation, the framework for a training program does more than aid personnel officials in the performance of their duties; it also places the training function, legally, in a more appropriate relationship with other fundamental personnel operations.

Loose coordination between employment and training functions.—In practice, employment officers often plan and execute their recruitment programs without full recognition of the assistance training officers may give to the total personnel needs of an agency. Likewise, training officers sometimes carry on their operations without adequate consideration of the condition of the employment market or the availability of specific kinds of personnel. Lip service support sometimes given by training personnel to employment, and vice versa, may arise from ignorance of the correlative role of the other, professional jealousy, or lack of perspective.

Fundamentally, the employment function and the training function are related approaches to the broader area of manpower utilization. In a sense, both functions complement each other; the extent of emphasis on one function frequently bears a reciprocal relationship to the other. Thus, training needs may arise in areas where recruiting is difficult; placement operations may follow the completion of the specific training programs. Personnel administrators must recognize the intimate relationships between the employment and training functions and provide continuous effective coordination between these activities.

Administrative separation of training from general personnel functions.—The training function is sometimes administratively separated from the personnel function. Thus, in a minority of jurisdictions, the responsibility for administering a training program is placed in a training officer who is administratively independent of the personnel officer. Training as a function is so extricably associated with personnel management that such separation tends to promote organizational conflicts as well as to introduce other needless problems.

Training as a function—like general personnel management as a function—concerns the attitude, skills, and abilities of employees of an agency. Administratively, linking training activities with other personnel management actvities facilitates kindred relationships and provides for a uniform approach to the general personnel problem of an organization.

Accreditation of in-service training courses.—In many jurisdictions there is a need for accrediting in-service training courses for examination and promotion purposes. It is often the practice, rather than the exception, to give no credit to an employee for having taken a training course when the employee subsequently seeks to meet standards for eligibility or for promotion. When credit is given,

the training course offered by the employee for credit may be evaluated for only a fraction of the credit the course actually deserves because of its quality and scope.

Training agreements should be set up between agency personnel offices and central staff personnel agencies under which eligibility standards subsequently promulgated by the central staff personnel agency recognize a substitution of training courses successfully passed for certain general academic and experience requirements. The training program which is a part of the agreement must be administered carefully in conformity with stipulated standards of the central staff personnel agency, with emphasis on knowledge and skill, not attendance as such. With central staff personnel agency criteria followed, the training program then becomes a meaningful operation, not only from the point of view of imparting information but also from the fact that training as a function becomes an integral part of an agency promotion program.

Workload.—In some agencies the current workload is such that supervisors and employees believe they do not have sufficient time to participate in a training program. A demand to meet a deadline often has the effect of emphasizing present output to the exclusion of plans to develop skills needed in the foreseeable future. Heavy work schedules, particularly when the workweek is extended beyond normal hours, discourage supervisors and employees from carrying on study assignments connected with a course of training.

Supervisors and employees in the majority of jurisdictions realize that training can be a very potent technique to improve the quality and quantity of present and future work efforts. Observation and understanding of successful training projects facilitate the conviction in an agency that the effort expended in an effective training program pays off in rich dividends in the future and permits the more efficient handling of heavy workloads.

Lack of funds.—Lack of funds for training programs in many jurisdictions means an inadequate training staff, the inability to obtain needed replacements for employees who would otherwise participate in an extended training course, and the absence of necessary training equipment and materials. Without an adequate training staff, planning, assistance to the line, coordination, and evaluation activities suffer. The absence of a sufficient number of employees to keep routine work current may prevent enrollees in a training program to attend sessions regularly. The lack of training equip-

ment and supplies may prevent the offering of specific courses which are greatly needed in an agency.

In a sense, training is a process of spending money judiciously in the present in order to save money in the future. As in other projects, there is a point of diminishing returns in a training program beyond which the expenditure of taxpayers' money will not bring proportionate returns. Of course, it is incumbent upon training officials—like all other public servants—to assure that training funds are properly spent from the point of view of the agency and the public. But until adequate funds are afforded the training function, the potentialities of training cannot be fully realized.

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CHAPTER 6

Efficiency Ratings

Definition.—An efficiency rating (sometimes called a performance rating, merit rating, or service rating) is an evaluation of the work performance of an employee. In contrast to what an employee does as described in a position description, an efficiency rating indicates how well an employee carries out his duties and responsibilities.

Value.—An effective system of efficiency ratings can be of tremendous value to top management, to the supervisor, and to the individual employee. For top management, the efficiency rating program offers an opportunity for an organization-wide evaluation of individual performance during a specified period of time. An effective efficiency rating system often calls attention to supervisory difficulties. For the supervisor, an effective efficiency rating system constitutes a periodic inventory of the effectiveness of employees under his supervision. Analysis of the results gives supervisors a concise current measure of the quality of individual effort by focusing attention on individual abilities and weaknesses. With such information supervisors may make personnel changes for the benefit of the organization. For an employee, an effective efficiency rating system furnishes a clearer understanding of his duties and responsibilities and enables the employee to know periodically how well in the opinion of his supervisor he is performing his tasks. The method of carefully and honestly appraising an employee's strong and weak points tends to strengthen and improve relationships between the employee and supervisor.[1]

Other uses.—In addition to their immediate use as indices of performance, efficiency ratings have several related uses in personnel management. With a proper understanding of its limitations, an efficiency rating may serve (1) as a guide for reassignment, (2)

[1] Pfiffner, John, *Public Administration,* New York, 1947, pp. 310–317; Pigors, Paul, and C. A. Myers, *Personnel Administration,* New York, 1951.

as a standard for promotion or demotion, (3) as a factor in salary increases or decreases, (4) as an aid to evaluate test results, (5) as a consideration for reinstatement or transfer, (6) as a cause for removal, (7) as a determinant in the order of reductions in force, and (8) as a criterion for the need for training.

Legal basis.—A requirement for an efficiency rating system is often contained in a particular law. In some jurisdictions such a system is authorized by general or specific statute, with or without subsequent executive order. Occasionally a central staff personnel agency adopts an efficiency rating system on the basis of its delegated authority to promulgate personnel management regulations. The desirability of having an efficiency rating program based on definite legislative authority is gradually becoming recognized. In any event, basic responsibility for overall guidance usually is given to the central staff personnel agency.

The rating process.—In the typical efficiency rating system, a supervisor evaluates an employee's performance on a standardized rating form at specified intervals. In some jurisdictions, a second supervisor subsequently rates the performance of the same employee. After the rating has been made, an interview is usually arranged by the supervisor with the employee during which time the employee is acquainted with the evaluation. An agency efficiency rating committee or personnel office usually either approves the individual rating before it becomes official or, in a few instances, actually determines the individual rating through the application of fixed formulae. At the time the employee receives his official notice of rating he is generally given a personal appraisal of his performance by his supervisor. Within a specified time after notification of rating, the employee is usually permitted to appeal his rating to a committee or appeal board if he so desires.[2]

Responsibilities for Administration

The agency personnel office.—An agency personnel office has specific responsibilities in the administration of an efficiency rating system.[3] Although the particular role of the agency personnel office varies, often an agency personnel office has as many as ten different duties:

[2] Halsey, George D., *Making and Using Industrial Service Ratings,* New York, 1944; Probst, John B., *Measuring and Rating Employee Value,* New York, 1947.

[3] Aronson, Albert H., *et al., A Bibliography of Service Ratings,* Washington, 1939.

(1) *It supervises the efficiency rating system.*—An efficiency rating program is a function of personnel management. The personnel office is charged with its effective operation. An efficiency rating committee lends staff support, supervisors are the actual raters, but the general administration of the program rests with the personnel office.

(2) *It establishes and modifies efficiency rating policy.* Basic regulations of an efficiency rating system require supplementation through policy making. Policy determination rests with the personnel office. Once made, the policy is followed in day-by-day operations by all concerned. For example, a decision by a personnel office to require separation ratings on employees as of the date they leave the agency is carried out by supervisors involved. Circumstances requiring the formulation of a specific policy or regulations may so change that the need for continuance of the policy disappears. Through familiarity with daily operations, the personnel office is in a strategic position to modify policy as circumstances warrant. For example, the personnel office may conclude that a policy of requiring separation ratings be modified in the case of particular groups of employees who have engaged in a project of limited duration and may revise policy accordingly.

(3) *It advises top management of the agency on the selection of members for the efficiency rating committee or it appoints them.*—In some jurisdictions, the efficiency rating committee is composed of one representative selected by employees, one selected by top management, and one selected by the personnel office. In such cases the personnel office specifically designates one member of the committee. In other jurisdictions, the committee is composed of representatives of chief occupational groups found in the agency, such as scientists and skilled artisans, all appointed by the personnel office or by the head of the agency. In the latter instance the personnel office may recommend to the head of the agency particular employees for subsequent appointment to the committee, or the personnel office may evaluate, in an advisory manner, the qualifications of individuals otherwise suggested for committee membership.

(4) *It coordinates the efficiency rating system with other personnel processes.*—Related uses of efficiency ratings in recruiting, promotion, training, transfer, and other personnel functions have been mentioned. An efficiency rating program itself is usually car-

ried on in an employee relations branch of a personnel office while other personnel functions related to efficiency ratings are carried on in an employment branch, a training branch, or other appropriate branch. The clerical processes must be integrated in such a manner that, for example, an employee whose efficiency rating as recorded in the employee relations branch as unsatisfactory will not be given a periodic salary increase by action of the employment branch.

(5) *It maintains custody of efficiency rating records.*—In view of the supervisory responsibility placed in the personnel office and the relationships between efficiency ratings and subsequent personnel actions, it is logical that custody of all efficiency rating records be maintained in the personnel office. Individuals, such as line supervisors, who have legitimate use for efficiency rating information, may obtain necessary efficiency rating data in the personnel office.

(6) *It prepares and distributes individual efficiency rating forms as the ratings become due.*—To save supervisory time and to promote promptness in the rating process, the personnel office completes on the form the basic employee data incident to the rating, such as name, position, inclusive dates of the period for which the rating is given, and transmits such forms at the appropriate time to individual raters. After completed forms have been received from raters, and after final evaluation has been approved, the personnel office prepares final notice of ratings for distribution to employees.

(7) *It gives advice on all phases of the efficiency rating program.*—Top management, committee members, supervisors, and employees must be appraised of fundamental changes in an efficiency rating system. Questions constantly arise concerning the meaning of individual regulations and the range of effects of individual ratings. The supervisor is the appropriate person with whom an employee should discuss a specific rating, but the personnel office is the source of technical assistance for all.

(8) *It provides training in the system.*—Committee members, supervisors and employees need to know not only efficiency rating rules, but also processes to be followed to implement the rules. Previous experience with an efficiency rating system of one jurisdiction may not promote familiarity with the rules and techniques

in another jurisdiction since efficiency rating systems differ so widely. The core of any effective system is proper understanding and application of basic rules. This understanding is best promoted through such media as regular supervisory training conferences, orientation meetings, and efficiency rating clinics sponsored by the personnel office.

(9) *The preparation of analyses of rating trends.*—The completion of individual rating forms by supervisors is obviously not the primary objective of an efficiency rating system; rather the use which is made of results of the ratings spells ultimate success or failure of the system. Because of its role in the program, the personnel office may make significant analysis of the ratings themselves. Such analysis may, in turn, suggest subsequent personnel problems, such as the existence of occupational areas in which special recruitment is needed, the need for particular types of supervisory training, or the inadequate use of rating standards by individual raters or divisions. Such studies focus attention on data which otherwise may not be readily perceived.

(10) *It arranges for clerical assistance for the committee.*—Assignment as a member of an efficiency rating committee is a collateral task. The committee as such needs clerical help. The personnel office assigns clerical assistance to committee meetings, including the use of a stenographer who may act as recorder during committee meetings.

The efficiency rating committee.—An efficiency rating committee has specific responsibilities in the operation of an efficiency rating system. Fortified with an operating viewpoint since most, if not all, of the members are in line positions in the agency, the committee plays an integral part in the process.

The committee approves or rejects the ratings made by supervisors of the agency.—The committee checks on the proper application of efficiency regulations by individual raters. Except on individual appeal, a committee does not seek to substitute its opinion for a rater's opinion with respect to the performance of a particular employee. Instead, if it appears that the correct efficiency rating procedure has been followed, the committee generally meets periodically and approves the ratings.

The committee hears formal appeals from individual employees.—When a disagreement by the employee with respect to

his efficiency rating cannot be resolved by the supervisor, the employee may usually appeal his rating to the committee. The committee acts as a neutral party to hear both sides and renders a final decision. Appeal procedure differs among jurisdictions; in each instance the procedure to be followed is generally contained in the basic rules of the system.

The committee gives advice to supervisors and employees.—In the tasks of approving ratings and hearing appeals, committee members make significant observations concerning the operations of an efficiency rating system. The committee passes many observations to supervisors and employees, as well as to the personnel office, in the form of suggestions and advice. Furthermore, in response to individual requests, committee members offer advice on most, if not all, phases of the efficiency rating system.

The committee encourages participation by line supervisors in training programs.—Since most, if not all, members of the committee are line officials, they are in an advantageous position to urge their fellow workers to engage wholeheartedly in the training program for supervisors and employees, which are sponsored by the personnel office. Committee members usually enjoy prestige of their associates and may act as the front line of attack to improve supervisory and employee understanding of the system.

The supervisor.—The supervisor is the key to an effective efficiency rating system. It is essential that every supervisor obtain a clear understanding of the basic principles and objectives of the rating system. With such understanding he must rate fairly and honestly. Furthermore, since the ratings have a direct bearing on the progress of employees, it is essential that employees freely understand, and have confidence in, the rating system. In both cases, misleading notions must be dispelled and conflicting opinions must be reconciled before a proper approach can be made to a clear understanding of the subject of efficiency ratings. The responsibility for clearing up doubt and uncertainty about a rating system among employees is the supervisor's. The supervisor, therefore, must not only rate his employees according to the letter and spirit of the system, but also promote a clear and proper understanding of the efficiency rating system and its uses among his subordinates.

Types of Rating Systems

Many types of rating systems have been used to evaluate the efficiency of public employees.[4] The following types have been the most common:

Use of production records.—Where the duties of a position are repetitive, employee performance can be measured in part through production records. Thus, the number of invoices examined, the number of jackets filed, or the number of forms typed may be counted by the employee and the record maintained by the supervisor. Typist, clerical, and machine operator positions illustrate jobs which normally include routine tasks. Where production records are used, other factors must also be taken into account in determining employee efficiency. Government has utilized production records less than industry, particularly because time and motion studies, which form a basis for the establishment of such records, have been prohibited by law. Prohibition of time and motion studies in government has resulted from a strong feeling on the part of labor organizations that the use of stop watches in connection with individual employee efforts is a form of degradation and is undemocratic. The Commerce Department in the federal government uses production records in determining efficiency of certain employees: this agency considers such items as the number of pages typed and the number of errors made in rating its typists.

Use of periodic tests.—The use of periodic tests is also adapted to positions characterized by repetitive tasks. In contrast to the use of production records, the periodic test seeks to measure efficiency at one or more specific times, namely, the times the test is given; however, the production record involves a continuous period of time such as a month or six-month period and, hence, tends to be more accurate. Use of the periodic test must be tempered by the realization that performance on the test is not necessarily typical of daily operations. The Department of Justice uses periodic tests in part in evaluating the efficiency of its stenographers.

Merit and demerit system.—The merit and demerit system may be used to measure efficiency where the work is highly standardized

[4] White, Leonard D., *Introduction to the Study of Public Administration,* New York, 1950, pp. 408–420; Schmidt, R. C., "Why Merit Rating?" *Personnel Journal,* November 1950, pp. 226–230; Aronson, Albert H., "Service Rating Plans," *Public Personnel Review,* October 1941, pp. 299–302.

as well as repetitive. Plus points are awarded to an employee for outstanding service; minus points are given for errors of commission or omission in the performance of duties. Unless the system includes a well-balanced relationship between the specified behaviors which result in minus points and those which result in plus points, objection may be raised to the abnormal ease or difficulty encountered in obtaining plus points during the course of operations. The merit and demerit system has been used by the Post Office Department in measuring the efficiency of its postal clerks and letter carriers.

Graphic scale.—The graphic scale lists vertically a series of qualities distinctly related to a position. Opposite each quality is a set of descriptive phrases denoting various degrees of the quality. The set of descriptive phrases covers the entire range of the quality. At one of usually ten points evenly spaced along a line located above the descriptive phrases, the rater places a check mark to indicate his evaluation of the degree of the particular quality which the employee possesses. The qualitative judgments (i.e., the rater's check on each line) is translated into quantitative terms. Objections have been raised, however, that the treatment of qualitative judgments in the manner described is an unsound process and that many qualities are too complex to permit standardization. The system was widely used in the federal government during the period 1925–1935.

Man-to-man comparison scale.—As the name implies, this approach seeks to compare an individual's efficiency with that of other persons similarly engaged. Individuals rated are placed in rank order for each quality included on the scale. Hence, an individual may rank higher than another person on one quality but lower on another quality. The scale serves to emphasize specified qualities of individuals rather than the individual as a whole. However, specific qualities may suggest different concepts to different raters. Lack of standards may result in unfairness. Thus, one rater's idea of "outstanding" performance may coincide with another's idea of "fair." Too, the scale conflicts with a prevailing theory that the employee should be rated on the degree to which his performance approximates the requirements of his position, not on how he compares with other persons. The man-to-man comparison scale is used to rate personnel in a few municipalities.

Probst Service Rating System.—Under this system, there are seven rating forms for various classes of employees: (1) a general form for clerical, general maintenance, operating engineering, general inspection, and salesmen classes; (2) a professional form for engineering, medical, library, and social science classes; (3) an educational form for instructors and teachers; (4) a police form for policemen; (5) a fire form for firemen; (6) a general labor form for skilled and semi-skilled labor; and (7) a labor form for unskilled labor. Each form contains a varying number of items, each of which refers to a personal characteristic or mode of behavior. (Thus, for example, on the police form there are 104 items.) On the appropriate form the rater checks only those qualities of behavior which he has actually observed. If the rater is not reasonably certain that the employee possesses the quality, the rater omits marking that item. Under the system, three supervisors, if possible, complete the same form for each employee rated. Evaluation is subsequently made by the agency personnel office, or central staff personnel agency through the use of a mechanical scoring system.

Under the Probst system, the rater does not actually evaluate the relative degree of a quality. Instead, by means of behavioristic descriptions of the employee on the job, the rater merely checks terminology which he has observed. On the other hand, it is difficult to understand the scoring method, allegations having been made that the method is very arbitrary. The scale of values assigned to the individual items fails to differentiate among the varying importance of items among specific jobs on the same class. Furthermore, there is lack of common understanding with respect to the meaning of certain items included on the form. Nevertheless, the Probst system has been widely adopted by state and municipal governments.

Psychophysical rating scale.—This system is based fundamentally on Thurstone's work in developing psychophysical methods of scale building. Under the system, a performance record form lists descriptions of employee behaviors. Scale values for each description are previously determined through obtaining an evaluation of each descriptive statement by competent cooperators. In the case of one such scale, for example, the cooperators were 100 experienced personnel officers and 100 employees. The rater checks each description which accurately coincides with the employee's perform-

ance. The central staff personnel agency evaluates the performance report.

The psychophysical rating scale seeks to overcome the objection found with many previous types of ratings that the methods of evaluation of items are arbitrary. On the other hand, it is impossible to know whether the whole range of employee conduct has been included on the scale. Further, the existence of institutional understandings sufficiently stable to allow fixed values to be given behavioristic statements is assumed. The psychophysical rating scale has been used in the Federal Housing Administration and the New York City Department of Social Welfare.

Facts-of-performance reporting system.—Under the facts-of-performance rating the rater does not "rate" an employee but, in general, gives a factual report of the work performed. On the rating form the rater checks one or more of a series of characteristics (such as "unprogressive" and "learned quickly") which typifies the employee's performance, and, in addition, may check one or more of affirmative and negative conclusions (such as "neglected duty" or "performed act, resulting in injury to person, property or service," or "constructive criticism or proposal resulted in major change in organization or practice") related to the employee's work. If the rater checks any of the affirmative or negative conclusions, he must explain his reasons for so doing. Subsequently, the rating form is evaluated by the central staff personnel agency. Where the rater's comments are insufficient for proper evaluation by the central staff personnel agency, the form may be returned to the rater for additional information.

Emphasis upon on-the-job performance, rather than character or personal qualities, keynotes the system. Misunderstanding with respect to the meaning of qualities and their applicability to particular jobs is eliminated. The key statements on the rating form in themselves are not determinants of the final rating but merely guides to induce the citation of specific actions by the rater. However, a difficulty of this approach lies in the necessity for elaborate record keeping or for reliance upon memory. Further, any lack of ability, on the part of raters, to write their comments clearly tends to penalize various employees or to promote prolonged communication with the central staff personnel agency. This system has been used in the Tennessee Valley Authority, in the State of California, and in New York City.

Efficiency Ratings in the Federal Government

Historical background.—In the federal government the use of efficiency ratings as a factor in promotion was initiated in 1887 when promotion regulations singled out efficiency as one of the subjects of promotional examinations. Impetus to the efficiency rating movement was given by President Benjamin Harrison who recommended that efficiency ratings be made in various departments. At the turn of the nineteenth century, however, rating systems in the federal government fell into general disuse.

In 1902 the Civil Service Commission recognized the situation and indicated that reclassification of positions on the basis of duties performed had to precede any satisfactory efficiency rating system. The Committee on Departmental Methods, appointed by President Theodore Roosevelt in 1905, suggested that each division chief make semi-annual efficiency ratings of his employees.

In 1912 the Civil Service Commission was authorized by Congress to establish a system of efficiency ratings for the classified service in the executive departments in Washington. The Bureau of Efficiency was established as a division of the Commission in 1913 and assigned the problem. In 1916 the Bureau became an independent establishment and continued to advise agencies with respect to the creation of rating systems. Under an executive order in 1921, the head of each executive agency was required to set up a system of efficiency ratings for departmental employees. Shortly thereafter, the Bureau of Efficiency established the first uniform rating system for the federal government.[5]

The Classification Act of 1923 [6] required efficiency ratings for positions in the departmental service in the grades and classes established by the act. The act further provided that uniform systems of efficiency ratings must set forth the degree of efficiency to constitute grounds for an increase or decrease in the rate of employee compensation, for continuance at the existing rate of compensation, and for dismissal. The head of each agency was required to rate in accordance with such systems. Review and revision of uniform systems of ratings established or to be established became a function of the Personnel Classification Board which was also authorized to inspect the current ratings for each grade or class

[5] Graves, W. Brooke, *Efficiency Rating Systems*, Washington, 1947.
[6] 42 Stat. 1488.

and to require that a copy of these ratings be transmitted to it by heads of departments.

Under the Economy Act of 1932,[7] the functions of the Personnel Classification Board were transferred to the Civil Service Commission. Thereafter, general administration of a federal efficiency rating system has been under the cognizance of the Commission.

The Ramspeck Act of 1940 [8] expanded the uniform system for rating employees by providing for a uniform system for handling employee appeals from individual ratings. Inasmuch as the Ramspeck Act was an amendment to the Classification Act of 1923, the immediate application of the Ramspeck Act of 1940 was only to employees of the departmental service.

The Mead-Ramspeck Act of 1941 [9] authorized extension of the uniform efficiency rating system, as nearly as practicable, to both departmental and field service positions, allocated pursuant to the compensation schedules of the Classification Act. This extension included positions thus allocated in the legislative branch, in government-owned or -controlled corporations, and in the municipal government of the District of Columbia.

The Act of July 31, 1946,[10] provided that no employee in the executive branch (other than an employee in the field service of the Post Office Department or an employee of the Tennessee Valley Authority) could be rated as to efficiency except under a system approved by the U. S. Civil Service Commission. The act also declared that any system approved by the Commission must be consistent with the rating provisions specified in the Classification Act. The act further stated that, with respect to employees in the field service not subject to the Classification Act, the sections dealing with review of ratings by boards of review and with review by the Civil Service Commission of reduction of salary, demotion, and separation actions did not become effective until boards of review were established in the field service.

The Uniform Efficiency Rating System.—From 1942 through 1950, the majority of federal employees were rated under the Uniform Efficiency Rating System. Specifically, the Uniform Efficiency Rating System applied to all employees occupying positions, compensation for which was fixed by the Classification Act of 1923,

[7] 47 Stat. 382.
[8] 54 Stat. 1212.
[9] 55 Stat. 613.
[10] 60 Stat. 751.

as amended, and to other employees by administrative action of agencies. Such positions were located in the departmental and field services in the legislative and executive branches, in government-owned or -controlled corporations, and in the municipal government of the District of Columbia.[11]

Under the Uniform Efficiency Rating System, there were two kinds of efficiency ratings (initially there were three kinds): official ratings, that is, ratings which were required under the efficiency rating system; and administrative-unofficial ratings, that is, ratings which, although permissible under the efficiency rating system, were required only by administrative authority of an agency. Official ratings were of two types: entrance ratings and regular ratings. An entrance rating was that given to an employee when he was first assigned to a position. A regular rating was based on a minimum period of actual performance in a position.

An official rating had eight chief characteristics. These characteristics suggested procedures and uses of the rating, and were as follows: (1) written notice of the rating had to be given to the employee; (2) the employee's rating form had to be available to him for inspection; (3) the employee's final rating had to be available to all employees of the agency for inspection; (4) the rating was subject to appeal by the employee in accordance with appeal procedures; (5) the rating had to be considered in connection with periodic within-grade salary advancements; (6) where an employee's current salary rate was above the middle rate of the grade, a "Fair" rating resulted in a within-grade salary reduction; (7) an "Unsatisfactory" rating resulted in reassignment, demotion, or separation; and (8) the rating had to be considered in determining retention preference in any reduction-in-force.

In the rating process, the rater was required to decide which elements applied to the position in question. Among the applicable elements, the rater distinguished between those which were especially pertinent to the position and those which were pertinent to the position. The rater then evaluated each applicable element and placed opposite each element so selected a symbol (+, √, or —) to denote his evaluation. The "+" symbol meant "outstanding"; an employee was "outstanding" in any element if the employee's performance covered by that element was distinctly better than that expected of an acceptable employee in the same kind and level of

[11] U. S. Civil Service Commission, *Rating Officers Guide,* Washington, 1946.

work. The "√" meant "adequate": an employee was "adequate" in any element if the employee's performance covered by that element conformed to what was expected of an acceptable employee in the same kind and level of work. The "—" symbol meant "weak": an employee was weak in any element if the employee's performance covered by that element was below that expected of an acceptable employee in the same kind and level of work. A single adjective rating denoting the employee's total performance was ascertained by application of a standard formula based on the relative number and types of symbols and printed on the face of the efficiency rating form. An adjective rating was "excellent," "very good," "good," "fair," or "unsatisfactory."

Under the Uniform Efficiency Rating System, an "entrance" efficiency rating was given to an employee: (1) when he first entered on duty in a government agency; (2) upon change in service, class, or grade, or upon change from an ungraded position to a graded position; or (3) when, after a break in service of thirty or more calendar days, he was again appointed within the same government agency to a position in the same service, class, and grade in which his latest official efficiency rating was made. For an employee who did not have a prior official efficiency rating usable as the basis of an entrance rating under the Uniform Efficiency Rating System, the entrance rating was automatically "Good."

Generally, a regular rating was made on an employee: (1) six months after an appointment action; (2) six months after change from an ungraded to a graded postion; (3) six months after such change to a position of a different service, class, or grade; and (4) annually thereafter, as of a particular date (such as March 31) for employees who had no regular ratings made during the three months previous to the particular date.

Under Uniform Efficiency Rating System rules, a regular rating could not overlap the time covered by a prior regular rating. Furthermore, a regular rating could not cover more than a period of one year of service immediately prior to the rating date nor less than ninety calendar days of service. If an employee had taken a substantial amount of leave, and the resultant period of actual service did not provide a sufficient basis of actual performance for evaluation, the regular rating was deferred to provide a suitable period of performance. A regular efficiency rating of "Fair" or "Unsatisfactory" could not be made or approved at the time it was

otherwise due, unless the immediate supervisor had previously warned the employee concerned and the employee had had an opportunity to improve.

Under the Uniform Efficiency Rating System, the rating official was the person who was immediately responsible for the work of the employee. Hence, the rating official normally reviewed daily the work of the employee. In any event, he was closely familiar with the employee's performance. The general responsibility of the rating official was to make the initial evaluation of the employee's performance during the period to be rated. Where an employee worked regularly under more than one immediate supervisor, these supervisors might confer and agree on an efficiency rating which constituted their joint evaluation or one supervisor might be designated as the rating official while the other supervisors independently made tentative ratings for the consideration and final evaluation by the designated rating official.

The reviewing official was the supervisor highest in line of authority above the rating official who had personal knowledge of the general performance of the employee to be rated and of the standards of performance of the office in which the employee was assigned. The general responsibility of the reviewing official was to make an impartial review of the ratings received from rating officials. In making the review, the reviewing officials sought the advice of the immediate supervisors.

The agency efficiency rating committee reviewed each official rating to assure that the individual adjective rating was the result of the elements marked. The committee also analyzed the ratings submitted to ascertain whether rating standards and performance requirements were as uniform as practicable. Questionable ratings were returned by the Committee to rating and reviewing officials for further review and possible revision.

In each agency there were one or more boards of review composed of three members and created to hear efficiency rating appeals from employees. Employees were encouraged to utilize administrative procedures in their respective agencies, whenever possible, to settle efficiency rating grievances. An employee's right of appeal to the appropriate efficiency rating board of review was not diminished if he initially elected to use the agency's administrative procedure. A decision of a board of review was made by majority

vote and might involve a change in the rating of the employee or confirmation of the original rating.[12]

Several weaknesses developed in connection with the use of the Uniform Efficiency Rating System. Employee distrust in the degree of subjectivity which entered into the system and supervisory and administrative antipathy to procedural requirements assisted materially in bringing the system into general disrepute. In 1949, Congress directed the Civil Service Commission to make a study of efficiency rating systems in the federal government and to report to Congress by February 1, 1950.[13] In its subsequent report, the Commission found that: the Uniform Efficiency Rating System was unnecessarily expensive and time-consuming; the emphasis on uniformity with respect to form, methods, and procedures did not produce desired results; and the elaborate appeal procedure was not warranted by the small volume of justifiable cases presented. The Commission concluded that the Uniform Efficiency Rating System did not provide an effective means of improving work performance and recommended that a revised system emphasize the purpose of evaluation rather than the method of rating, with wide latitude to individual agencies to develop their own rating plans.[14]

Administrative efficiency rating systems.—The Act of July 31, 1946, did not require an agency to establish an efficiency rating system for employees who were not paid under compensation schedules of the Classification Act of 1923. However, the act provided that, before any administrative efficiency rating system could be adopted by an agency (except the Tennessee Valley Authority and the field service of the Post Office Department), approval by the Civil Service Commission was necessary. An administrative efficiency rating system reported to the Civil Service Commission prior to November 1, 1946, as in use at that time, could be con-

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12 U. S. Civil Service Commission, *Proceedings of Annual Institutes of Efficiency Rating Boards of Review*, Washington, 1942–48; Jouno, R. J., "Efficiency Rating Boards of Review in the Federal Civil Service," *Western Political Quarterly*, December 1949, pp. 610–614.

13 Section 903, Title IX, Public Law 429, 81st Congress.

14 House of Representatives Committee on Post Office and Civil Service, Committee Print, "Study of Efficiency Rating Systems in the Federal Service," Washington, 1950. For amplification, see Symposium, "Background for Efficiency Rating Reform," *Personnel Administration*, May 1950, pp. 11–15; Bentley, Charles H., "Performance Ratings—What Next?" *Public Personnel Review*, July 1950, pp. 119–125; Beers, R. G., "Why Not Just Eliminate the Uniform Efficiency Rating System?" *Personnel Administration*, January 1950, pp. 11, 18.

tinued by the agency unless and until it was disapproved by the Civil Service Commission. For a revision of an existing administrative efficiency rating system and for any new administratve system, the approval of the Civil Service Commission had to be obtained prior to use by the agency.

A request for approval of the Civil Service Commission of an administrative system indicated coverage and application of the system, described the rating process, official instructions, and forms, and stated the rules governing proposed actions to be based on the ratings. As a matter of practice, favorable consideration was usually given by the Commission to an agency's request if the proposed system provided for: (1) periodic ratings to be made by the immediate supervisor and to be reviewed by a superior official; (2) evaluation of employee performance on factors of the position; (3) written notice of rating to the employee; (4) a rule that an employee could see the detailed report of his rating and a list of ratings of all employees; (5) the employee's right to appeal; (6) the use of ratings for administrative purposes; (7) the employee's right to have advance notice of any adverse action resulting from a rating; and (8) in the case of departmental employees, the withholding of final action involving adverse action until approval by the Civil Service Commission.

Administrative efficiency rating systems for employees not subject to the Classification Act were approved by the Civil Service Commission for certain employees in the Army Department, Department of the Air Forces, Navy Department, The Panama Canal Railroad, Treasury Department, Maritime Commission, and the Bonneville Power Administration. The Navy Department's Shop Efficiency Rating System illustrated an efficiency program designed for a certain group of employees not subject to the Classification Act and, hence, not included under the Uniform Efficiency Rating System.

Under the Navy Department's Shop Efficiency Rating System, an entrance rating was assigned to each employee subject to the system when he first entered on duty within a Naval activity, upon change in line or level of work, or when, after a break in service of thirty or more calendar days, he was again appointed within a Naval activity to a position in the same line and level of work in which his latest official efficiency rating was made. As in the Uniform Efficiency Rating System, the employee who had no prior official efficiency

rating authorized for use as the basis of an entrance rating was given an entrance rating of "Good." If the employee who was due an entrance rating had an accredited prior official efficiency rating, the entrance rating was the same adjective rating as the latest such rating unless the rating was "Unsatisfactory" (in which case the entrance rating was "Reasonably Satisfactory"), or unless the employee had a prior higher rating as his last official rating in a Naval activity in a position of the same line and level of work to which he returned (in which case such rating was used in place of the latest official rating). The uses of the entrance rating in the Navy Department's Shop Efficiency Rating System were similar to those in the Uniform Efficiency Rating System.

Under the Navy Department's Shop Efficiency Rating System a regular rating was made for an employee: (1) three months after each appointment action; (2) three months after change from a graded to a ungraded position; (3) three months after each change to a position in a different line or level of work; and (4) semi-annually thereafter as of the regular rating date, provided no regular rating had been made for the employee for a period ending within the preceding thirty calendar days. Navy Department regulations provided that no semi-annual regular rating could cover more than six months immediately prior to the rating date nor less than thirty calendar days of service. Whenever an amount of leave had been taken so that the period of actual work was not sufficient upon which to base a regular rating, the rating was deferred to provide a period of performance of at least thirty days of service. The requirement of a warning before an employee was given a regular efficiency rating of "Reasonably Satisfactory" or "Unsatisfactory" paralleled the warning requirement of the Uniform Efficiency Rating System, except that the oral warning had to be given not less than one month and not more than four months prior to the date the regular rating was due. Appeal procedures were similar to those provided under the Uniform Efficiency Rating System.

Performance rating program.—After extensive Congressional hearings on the question of efficiency ratings, Congress in 1950 abolished the efficiency rating system and provided for a performance rating program. Effective since December 29, 1950, the Performance Rating Act of 1950 [15] provides that, in order to recognize merit of employees and their contributions to efficiency and economy in the

[15] 64 Stat. 1098.

federal service, each federal agency (with a few specific exceptions) must establish and use one or more performance rating plans for evaluating the work performance of its employees. However, performance rating plans had been developed to some extent in the federal government prior to the enactment of the Performance Rating Act of 1950.

Among several personnel technicians both within and without the Civil Service Commission, there was a feeling that the elements contained on the efficiency rating form of the Uniform Efficiency Rating System were not fully satisfactory in providing a measure of the tasks actually performed by an employee. During the period 1947–1950, a few agencies set about devising standards of performance as a basis for evaluating employee efficiency. With the permission of the Civil Service Commission, these agencies were permitted to use standards of performance which they developed in lieu of the thirty-one elements listed on the standard efficiency rating form. Based on performance standards, the supervisor's evaluation was translated into one of the five adjective ratings provided by the Uniform Efficiency Rating System. Pioneer analysis was done by the Old Age and Survivors Insurance Division of the Federal Security Agency, the Bureau of Prisons of the Department of Justice, the Economic Cooperation Administration, the Adjutant General's Office of the Department of the Army, and the Civil Service Commission.[16]

The concept of a performance standard is a relative one in that its use depends upon the circumstances of a specific position. A performance standard reflects the work operations actually being carried out and the manner in which work operations are to be performed in order that the performance will be satisfactory. It also provides a mechanism to measure performance against the standard. The basic responsibility for preparing a performance standard is the supervisor's because he is the individual in the agency most familiar with the employee's work. Since such a standard is vital to an employee, joint preparation by the supervisor and the employee is the best guarantee of the value of the standard.

[16] U. S. Civil Service Commission, Civil Service Handbook S-809, *Instructions on Civil Service Commission New Performance Rating System,* Washington, 1947; U. S. Department of the Army, Office of the Adjutant General, *Performance Ratings,* Washington, 1949; General Accounting Office, *A Guide for Writing Work Performance Standards,* Washington, 1950; Symposium, "Standards of Performance," *Personnel Administration,* July 1948, pp. 21–47.

Assistance from, and coordination by, the personnel office promotes better understanding and uniformity within an agency.

Performance standards are set up on the basis of duties and qualifications of individual positions. An initial step in the formulation of such standards, therefore, is an analysis of the duties actually performed together with a qualifications analysis of the levels of abilities an employee must have to carry out the duties satisfactorily. Abilities may be classified as skills, personal traits, aptitudes, knowledge, etc. Certain factors of performance standards are established, usually expressed in terms of quantity (how much, how soon, etc.), quality (degree of accuracy, presentability, etc.), and manner of performance (personal characteristics shown, etc.). The scope of factors for a duty depends upon the aspects of the duty; therefore, the quantity, quality, and manner of performance vary with individual positions. Checking of actual performance may be done through such methods as an actual count of items, observation, and interviews.[17]

The performance rating method has the disadvantage in that it requires much effort on the part of all concerned to be devoted to the development of standards. The use of any one standard is confined to a particular work situation. Furthermore, the method is often complex in application. On the other hand, in comparison with the Uniform Efficiency Rating System, the performance rating is distinctly related to position requirements; it also permits greater flexibility of administration. Properly established, standards of performance can form a firm foundation for estimates of personnel needs.

The Performance Rating Act of 1950 requires that such performance rating plans be approved by the Civil Service Commission before use, that such plans be as simple as possible, and that they must provide:

(1) that proper performance requirements be made known to all officers and employees;

(2) that performance be fairly appraised in relation to such requirements;

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[17] Hoskyn, F. P., "Five Rules for Work Performance Standards," *Personnel Administration,* March 1950, pp. 22–26; Petrie, Frank A., "Is There Something New in Efficiency Rating?" *Personnel Administration,* September 1950, pp. 24–48. *See also* White, Bruce, "How Necessary Are Performance Ratings?" *Personnel Administration,* July 1951, pp. 38–40.

(3) for the use of appraisals to improve the effectiveness of employee performance;

(4) for strengthening supervisor-employee relationships; and

(5) that each officer and employee be kept currently advised of his performance and promptly notified of his performance rating.[18]

The act stipulates that each performance rating plan provide for ratings indicating at least three levels of performance: "satisfactory," "unsatisfactory," and "outstanding." The Civil Service Commission is authorized to issue administrative regulations, to inspect the administration of performance rating plans to ascertain compliance with the law and regulations, and to revoke approval previously given to any plan and, in such instances, to prescribe a performance rating plan for the agency in question to follow.

Based upon the requirements of the act, federal agencies developed and submitted performance rating plans to the Civil Service Commission for approval. Sixty-five such plans were prepared by agencies and approved by the Civil Service Commission during the first four months following the effective date of the act. One of the earliest performance rating plans approved by the Civil Service Commission is the performance rating plan of the Navy Department.

Under the Navy Department performance rating program, two supervisors, a rater and a reviewer, evaluate the work of each employee to be rated. The rater is the immediate supervisor who assigns and is responsible for the work of the employee. Throughout the rating period, the responsibilities of the rater include:

(1) Informing employees fully of the performance requirements they are expected to meet in doing the work assigned.

(2) Discussing performance with employees on a continuing basis for the purpose of keeping employees well informed regarding their work and with a view of improving employee performance.

(3) Rendering reasonable assistance when needed to improve employee performance, and otherwise strengthening supervisor-employee relationships.

(4) Giving due recognition of merit in evaluating employee performance fairly and accurately in performance ratings, in relation to performance requirements.

(5) Informing employees of their performance ratings.

(6) Taking or recommending appropriate action when an employee's sustained performance is outstanding in all factors or unsatisfactory in any factor.

[18] Section 5.

The reviewer is the supervisor next highest in the organization who normally controls and is responsible for the work of the rater. The responsibilities of the reviewer, throughout the rating period, include:

(1) Assuring that performance requirements are reasonable and are known to raters and employees.

(2) Assuring that employees are kept well informed regarding their work; that reasonable assistance is given employees when needed; and that employee performance is evaluated fairly and accurately in performance ratings.

(3) Rendering such supervisory assistance as may serve toward recognition of employee merit, improved employee performance, and strengthened supervisor-employee relationships.

(4) Taking or recommending appropriate action in cases of sustained performance which is outstanding in all factors or unsatisfactory in any factor.

The Navy Department program provides for the establishment of one or more performance-rating boards composed of at least three members. Each board has responsibility: (1) to review performance ratings to assure that the regulations are properly and uniformly applied; (2) to approve individual performance ratings; (3) to change performance ratings without resort to formal appeal procedures, in the interest of good administration; and (4) upon written request of an employee, to provide an impartial review of an individual performance rating.

Under the Navy Department plan, there are three rating factors to be rated for each position. The factors are quality of work, quantity of work, and adaptability. By definition, "quality of work" pertains "to accuracy, neatness, presentability or acceptability of work results; degree of conformance to prescribed standards; skill and ability demonstrated in accomplishing work; soundness of judgments and decisions and, in general, effectiveness of effort in a qualitative sense." The factor "quantity of work" pertains "to the amount of acceptable work produced; application to duty; the meeting of deadlines and, in general, effectiveness of effort, in a quantitative sense, as affected by whatever time limits are involved." The factor "adaptability" pertains "to the many elements of employee individuality demonstrated on the job, such as cooperation with supervisors and fellow workers; willingness to learn or to try new assignments; observance of rules and general adjustment to

conditions of work. Offenses that resulted in the taking of disciplinary action should be considered in the rating, if it is clearly indicated that the employee's characteristic performance was affected."

In the Navy Department's performance rating plan, three levels of performance are provided: "satisfactory," "outstanding," and "unsatisfactory." The "satisfactory" level includes performance ranging from excellent to "just getting by." The level of "outstanding" indicates that all aspects of performance not only exceed normal requirements but are outstanding and deserve special commendation. The "unsatisfactory" level represents performance that clearly fails to meet minimum requirements. A rating of "outstanding" as well as "unsatisfactory" must be supported by the supervisor's signed statement substantiating the rating.

In order that a clear understanding of what constitutes "satisfactory" performance may exist between the supervisors and the employee, written material is often used. Position descriptions of employees and memoranda of assignments are helpful for this purpose. In the case of certain positions, written performance requirements have been developed. In any event, discussion of current performance with employees on a continuing basis is part of the plan.

Individual factor marks are converted to an adjective performance rating by use of a conversion table appearing on the rating form. A deviation may be made from the standard provided in this table, but any such deviation must be justified in writing. The rater discusses with the employee the rating and the specific performance upon which the rating is based as soon as possible after it has been prepared. During this discussion the employee initials the rating as evidence that the discussion has occurred, not as evidence that he necessarily agrees or disagrees with the rating. After the rating is reviewed, usually by the supervisor of the rater, the rating is sent to a Performance Rating Board for final approval. A copy of the rating indicating date of approval by the board is notification to the employee of his rating.

Under the Navy Department program, employees entering on duty at a Naval activity are given a tentative rating of "satisfactory" during the initial ninety-day period. At the end of this period the employee is given a performance rating based on work actually performed. Thereafter the employee is rated on the regular rating dates (usually annually as of March 31), provided at least thirty

calendar days of service have been rendered since the ninety-day period. Tentative ratings are not assigned to employees with "satisfactory" performance ratings upon change of line or level of work at an activity. Tentative ratings are official and usable for official purposes.

Under the Navy Department's Performance Rating Plan, the warning requirement, previously a part of the Uniform Efficiency Rating System, is continued. Specifically, the immediate supervisor is required to inform the employee (1) how his performance fails to meet requirements, (2) how he may improve his performance sufficiently to meet the requirements, (3) that he has the opportunity to bring about such improvement and will receive supervisory assistance, and (4) that he will receive an "unsatisfactory" rating if his performance does not improve sufficiently to meet the requirements of his position. The warning must be given generally not less than three months and not more than six months prior to the date the regular rating is due. Although the warning may be given orally initially, it is required that a brief written statement be subsequently prepared by the immediate supervisor confirming the fact and nature of the warning discussion with the employee.

If, after a warning described above, the employee's performance improves sufficiently to justify a rating of "satisfactory" or "outstanding," the warning to the employee is considered canceled when the regular rating of "satisfactory" or "outstanding" is officially recorded. If, after the warning, an "unsatisfactory" rating is ultimately made, the written statement confirming the warning becomes a supporting paper to the official rating. If the necessary warning is not given within the required time period, with the result that the regular rating of "unsatisfactory" cannot be assigned, the warning, if still needed, is given immediately upon determination that there has been a failure to give the warning when it should have been given. In such an instance, the due date for the regular rating of "unsatisfactory" is generally not less than three months or more than six months after the warning.

An employee has legal appeal rights in the instance of "unsatisfactory" and "satisfactory" ratings. An appeal must be initiated in writing within thirty days following receipt of notice of the rating. An employee who receives an official rating of "unsatisfactory" may appeal to the Performance Rating Board of the activity for an administrative review of the rating, *and* to the appropriate statutory

Board of Review if he is dissatisfied with the decision of the Performance Rating Board of the activity. On the other hand, an official rating of "satisfactory" is appealable *either* to the Performance Rating Board of the activity *or* to the appropriate statutory Board of Review.

One or more boards of review (known as statutory boards) are established in each agency under the supervision of the Civil Service Commission. Boards of review hear appeals from individual employees who seek a change in their rating. The determination of the board in any case is final.[19]

A statutory board is composed of three members: a chairman, an employee member, and a management member. The chairman is generally a full-time employee of the Civil Service Commission and is designated as chairman by the Commission to preside over hearings for specific agencies. The employee member is elected by employees of an agency whose ratings fall under the jurisdiction of the board. The management member is appointed by the agency from among employees whose ratings are within the purview of the board. In addition to the three board members, there are two other officials connected with a hearing conducted by the board, namely, an employee representative and management representative. The employee representative is selected by an appellant who desires someone to help him with his appeal. The management representative is chosen by the agency to assist both the board and the agency.

To establish a statutory board, an agency recommends to the Civil Service Commission that a board be established and indicates its proposed jurisdiction together with a suggested election date and the names of a suggested employee election committee. Copies of the recommendation are posted in the agency together with a notice of the right of any employee to file objections with the Civil Service Commission to any employee proposed for the election committee. After subsequent Commission approval, the election committee issues a notice to all employees advising them that the committee will receive nomination petitions for candidates for employee membership. The election committee subsequently publishes a list of candidates, and an election is held. After the votes are counted by the election committee, the employee receiving the highest number of votes is declared the employee member. The statutory board is

[19] U. S. Civil Service Commission, *Federal Personnel Manual*, Washington, ch. P4.

finally established upon notification by the agency to the Civil Service Commission of the election of the employee member, the management member, and the management representative. Boards of review are authorized for a period of two years and are re-established upon request of the agency to the Civil Service Commission.

Efficiency Ratings in State Government

New York State created an efficiency rating program in 1917. Although a few other states gave consideration to the establishment of a program during the next decade, the greatest advance has been made since 1940. Especially in states where merit systems have been set up incident to the 1939 amendment to the Social Security Act, progress has been made.[20] (See Fig. pp. 408–409, Appendix.)

Among states which have provided for a general state-wide merit system, twenty-two have some form of efficiency rating system provided by statutory law. In eight of these twenty-two states, constitutional provisions refer to a rating system. State legal provisions fall into one of two groups: either the reference in the constitution or statute providing for the rating system is brief, leaving the details to be included in the system through subsequent issuance of rules and regulations, or the reference is rather lengthy and includes details of operation. Examples of the former group are Illinois, Kansas, and Maine; examples of the latter group are Alabama, California, and New York.

Of the efficiency rating systems in use among the states, one regarded by many personnel administrators as among the best is found in Alabama. The Alabama State Personnel Department revised its original system to stress the guidance function of efficiency ratings. Presently, emphasis is placed on objectivity, tactful wording, description elements to force supervisors to give careful consideration to the individual rating, and the inclusion of specific advice for the employee in the case of a low rating.

In the Alabama system, the rating instrument contains ten traits. Under each trait is a check list of five qualitative levels of performance. Semi-annually, the supervisor checks the most appropriate description under each trait. The department head indicates his opinion whether the supervisor was "liberal," "right," or "conserva-

[20] Macdonald, Austin, *American State Government and Administration,* New York, 1950, p. 376; Virginia Division of Personnel, *Service Rating of State Employees Under the Virginia Personnel Act,* Richmond, 1949.

tive" in his rating. The central staff personnel agency determines the final score for each rating. Analysis of the form reveals other features. The check list arrangement of descriptions of traits is a change in format over most forms. The language of the descriptions is personalized. The statement appearing above the supervisor's signature and inviting employee discussion is informal in nature. The supervisor evaluates commonly understood items. The instrument itself is psychologically called an "Employee Guidance Sheet."

For scoring purposes, state employees in Alabama are divided into three broad occupational groups. Among these three groups, the weights of traits differ: one set of weights applies to employees holding executive and supervisory positions, a second set applies to skilled workers, and a third set applies to unskilled workers. The scoring schedule of trait weights is as follows:

Trait	*Executive-Supervisor*	*Skilled Worker*	*Unskilled Worker*
Quality of work	4	4	4
Quantity of work	4	4	4
Rate of output	2	2	2
Cooperation	2	2	2
Initiative	4	2	1
Dependability	2	4	4
Emotional stability	1	2	1
Judgment	4	2	1
Stamina	1	2	4
Promptness	1	1	2

Attention to the scoring schedule reveals that each trait has a weight of 1, 2, or 4.

A second schedule is used to apply the weights to the actual scoring of the check list descriptions as follows:

Weight of Traits	CREDIT ON CHECK LIST				
	Step 1	*Step 2*	*Step 3*	*Step 4*	*Step 5*
1	0	1	1	1	2
2	0	1	2	3	4
4	0	2	4	6	8

The one exception to this schedule is in the scoring of "initiative." The steps under this trait are so phrased that the middle degree is the optimum in the belief that an employee can exercise too much as well as too little initiative. On this one trait, step 3, instead of step 5, receives the maximum points.

Under the Alabama system, the employee's rating is ascertained by totaling the points corresponding to the rater's checks and by adding a constant factor of 50 points. The range of the final score is from 50 to 100 points. Seventy-five points are considered satisfactory. Rules of the Alabama State Personnel Board provide that the ratings must be considered in determining salary increases and decreases, promotions, demotions, layoffs, re-employment, transfers, and dismissals.

Like several other states, prior to 1952 New Jersey used a rating system for employee evaluation under which state employees were rated on a series of job elements. The system did not prove too useful in New Jersey and, after study, the State Department of Civil Service concluded in 1951 that the system should be revised. The State Department of Civil Service specifically believed that there existed oversimplification through use of only two forms for rating all classes of positions, lack of interest by supervisors, and complexity of rating forms. Accordingly, effective January 1, 1952, a performance rating system supplanted the merit rating system.

Under the new system in New Jersey, each state agency prepares performance forms which best fit the needs of the agency and use job elements or factors which they deem appropriate. However, each performance rating form is based on five adjective levels (unsatisfactory, fair, good, very good, and excellent) with corresponding numerical values of 1 to 5 points; final numerical ratings are the average of the numerical ratings. Numerical ratings are carried to the nearest two decimal places. The following table of adjective equivalents are used in converting numerical ratings:

4.67–5.00 Excellent
4.00–4.66 Very Good
3.00–3.99 Good
2.00–2.99 Fair
0.00–1.99 Unsatisfactory

Ratings are made semi-annually. Each employee is notified in writing of his adjective rating within one month following the end of the rating period. Such ratings are used in connection with layoffs, demotions, removals, and salary increments.

Efficiency Ratings in Local Government

Pioneer efforts in the establishment of an efficiency rating system were made in Cincinnnati in 1915. The movement to evaluate employee performance by some formal method has spread slowly

among local units; today efficiency rating programs are found in less than half of the local jurisdictions. Efficiency rating programs are more prevalent in larger units of local government than in smaller units. In units having such programs, there is a variety of systems. (See Fig. pp. 410–411, Appendix.) One of the predominant types at the local level is the Probst System.[21]

Detroit has one of the most effective local efficiency rating systems. The Detroit system is administered by the Detroit Civil Service Commission and involves evaluation of a comparatively large number of traits designed to form a reliable picture of employee performance. The efficiency rating form contains five groups of traits totaling thirty-five traits. Four groups comprising the first twenty-five traits are considered for all employees, whereas the fifth group embracing the last ten traits are considered only for supervisory or administrative personnel. For each trait, descriptive phrases identify three degrees of performance: poor, satisfactory, or above average. For each trait, the supervisor is required to place a check in one of five columns to indicate the one of the three descriptive phrases (corresponding to poor, satisfactory, or above average degree) which best describes the employee, or the fact that the supervisor has no opinion concerning the particular trait, or the belief that the particular trait has no influence on the employee's work.

The Detroit system assumes that 75% is the basic rating. One percentage point is subtracted for each trait which has been checked in the "poor" column; one percentage point is added for each trait checked in the "above average" column. For the supervisory-administrative group of traits, additions or subtractions are made in the manner above except that the percentage value of each check in the "poor" column or "above average" column is 25/35, instead of 1. Upon computation of the total score, a final percentage rating is assigned to each employee. On this basis, employees of identical classifications in each department are arranged in relative rank order. Action is taken by the Detroit Municipal Civil Service Commission upon recommendations for promotions, reductions, transfers, and discharges only after consideration of individual efficiency ratings.

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21 Powell, Norman, "Service Rating in New York City," *Personnel Administration*, September 1941, pp. 7–10; International City Managers Association, *Municipal Personnel Administration*, Chicago, 1947, ch. 8.

Problems of Administration

Among the problems associated with the administration of the efficiency rating function, the following call for special attention:

Rater indifference.—Where training has been ineffective or where the efficiency rating procedures are improperly followed, raters sometimes believe that ratings are worthless and that time is wasted in determining them. Consequently, raters may be apathetic to the program and, in some instances, they may only grudgingly comply with regulations. Rater indifference may render a program wholly ineffective, regardless of the efforts of other individuals in the rating process, such as the agency personnel office or the efficiency rating committee. The best approach to eradicate rater indifference appears to be a carefully planned indoctrination program for raters and periodic training with respect to the benefits which may actually accrue through proper use of an efficiency rating system.

Pre-determined ratings.—Where the immediate consequence of an efficiency rating will be adverse to an employee and the rater wants to avoid the impending consequences to the employee, raters have admitted that they utilize the rating instrument to justify a pre-determined rating which, in reality, is higher or lower than it would otherwise be. Besides undermining confidence in the system, the subsequent use of the pre-determined rating results in unfairness—either to the employee whose rating was intentionally marked low or to other employees in the instance of the employee who receives a grade too high. One method of reducing the practice of pre-determining ratings is to emphasize the absolute need for supervisory honesty if any efficiency rating system is to be of benefit.

Concept of normal distribution curve.—Erroneously, some committees, supervisors, and personnel officials express the belief that, in any agency, the distribution of the annual ratings among the various grades should result in the so-called normal distribution curve. Under this philosophy, there would be approximately as many unsatisfactory employees as highly satisfactory. Persons holding this belief overlook the fact that the selection factor presumably eliminates the greater number of individuals who are inefficient and, hence, the latter are for the most part never employed. The concept of the normal distribution curve should not be a factor in the rating process. Effective training programs dispel this misconception.

Inadequacy of various rating instruments.—Reference has already been made to the shortcomings of many rating instruments which are used in the rating process. Ambiguity among items included on the instrument, generalities subject to misinterpretation by raters, and complexity of use of instruments are but a few obstacles which still remain unsolved in certain jurisdictions. It is becoming more evident that the construction of rating instruments and their subsequent perfection involve careful research and the use of tested procedures by skilled personnel technicians. Until funds are set aside for necessary research and until the research is undertaken, inadequacy of rating instruments may be expected to continue.

Negative language of rating instruments.—If a rating instrument is to furnish personal guidance for the employee, it is not enough that it record negatively what is wrong. For maximum assistance the applicable items on the rating form should indicate in a positive manner what can be done to improve performance. Unfortunately, many of the rating forms are characterized by items couched in blunt, cold terminology, with little or no word of encouragement or suggestion for improvement. If the employee is so inefficient that such encouragement will have little or no effect, the solution is probably separation. Most employees, however, will improve if their faults are tactfully and honestly pointed out to them. Through carefully chosen language included on the rating instrument, the rating instrument assists the supervisor in creating in the employee an attitude conducive to individual employee improvement.

Failure to make subsequent appropriate use of ratings.—Determination of the efficiency grade is but the initial step in an effective personnel program: the justification for the time and effort involved actually lies in the subsequent use to which individual ratings may appropriately be put. In some jurisdictions very little, if any, use is made of ratings once they are approved by the efficiency rating committee. On other occasions, however, ratings may be the sole factor in determining various subsequent personnel actions.

If an efficiency rating form is merely another piece of paper for a personnel jacket, supervisory time is wasted. Caution must be exercised, however, in making too broad a use of efficiency ratings. Otherwise, the rating system may be perverted to affect particular employees favorably or unfavorably. An efficiency rating is basically a tool to improve employee-supervisor relationships. Effi-

ciency ratings as aids to enhance these relationships are legitimate techniques, but such ratings may result in gross unfairness if used for purposes they cannot fulfill. Experience has demonstrated the impropriety of using an efficiency rating as the sole basis for a personnel action. Training in the practical application of carefully prepared efficiency ratings is a proper method to stimulate the wider use of such ratings.

Lack of confidence in appeal procedures.—Some employees feel that the appeal process is cumbersome, time-consuming, and generally useless. In some instances, reluctance to use the appeal process is predicated upon the belief, with or without foundation in fact, that the committee inevitably acts as a rubber stamp for the supervisor. Clearly there is need to build up employee confidence in the efficiency rating system, including the validity of appeal procedures. Specific steps which may be taken in some jurisdictions include the simplifying of appeal methods and the expediting of individual appeals. Permitting appeals to be taken from the committee to the head of an agency or to an independent body such as a central staff personnel agency tends to strengthen the appeal process.

Improper selection of rating officials.—During the typical rating period of one year a large number of employees have more than one immediate supervisor. The assignment of employees to various supervisors is related to work situations, not to terminal dates of an agency's efficiency period. The due date of efficiency ratings frequently requires a supervisor to evaluate the performance of an employee whom he may have personally observed for only a short period. The question of who should officially rate the employee often creates confusion and results in inconsistencies which may inure to the advantage or disadvantage of the employee. Where a second supervisor rates an employee, uncertainty often arises over the application of a general rule, such as "the supervisor highest in line of authority who has intimate knowledge of the employee's performance," in the selection of this second supervisor. For purposes of selection of rating officials, the promulgation of definite rules and whenever possible the designation, by position, of raters and reviewers based upon an agency's organization setup is especially helpful.

Employee misunderstanding of rating system.—The average employee learns briefly about the efficiency rating system of his agency during orientation training. Subsequent informal training by his

supervisor may give the employee a proper appreciation of the program. In the majority of jurisdictions, however, it appears that the employee labors under various misconceptions and mistaken impressions both with respect to the significance of the system to the employee and the manner of operation. Instead of eagerly looking forward to conscientious appraisal of his performance, frequently he thinks of an impending rating as a result of lottery, to be regarded as such. Efforts must be constantly directed to educate employees —both when they begin their duties and periodically thereafter— with respect to the overall and specific aspects of the agency's efficiency rating program.

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CHAPTER 7

Employee Relations

SCOPE

Employee relations as a function of personnel management refers to a series of individual programs designed to help solve employee problems emanating from the complexity of group relationships. Where employee relations programs exist, they are tailored to meet the needs of management and the employees of a particular agency.[1] Therefore, there is variation in the scope and content of individual programs comprising the function as it is administered in any one agency. Since this function is administered on a local basis, central staff personnel agencies have had little part to play in the establishment of an employee relations program for a jurisdiction.[2]

One type of project established to carry out the employee relations function refers to the program regarded as a service of direct benefit to the individual employee. Illustrations of employee service programs are the formal dissemination of general agency information; the issuance of an employee handbook; recreation programs; transporation assistance; establishment of, and guidance for, a credit union; administration of a welfare fund; fund raising and counseling. A second type of program is designed to bring together management's and the employee's coequal interest in some aspect of personnel relations. Examples of this type are exit interview programs, suggestion plans, and awards programs. Health and safety programs are sometimes included within the scope of the employee relations function; however, in view of the inconsistent

[1] Civil Service Assembly, *Employee Relations in the Public Service,* Chicago, 1942; Barron, Margaret E., "Employee Relations Functions of a Central Personnel Agency," *Personnel Administration,* May 1945, pp. 14 ff.

[2] Beyer, Otto, "Employee Relations in the Public Service—Present and Future," *Public Personnel Review,* January 1946, pp. 19–24; Cooper, Joseph, "Organizing an Employee Activities Program," *Personnel Administration,* May 1941, pp. 6–10; Walters, J. E., *Personnel Relations,* New York, 1945, ch. 14.

pattern which exists in this respect and the nature of these latter topics, they are treated in the following chapter. Another type of employee relations activity centers around problems of conduct; discussion of employee conduct constitutes Chapter IX.

Dissemination of Information

The dissemination of agency information of general interest to employees is a vital factor in the matter of maintaining and improving high morale. Not only should pertinent general information be made available for all employees, but the material should be distributed as promptly as possible if the information is to obtain maximum beneficial results. Common methods of disseminating such information include the use of bulletin boards, agency newspapers and periodicals, and verbally through an agency public address system.

Employee *bulletin boards* are usually located at convenient points throughout the geographic area of the agency. The bulletin board is most effective when it is serviced by a staff office, such as the personnel office, rather than by individual line divisions of the organization. Most agencies find it advisable to assign to the personnel office the responsibility of maintaining appropriate and current items of general interest, whereas individual line divisions, with the approval of the personnel office, may place additional material of a divisional nature upon the bulletin board.

The physical location of a bulletin board is a key factor. If a bulletin board is placed near a time clock or near entrances or exits to buildings, there is greater likelihood its data will be read than if the same bulletin board is placed in an area where employees may not be normally expected to stop. A bulletin board is in an excellent position if it is placed within a building in the vicinity where employees tend to pause for a brief stop such as near a drinking fountain or near the cafeteria line. It must be understood by employees that ideas placed on bulletin boards are informal in character and that the use of the bulletin board is not a substitute for normal relationships between the employee and his supervisor.

Agency newspapers and periodicals are often published on a weekly or monthly basis for the purpose of giving both management and the employees an opportunity for presentation of worth-while ideas. These organs contain items such as the overall progress of agency workloads, messages from management on particular topics,

a "For Sale" column for use of employees, and a "Letters to the Editor" column. The value of an agency newspaper is particularly enhanced by its attractiveness of style as well as coverage of news.

A *public address system* is often used just before the beginning of business, during noon time, or at the close of the day to bring spot news items to the attention of employees. The public address system must be used with great care during the working day in order to prevent any undue interruption of normal work processes. By the very nature of the method, matter written in a complicated manner is not suitable for use on a public address system.

Employee Handbook

An employee handbook is an integral part of an employee relations program. The purpose of the handbook is to tell a new employee about the agency of which he has become a part and to serve as reference for authentic information about conditions of work. Without a handbook, the employee comes to depend upon sources which may be unreliable and very inaccurate. The handbook should be set up in a style which captures the attention of employees.[3]

To be most effective, a handbook answers the questions an employee is likely to ask. Key points may be emphasized by the use of bold type, boxed type, and illustrations. Since all employees will not read the booklet from beginning to end, basic ideas may be highlighted through the use of layout techniques. From a physical viewpoint, one of the most popular sizes of employee handbook is the pocket size. From a readability standpoint, pages may be between 3 1/2 to 4 3/8 inches wide and approximately 6 3/4 inches long. It is very desirable to give the booklet a distinctive title.

The content of a handbook depends to some extent upon the type of agency, the uniqueness of working conditions, personnel policies of the agency, and employee services which are available. As desirable minimum content, the following points of information are most common: a message from the agency head, a table of con-

[3] Bentley, Garth, *How to Edit Employee Publications,* New York, 1944; "The Employee Publication as a Morale Builder," *Advanced Management,* July–September 1943, pp. 79–85; U. S. Bureau of the Budget, *The Preparation and Use of Administrative and Employee Manuals: Selected References,* Washington, 1945; Brody, William, "You and a Handbook for Your Employees," *Public Personnel Review,* October 1949, pp. 216–221; Knauft, E. B., "Measured Changes in Acceptance of an Employee Publication," *Journal of Applied Psychology,* June 1951, pp. 151–156.

tents, a summary of personnel policies, a brief history and list of functions of the agency, agency organization, synopsis of basic civil service regulations pertaining to employment, training opportunities, safety and health precautions, summary of employee services, type of efficiency rating, promotion policy, beneficial suggestions program, awards standards, and an index.

Distributing the handbook to new employees as a casual matter usually results only in a casual perusal of its contents. For maximum results, the handbook may be presented during an indoctrination course, at which time points of immediate concern to new employees are emphasized while reference is made to other sections for the employee to read at his earliest opportunity.

Recreation Program

The objective of a recreation program is to satisfy employee needs and interests and to promote better morale among employees. Responsibility for establishing and administering a recreation program, in some instances, is in the personnel office; in other instances, an employee recreation committee has basic responsibility, with the facilities of the personnel office available for guidance and for the carrying out of details. It is especially desirable that continuity be afforded an employee recreation committee by the adoption of a constitution for a recreation association and through the establishment of a formal organization. In any circumstance, if a recreation program is successful, the personnel office must remain in close touch with the program.[4]

The extent of a recreation program depends initially upon the preferences for individual activities among employees. The normal approach to the establishment of a recreational program, therefore, is to learn what employees would like to do through facilities of a recreation organization. The usual method of obtaining this information is through the circulation of a check-list of possible activities among employees. Caution must be taken in the preparation of such a check-list to assure that the list of possible activities is not so extensive that the results of a tabulation suggest an unwieldy program. Care must be taken to limit the number of items on a check-list an employee is expected to complete. It is some-

[4] Stalley, Marshall, "Employee Recreation as a Personnel Function," *Public Personnel Review,* July 1945, pp. 174–178; Zuch, G. Larry, "Recreation for Public Employees," *Public Personnel Review,* April 1949, pp. 94–100.

times necessary to revise and recirculate a check-list to emphasize particular recreational activities which may be seasonal in nature. Once employee wishes are definitely ascertained, the scheduling of specific events depends greatly upon available physical facilities either at the installation or in the community and upon financial support.

In the carrying out of a recreation program, certain practices have been found to be especially desirable:

(1) A program should be planned on an agency-wide basis, with attention to recreational activities for small groups of employees with very specialized interests as well as to projects which traditionally attract many employees.

(2) No one group of employees having a particular interest should be given full charge of a recreation program.

(3) A recreational program should include opportunity for participation by shift employees where such employees make up a part of the personnel of an agency.

(4) Provision should be made for transportation where employees normally live at an unusually long distance from the agency, or where general transportation facilities become inadequate after a particular hour of the evening.

(5) Costs to the individual employee should be kept to a minimum in order that a maximum number may participate.

(6) Permission should be obtained for the use of all recreational facilities at the agency, where the need justifies the use and where these facilities are not used by other persons outside of the employee group.

(7) Arrangements should be made for first aid treatment in the event of activities that may result in accidents.

There is no "model" recreation program since the program at any one agency is geared to the needs of that agency. Nevertheless, recreation programs usually include, as types of activities, active games and sports, social functions, art and craft work, theatricals, nature and outing trips, and discussion group meetings. In each instance, consideration is given not only to the employees' desires to participate actively in one or more actvities, but also to spectator interest on the part of the employees, especially with respect to family participation.

A fundamental consideration in the administration of any recreation program is the maintenance of employee interest in the pro-

gram. Although a recreation program has been launched with high employee interest, general interest may wane, especially if seasonal activities become outdated or if leadership in particular phases of the program weakens. The personnel office must keep informed continuously of employee attitude toward the recreation program and of the quality of leadership. Once loss of interest becomes recognized, alternatives are modification or termination of specific phases of the program or substitution of other activities or leadership. One positive way to maintain employee interest in the recreation program is sustained publicity directed to all employees through agency or association organs and through carefully planned orientation for new employees.

Transportation Assistance

Getting to and from work may be an acute problem for many employees of an organization. Obvious causes may include the geographical location of the agency, lack of adequate housing facilities within reasonable commuting distances from the agency, and inadequate public transportation service. Regardless of the specific cause, the availability or lack of suitable transportaion is a significant employment factor concerning which the personnel office must be cognizant.

A study to determine the percentage of employees dependent upon public facilities and automobiles to arrive at work and a study to discover the time spent by employees while going and coming from their homes to work are possible methods to ascertain the significance of transportation in the daily lives of an agency's employees. Evidences of inadequate transportation for employees may be reflected in the number of declinations of employment, the number of separations, the amount of tardiness, and the extent of absenteeism where transportation is involved. When such reason is ascertained, the factor of inadequate transportation may be at least partially evaluted.

Steps may be taken to minimize the transportation problem which exists among employees of an agency. Specifically, the personnel office may:

(1) **Establish and maintain a group riding program.**—Under the program, employees who own and drive their cars to work, and who have space for, and are willing to carry, additional passengers are requested to register this fact with the personnel office. Em-

ployees who need transportation may apply to the personnel office for assistance in locating a ride. By bringing the demand for rides to the supply, difficulties of transportation are frequently overcome. In view of the changing identities of both employees who need rides and those who have space available, a successful group riding program requires that the group riding records in the personnel office be kept up-to-date. Because insurance companies do not have a uniform policy with respect to ride sharing, it is advisable for a car owner to determine whether his coverage in case of accident includes such riders.

(2) Request improvement in the service of public carriers.—The personnel office may discover that public transportation facilities are inadequate to handle the morning and afternoon rush or that normal or express service in certain street car or bus lines is regularly terminated without regard to the needs of a sizeable group of employees. A solution may include the diverting of more street cars or busses during the morning and afternoon hours, or an extension of service beyond the regular terminal time for certain runs or a physical extension of already established transit lines. Close liaison by the personnel office with local transportation companies and the pointing out of difficulties as they appear may result in improved service on the part of the public carriers.

(3) Seek to increase the sizes of parking lots for automobiles of employees.—The space set aside for parking by or near an agency may become so inadequate that either employees spend an undue amount of time trying to locate a parking space or they become discouraged from using their automobiles and, hence, place an additional strain on existing facilities. Furthermore, although the space set aside for parking may be adequate from an over-all point of view, the number of entrances and exits from the space may be so limited that undue delays normally result. The personnel office may attempt to improve the parking lot problem by requesting that additional space be set aside by the agency for parking, by requesting that space so set aside be as conveniently located as possible, and, on occasion, by obtaining permission from owners of property adjacent to the site of the agency for agency car owners to park their automobiles.

(4) Request agency patrolmen or traffic policemen at traffic bottlenecks.—Although physical facilities for the parking of automobiles may be adequate, the morning and afternoon rush periods may

create traffic obstacles which tie up traffic for as long as an hour. These tieups become especially acute when the agency borders upon areas of normally heavy traffic. The personnel office may seek agency patrolmen from the security unit to prevent traffic difficulties which may otherwise arise regularly on an agency's property. Temporary assistance from the city police department may be sought when such delays periodically occur outside but near an agency's property.

(5) Suggest staggering of work hours.—The number of additional public conveyances assigned by local transportation companies and the number of policemen obtained for traffic duty depend upon the approval of the agency request by an outside group (such as the public utility or the police department). The agency usually may establish the exact hours of the working day. The personnel office may indicate to top management the desirability of staggering the working day among various units within the organization. Although individual group riding clubs may have to be reorganized when the staggered system is put into effect, such a work schedule makes greater use of normal transportation facilities.

(6) Request the use of agency-owned conveyances for groups of employees.—The use of agency-owned conveyances may be limited to carrying employees to and from public transportation terminals or the government vehicles may supplement public transportation schedules. However, agency-owned busses, automobiles, or boats are not used to compete with adequate public transportation.

(7) Provide information on housing facilities.—The availability of housing facilities near the site of work reduces the need for transportation. To the extent that a housing program is successfully operated by the personnel office, the transportation problem is partially alleviated.

Establishment of a Credit Union

A credit union is composed of a group of individuals having a common bond of occupation, residence, or association and organized to promote thrift among its members and to create a source of credit for provident or productive purposes. One objective of a credit union, therefore, is to help members develop thrift. Through convenient collection facilities, credit union members are encouraged to save money regularly. Amounts of money as small as 25 cents per pay day, which otherwise would probably not be saved,

may be easily deposited to a member's account in a credit union. Employees, particularly those with a low and moderate income, are afforded an unusual opportunity to become savers.

A second objective of a credit union is to offer convenient, low-cost credit for legitimate purposes. The concept of thrift involves more than accumulating money—it also includes wise spending. The assets of a credit union, representing savings of members, are available for use by members through loans extended upon the judgment of fellow members selected by the membership of the credit union for that purpose. A classification of 4,245 loans recently made by 18 credit unions indicates that the eight chief purposes for which the credit unions loaned money were as follows:

Purpose of Loan	*Total Amount Loaned (%)*
Refinancing	17.2
Medical, dental, and hospital	17.2
Automobile purchase and repairs	16.3
Household expense and equipment	13.0
Clothing	5.0
Taxes	4.9
Fuel	3.2
Property improvements and repairs	3.2
Miscellaneous	20.0

From an organization point of view, a credit union is owned and controlled by its members. Each member usually has voting power on an individual basis, regardless of the number of shares a member owns. Specific responsibilities of various officials of a credit union are contained in its charter. Generally, members choose directors and committeemen to carry out designated functions of the credit union, but the members retain control over certain activities such as fixing the compensation of a treasurer (when he is a paid official), declaring dividends, expelling members from the credit union, and removing officials.

A board of directors elected by the membership has general direction of the affairs of the credit union. The board performs such duties as electing its own administrative officers (such as president, vice president, treasurer, clerk, etc.), designating the depository for credit union funds, fixing maximum shareholdings for members, investing funds of the credit union not required for loans to members, limiting loans, fixing the interest rate on loans, issuing savings regulations for borrowers, and developing educational programs to increase member knowledge of credit and thrift. Membership on the board varies from five to nine directors.

A credit committee elected by the membership usually passes on member applications for loans and has the final authority to approve or disapprove individual loan applications, subject to basic rules laid down by law, by the by-laws, or by the board of directors. The credit committee inquires into the character and financial condition of each applicant for a loan to ascertain his ability to repay fully and promptly and decides whether the loan desired is for a provident or productive purpose. The credit committee also determines the security, if any, to be required for each loan and the terms under which the loan is to be repaid.

A supervisory committee elected by the membership normally examines the affairs of the credit union periodically and reports thereon to the board of directors and to the general membership. The supervisory committee may cause passbooks of members to be verified at specific intervals and, in some instances, may suspend a director or officer for improper conduct. The supervisory committee may also call a special meeting of members to consider an alleged violation of basic regulations.

An applicant for membership is generally admitted to the credit union by affirmative vote of a majority of directors and upon payment of a small entrance fee (usually 25 cents) and the purchase of at least one share of stock (usually $5.00 per share). Shares may be purchased on the installment plan with a monthly payment sometimes as low as 25 cents. If the activity of the credit union has been profitable during the year, a member generally receives a dividend based on the number of shares he owns. The interest rate a member pays on loans is generally smaller than the ordinary legal rate and is by far lower than the rates exacted by loan sharks. A member may subsequently withdraw his money paid for shares or installments for shares, but the board of directors may require prior notice. The withdrawal of all money paid for shares cancels an individual membership. A member who leaves the field of membership of the credit union may retain his membership in the credit union, but he may not be permitted to borrow in excess of his shareholdings.

Whenever convenient, credit unions voluntarily organize into local, metropolitan, or county groups for the purpose of exchanging ideas and rendering advisory assistance. Individual credit unions are generally members of state leagues of credit unions which, in turn, belong to a national federation called the Credit

Union National Association. The National Association acts as a clearing house for credit union information and in addition has two affiliate organizations: one providing loan protection and life insurance for credit unions and the other offering operational and promotional supplies. The National Association and its affiliates are ultimately owned and controlled by its credit union members.

In an agency whose employees do not have access to membership in a credit union, the personnel office may obtain and make available, both to top management and to employees, educational literature pertaining to credit union operation. The personnel office may assist a group of interested employees in preliminary arrangements incident to the establishment of a credit union for agency employees. As a service to employees, the personnel office may acquaint employees with the privileges of membership in the credit union and, as financial problems among employees arise, the personnel office may advise specific employees with respect to the possible use of credit union facilities. The consistent support which a personnel office, through its employee services program, may give to a credit union enables the credit union to provide worthwhile assistance to its employee members.

Administration of a Welfare Fund

A welfare fund is administered for the convenience of employees who, because of an emergency, must borrow a small sum of money for a short period. A new employee may find himself without sufficient funds until his first pay day; a regular employee may suddenly need money to finance an unexpected trip necessitated by death in the family or to pay an urgent medical bill. In cases similar to these, an employee may request an advance from a welfare fund. Loans are made, without interest, on the employee's own signature, for a limited period of time. Assuming that there are situations in which employees have a genuine need for financial assistance, a welfare fund, carefully managed, is a distinct service to employees.[5]

Fund Raising

From a community point of view, employees as citizens should be afforded an opportunity to contribute time and money to worthwhile community projects. An agency helps employees to exercise

[5] Symposium, "The Federal Employee Welfare Program," *Personnel Administration*, September 1941, pp. 1–7; October 1941, pp. 5–10; November 1941, pp. 13–17.

such citizen responsibilities by conducting community drives in cooperation with established community agencies. Hence, drives to raise money for the American Red Cross, Community Chest Drives, Heart Association, Police Boys' Clubs, Cancer Campaign, etc., are administered under an employee relations program. Although quotas are usually established in drives, the trend in public personnel management is to emphasize the highest possible degree of participation of employees, in a voluntary fashion, with less regard to the attainment of particular amounts of money collected.

Counseling

Because many individuals have difficulty in adjusting themselves to their work environment, counseling is provided to help employees make appropriate adjustments and to aid supervisors in dealing properly with employees under their direction. Counseling does not, or should not, be substituted for the normal supervisory-employee relationships; to the contrary, proper counseling supplements and strengthens these relationships.[6]

A counseling program provides a chance to interpret individual employee interests and problems and to make suggestions to improve operational methods, as well as an opportunity to explain management policies to employees. The interview technique becomes a chief method for the counselor. Counseling, however, does not assume that the counselor knows all of the answers to individual problems; rather, the most effective counseling often consists of referral of a personal problem to an established community agency for assistance. Tangible results of proper counseling may be greater production, reduction of complaints and grievances, fewer absences from work and lessened turnover. Counseling is one area which presents itself as a challenge to the successful application of the human relations philosophy of personnel management.

Exit Interview Program

The factors which prompt employees to leave their positions are numerous. The personnel office may ascertain reasons for separations through sporadic and casual methods or it may establish

[6] U. S. War Department, *Personnel Counseling,* Washington, 1943; Kraus, Astrid, "Some Recent Trends in Employee Counseling," *Personnel Administration,* May 1947, pp. 29–31; Barron, Margaret E., "The Emerging Role of Public Employee Counseling," *Public Personnel Review,* January 1945, p. 11; Baker, Helen, *Employee Counseling,* Princeton, 1944.

a systematic procedure to obtain such information. The formal process of interviewing an employee, at the time he leaves his employment, is called an exit interview.[7]

The utilization of the exit interview is beneficial to management as well as to the employee. An orderly exit interview procedure offers five specific advantages:

(1) *Management has an opportunity to ascertain the exact reason for a separation.*—Frequently an employee is reluctant to state on his written resignation the basic reason for his leaving his position. This condition may prevail particularly when the employee has had personal difficulty with his supervisor or when the employee fears to disclose his actual reason. During an exit interview the interviewer acts as a neutral person, soliciting in an objective manner the facts surrounding the separation.

(2) *Management has a final opportunity to retain employees whose continued services may be desirable and the employee may have an opportunity to return to his position.*—Sometimes an employee makes his decision to leave a position without sufficient consideration of the consequences of his action. An employee occasionally may decide to resign over a comparatively minor incident which, at the moment, he has unduly magnified. After a brief elapse of time, the employee may not only be willing to retract a proffered resignation but he may be anxious to do so as a matter of economic necessity. During the exit interview the interviewer may offer an opportunity to the employee to reconsider what might have been a hasty decision. In such circumstances, the result frequently is employee reconsideration and subsequent retention in the organization.

(3) *Employees have an opportunity to learn of information related to their separation from the organization.*—At the time of separation, there are questions of personal interest to the employee which need to be answered. Such questions pertain to the exact time of payment of final salary check, the method of obtaining a refund for retirement deductions, the procedure for continuing group hospitalization payments, an explanation of re-employment rights, etc. The exit interviewer, as a matter of routine, may supply the answers to these questions and, hence, assist the employee as well as reduce the subsequent workload of the agency.

[7] Marrow, Alfred, and Gilbert David, "The Turnover Problem—Why Do They Really Quit?" *Personnel Administration,* November 1951, pp. 1–6.

(4) *Management has an opportunity to collect factual data on separations.*—The causes for separation are generally well known, but the degree of prevalence of inividual causes in a specific organization differs greatly. In some instances the causes of separation are uncontrollable. In other instances management may be able to change specific conditions of work and, therefore, reduce the separation rate. Through the accumulation of pertinent data through the exit interview process management is in a position to decide upon appropriate action.

(5) *Mutual good will may be promoted between the organization and the employee.*—After he leaves a particular agency, the employee is generally either a booster or a knocker of his former organization. The exit interview affords management an excellent opportunity to adjust any employee misunderstanding which may have arisen during the period of employment. As a matter of fact, the exit interview may create positive good will toward the organization. Furthermore, it is appropriate for management, particularly through the exit interviewer, to express appreciation in an informal way for the employee's past services in the organization.

The exit interview should take place as soon as possible after the employee has indicated to his supervisor his intention to resign. The value of an exit interview in retaining an employee diminishes as the time after which the employee makes his decision to leave increases; in other words, it becomes generally more difficult to interest an employee in reconsidering his decision to resign after arrangements for his separation have nearly been completed. Conversely, the sooner a helpful interview is conducted with the employee after his intention becomes known, the greater is the chance that the exit interviewer may be able to make a satisfactory adjustment in the situation.

The details surrounding the use of exit interview technique vary with the individual organization. Final arrangements should be consummated as a result of conferences between supervisors and the personnel office. The cooperation of supervisors is mandatory if the objectives of the exit interview are to be fulfilled. For maximum benefits, the exit interview must become an integral part of the separation process.

The physical setting for the exit interview must suggest privacy of conversation. In some instances where the interviewer is not a

supervisor it may be desirable to have individual conference rooms for use by the interviewer and the employee. In any event it is mandatory that the exit interview be conducted apart from the hearing of other employees in order that absolute freedom of discussion will be encouraged.

As soon as an employee indicates to the supervisor his intention to resign, or the supervisor decides to initiate separation action, the supervisor should inform the exit interviewer. The exit interview then is scheduled at a specific time by the interviewer. Prior to this period, the interviewer obtains all pertinent information with respect to the employee and his work situation. Sources of such information include the employee's jacket and his efficiency rating record, as well as the supervisor. The interviewer should have complete knowledge of all essential data prior to the time the employee arrives for the exit interview.

The interviewer must possess at least three basic qualifications. He must know how to obtain key facts from the employee; he must know how to evaluate the individual employee in order to judge, for example, whether an effort should be made to retain the employee; he must know how to analyze the work situation and suggest appropriate remedial resources to the employee. During the interview the interviewer must conduct himself in such a way as to obtain the confidence of the employee. Frequently, some item of general interest may initiate the conversation. As soon as possible, the employee's own opinions with respect to his separation should be solicited, the interviewer subsequently eliciting additional facts at critical points of the situation. The interview is best concluded in an informal manner with the interviewer at all times bearing in mind the feelings of the employee.

It is a very desirable practice for an interviewer to make a record of individual interviews after the interview has been completed and the employee has left the office. Two record forms are generally utilized, namely, an individual exit interview record card and a periodic report form which summarizes the essential types of information obtained through such interviews. The purpose of these record forms is to serve as a basis for personnel research on the causes of separation, to constitute a record for further guidance, and to act as a device for measuring the effectiveness of the exit interview.

Suggestions Plan

Formerly it was common belief that any constructive idea which an employee might have had should be transmitted to management as a routine part of the employee's job, regardless of whether or not the idea was related to the employee's assignment. Today there is a growing recognition of the concept that, for an idea not a part of the employee's normal duties, the employee is entitled to a share in the savings resulting from the adoption of his idea.[8]

No individual or group of individuals can be expected to develop all of the desirable ideas to improve operations of an agency. Frequently a beneficial suggestion program is established to stimulate employee participation in the submission of constructive ideas intended to increase efficiency of operations. The chief objective, therefore, is to discover better, faster, cheaper, and safer methods of achieving the agency mission. Such a program encourages creative thinking and may be very helpful in arousing genuine interest of employees in their jobs. Under such a program, an employee receives a cash award or other recognition for a suggestion which is subsequently adopted.

A suggestion offered under a beneficial suggestion program may relate to a procedural or technical matter, including inventions and revision of methods, and may pertain to any part of the work of the agency. The objectives of such suggestions involve such items as (1) improvement in methods of operation, quality of product, working conditions, tools and machinery, protection of property, employee morale, and utilization of manpower; (2) increase in production and safety; (3) creation of new tools; (4) creation of new methods; (5) reduction in costs, waste, fire hazards, and accident hazards; and (6) elimination of duplication, unnecessary work, and breakage. On the other hand, suggestions are generally not eligible for cash award consideration if they include ideas which were adopted more than a certain period of time prior to the date of formal submission of the suggestion, if they are not placed in effect within a fixed period of time after submission, if their formulation constitutes a part of the normal duties of an employee's position,

[8] Donaho, John A., "Employee Suggestion Systems in the Public Service," *Public Personnel Review,* October 1945, pp. 230–235; U. S. Civil Service Commission, *Suggestion Systems: A Selected List of References,* Washington, 1944.

if they are the contribution of a group of employees, if they are personal grievances, or if they are impractical for adoption because the possible savings would be offset by additional costs involved.

In larger agencies, an agency beneficial suggestion board, composed of usually five, seven, or nine members, determines broad policies and issues basic regulations for the administration of the program. The agency board also usually provides for the dissemination of information among employees, ascertains the amount of award funds needed, provides for the printing of program posters, and transmits to other agencies suggestions with potential jurisdiction-wide application. A representative of the personnel office is generally the chairman or recorder of the board. In larger agencies separate beneficial suggestion committees within major divisions of the agency, in regional offices and field units having a reasonable number of employees, are established to carry out the plan as created by the agency board, including the acceptance or rejection of suggestions and the determination of the amount of individual awards. In smaller agencies, one board makes broad policy and operates the program. Wherever the board or committee has discretion over acceptance or rejection of suggestions, membership of committees is normally so constituted that the committee is able to evaluate suggestions of a technical, mechanical, administrative, production, or clerical nature, depending upon the type of work performed at the agency.

Methods used to stimulate beneficial suggestion programs include (1) promotion of group competition through posting on bulletin boards; (2) establishment of an honor roll in administrative divisions, listing employees who have received awards for adopted suggestions; (3) establishment of an "Inventors' Club" with specific qualifications of membership; (4) use of certificates; (5) promulgation of handbills, pay roll inserts, and bulletin board notices; (6) use of the public address system to announce award winners, to carry broadcasts of award presentations, and to urge employees to submit ideas; and (7) showing of motion pictures concerning the operation of suggestion systems.

In a properly administered beneficial suggestion program, certain specific rules are followed: (1) suggestions are acknowledged promptly; (2) suggestions are processed promptly; (3) a brief explanation is furnished to the employee when a suggestion is turned

down; (4) impartial treatment is extended to all suggestions; (5) suggestion awards are presented with appropriate ceremony; (6) operating officials are identified as the primary sponsors of the program; (7) continuous employee interest is maintained through a planned promotional program; and (8) the backing of top management is essential.

Among the factors used in evaluating the relative success of local programs, the following are particularly significant:

(1) *The number of suggestions submitted on a per capita basis.*—A rate of 20 suggestions per year for each 100 employees is considered one index of a successful program.

(2) *The percentage of suggestions adopted.*—Some personnel officials feel that their program is efficient if 25% of the suggestions are adopted.

(3) *The number of unprocessed suggestions on hand at periodic intervals.*—The total figure in itself is not as significant as the length of time which has transpired since each suggestion was submitted.

(4) *The general attitude of employees toward the program.*—Belief on the part of the rank and file employee that his suggestion will receive prompt and considerate treatment is highly important.

It must be realized that no one factor alone is conclusive.

Awards Program

An awards program is established to encourage and recognize individual achievement on the part of an employee. Formal recognition is given to outstanding performance above and beyond what is expected in line of normal duty. An employee may develop a new product, create a new procedure or system, or perform an act of heroism of direct benefit to his agency. Of comparative lesser importance, an employee may improve a procedure or system, or carry out his duties effectively to a very marked degree. For such or similar behavior, a supervisor in an agency or a jurisdiction having an awards program may recommend an employee for an award. The determination of whether an employee's performance merits an award is generally made by an agency awards committee, on the basis of supporting evidence developed by the employee relations branch and submitted to the awards committee for consideration. An award may consist of a letter of appreciation, a pay increase, or a fixed sum of money.

Another phase of an awards program is provision for recognition of long periods of service in an agency or jurisdiction. Length of service awards, in the form of a lapel emblem, may be given to employees having 10, 20, 30 (or more) years of service. Standards for length of service awards are generally developed by the employee relations branch for adoption by the agency awards committee.

Employee Relations in the Federal Government

In the federal government, there has been a greater development of employee relations programs in the departmental service than in the field service. This condition is partly due to the initiative shown by personnel officials in various departments to sponsor individual programs; the situation is also a reflection of the greater need which normally exists for such service in a transient community, such as Washington, D. C., where the majority of employees are away from their native residences. The continuous recruitment of new employees outside of the metropolitan Washington area for duty in Washington automatically results in the presence of many individual types of personal problems which can be greatly alleviated by an agency employee relations program. It is true that the employees of many federal field agencies, such as those located in isolated areas, also face, from an employee relations viewpoint, many personal problems similar to those faced by employees of an agency geographically located in Washington, D. C. However, the need for employee relations programs is traditionally smaller in a work locale in which the majority of the employees of a government unit or agency have lived in the area prior to the beginning of their public employment.[9]

Common elements of employee relations programs found in the majority of agencies in the federal government are the use of employee handbooks, the establishment of recreation programs, the availability of welfare funds, counseling, credit unions, and beneficial suggestions and awards programs.[10] These latter three phases have received special Congressional approval. The degree to which

[9] See, for example, Kammerer, Gladys, *Impact of War on Federal Personnel Administration, 1939–1945,* Lexington, 1951.

[10] See, for example, U. S. War Department, *Effective Employee Relations,* Washington, 1943.

each phase is developed as an employee relations activity varies greatly among federal agencies.

In 1934 Congress enacted the Federal Credit Union Act.[11] Under the act, federal credit unions may be organized and operated under federal charters issued under the cognizance of the Bureau of Federal Credit Unions, Federal Security Agency. The development of credit unions has been steady since that time. In 1952, for example, federal credit unions were in operation among 566 federal employee groups. Such unions have an estimated 300,000 members and during a year make approximately 200,000 loans.

The federal government gave formal recognition to beneficial suggestions programs as early as 1912. From that time, the use of suggestions systems grew slowly until 1946. In 1946, agencies were authorized to spend a maximum of $25,000 per year for cash awards for meritorious suggestions.[12] The law accelerated the creation of suggestions programs among federal agencies. To be eligible for such an award, an employee's suggestion must offer a solution to the problem presented, the suggestion must be adopted, and it must not be a part of his duty. The exact amount of the award usually reflects an estimate of the benefits of the first year following adoption of the suggestion. Under the act the maximum for any one suggestion is $1000. (See Fig. pp. 412–413, Appendix.) The suggestion program is distinct from a method of pay step increases available since 1941 as a reward for superior accomplishment in line of duty.

Pursuant to the Act of 1946, the President by Executive Order 9817 has prescribed rules governing the payment of efficiency awards as follows:

(1) An employee of an agency who makes a suggestion in the form required by his agency which is adopted for use in the agency and which, in the judgment of the agency head, has resulted or will result in improvement or economy in the operations of the agency by way of monetary savings, increased efficiency, conservation of property, improved working conditions, better service to the public, or otherwise, is eligible for consideration for a cash award.

(2) When a suggestion is determined to be meritorious and is adopted because it will result or has resulted in the saving of money, the amount of the award is based on the amount of the annual estimated saving in the first year of operation in accordance with the

[11] 48 Stat. 1216.
[12] 60 Stat. 809.

following table:

Savings	*Awards*
$1–$1000	$10 for each $200 of savings with a minimum of $10 for any adopted suggestion
$1000–$10,000	$50 for the first $1000 of savings, and $25 for each additional $1,000 of savings
$10,000–$100,000	$275 for the first $10,000 of savings, and $50 for each additional $10,000 of savings
$100,000 or more	$725 for the first $100,000 of savings; provided that (with the exception of the defense agencies) the maximum award for any one suggestion shall not exceed $1000.

(3) When a suggestion is adopted primarily upon the basis of improvement in the operation or services of the agency, the agency determines the amount of the award commensurate with the benefits anticipated from the suggestion.

(4) At the end of each fiscal year, each agency must report to the Director of the Bureau of the Budget the number of employee suggestions submitted, the number of such suggestions adopted, the total amount of cash awards, and the total amount of estimated annual savings.

(5) No award can be paid for any suggestion which is not adopted for use within five years from the date the suggestion is received by the agency.

Award programs were given added impetus through a 1949 Act of Congress.[13] Each agency is required to make systematic reviews of the operations of each of its activities. The purposes of such reviews include the identification of employees whose personal efforts have caused their organizational units to be outstanding in efficiency and economy of operations. An Efficiency Awards Committee is established in each agency to identify such employees and to award to them, subject to approval by the agency head and to limitations regarding the monetary amount of an individual award, cash awards or increases in rates of basic compensation commensurate with superior accomplishment. The total amount of such awards or increases to any groups of employees cannot exceed 25% of the estimated savings to the government. The U. S. Budget Bureau is responsible for control of the program and has issued instructions for the coordinated administration of awards for suggestions, salary increases for superior accomplishment, honor awards and awards given under the 1949 law.

[13] 63 Stat. 971.

Pursuant to authority indicated above, incentive awards programs have been established on a comparatively broad scale. Several significant suggestions have been adopted in the past few years, among them being a suggestion by an employee of the Commerce Department which dealt with a water ballast method of scaling ships' hulls and which resulted in an estimated $230,000 saving to the federal government in a single year of operation. On an average, 55 suggestions are received from each 1000 employees annually; 26% of the suggestions are being adopted. Employee participation in incentive awards programs is slowly increasing.

A well-balanced employee relations program in the departmental service of the federal government is that of the Treasury Department. Aid is provided to employees for obtaining housing, for planning personal budgets, for transportation, and for consulting on personal problems. The Employee Relations Branch of the Personnel Office of the Treasury Department promotes membership and interest in the Treasury Department Recreation Association, an organization sponsoring athletic, social, and other recreational activities. The Treasury Department Federal Credit Union provides opportunity for employees to invest savings and to borrow money. The Treasury Department Beneficial Association, a nonprofit group, offers group life insurance for a nominal cost. The Employees Relations Branch sponsors campaigns for membership in Group Hospitalization, Inc., which provides hospital accommodations for employee members and their families, and in Group Health Association, which provides members and their dependents with medical and hospital care. The Welfare Association, publicized by the Employee Relations Branch, loans money to deserving employees without interest. The suggestion system and awards program are considered very effective. An attractive handbook "Information for Employees" is available for all employees. Additional key phases of the program deal with such services as fund raising and health promotion. Many of the individual employee relations programs found in the departmental service of the Treasury Department are also provided in field units of the Department.

Employee Relations in State Government

At the state level, the growth of formal employee relations programs has been spotty. A basic reason for the underdevelopment of such programs has been inadequate funds which sometimes have

reflected legislative and executive misunderstanding of the objectives and of actual values which may be derived from such a program. Another reason has been lack of support among supervisors.[14]

Where established, state programs tend to be "service" in nature. The issuance of handbooks and the establishment of credit unions appear to be common features of state programs. Where used, handbooks are essentially simple in composition and often contain charts and diagrams. The first general credit union legislation was passed in Massachusetts in 1909. In addition to charters granted by the federal government through the Bureau of Federal Credit Unions of the Federal Security Agency to state groups, forty-four states (all except Delaware, South Dakota, Nevada, and Wyoming) authorize the establishment of credit unions among state employee groups. In 1952, for example, seventy-two state employee groups had had federal charters; approximately an equal number of state employee groups have state charters. Such federal credit unions enjoy an estimated membership of 24,000; approximately 18,000 loans are made annually.

The adoption of suggestions programs is increasing.[15] One of the most recent suggestions programs was inaugurated for employees of the State of New Jersey in 1952. Under the program, cash awards ranging from $10 to $500 are made for practical ideas which will result in greater efficiency and economy. A Suggestion Award Committee composed of five members appointed by the President of the State Civil Service Commission establishes rules for the program and makes final decisions on awards. In one month alone during the first year of the program, 139 suggestions were received from fourteen state departments.

An effective employee relations program carried on for state employees is found in New York.[16] State employees may purchase group life, accident and sickness insurance at low premium rates through membership in the Civil Service Employees Association. A credit union is in operation in most agencies of the state govern-

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[14] See, for example, Connecticut Commission on State Government Organization, *Report to the General Assembly,* New Haven, 1950, p. 18.

[15] Staats, Herbert, *Recognition of Constructive Suggestions by State Employees,* St. Paul, 1943; Zawsmer, Garson, "The New York State Employee Suggestion Program," *Public Personnel Review,* October 1947, pp. 200–204; Lyser, Herbert, "California State's Merit Award Program," *Public Personnel Review,* July 1952, pp. 143–145.

[16] Hubbard, Allen S., "Evaluation of New York State's Employee Relations Program," *Public Personnel Review,* July 1951, pp. 145–150.

ment. A publication entitled "State Personnel News of New York" is issued monthly to furnish pertinent information on personnel policies, procedures, and events. Since 1946, a suggestion program has been functioning to encourage employees to offer original practical ideas for promoting more efficiency in the state government; as awards, the Merit Award Board is authorized to grant cash, a salary increment, a medal, or a certificate of merit. Recreation programs and counseling are also provided for most state employees in New York. In 1950, New York State created a Personnel Relations Board in the State Department of Civil Service. The jurisdiction of the Board relates to employee complaints and problems pertaining to conditions of employment. Specific duties of the board include informing employees of their rights and procedures for initiating action and recommending action to the governor when a state department does not carry out appropriate rules.

Employee Relations in Local Government

Comparatively few personnel offices at the local level have a staff devoted to employee relations programs. Where they do exist, most employee relations programs at the local level are informal and sporadic. Formal programs are found more frequently in larger units of local government than in smaller ones. In jurisdictions having formal programs, the emphasis appears to be on insurance programs and length of service awards programs.[17] The establishment of credit unions is spreading. (See Fig. p. 414, Appendix.) Local employee groups may obtain charters for credit unions under provisions of federal law or state law; in 1952, for example, there were 233 federal credit unions for local employee groups. Such federal credit unions have an estimated 115,000 members who during a year make approximately 98,000 loans.

Illustrative of a trend toward the establishment of service awards is recent action by the New Orleans Civil Service Department in adopting an awards program based on longevity and on outstanding service. The city of Dearborn, Michigan, operates a group life insurance program for its employees. Under the program, the city pays the premiums on the individual policies which provide for

[17] Bromage, Arthur, *Introduction to Municipal Government and Administration,* New York, 1950, pp. 441–442; International City Managers Association, *Municipal Personnel Administration,* 1947, ch. 11; *Municipal Year Book 1952,* Chicago, 1952, pp. 136–137.

$2000 of life insurance in case of death while off duty. In Dearborn, too, an awards program approved by the city council provides for service pins and buttons for employees who achieve 5, 10, and 20 years of service. For the twenty-fifth year of service, an employee receives a watch. Administration of the awards program is the responsibility of the Personnel Director of Dearborn. Furthermore, a group insurance plan has recently been set up for municipal employees of the city of Austin, Texas. The plan includes life insurance, accident insurance, and hospital and surgical benefits. The city pays the cost of the insurance for the employees; employees have an opportunity to cover dependents by assuming an additional charge.

Problems of Administration

Among the problems associated with the administration of the employee relations function, the following call for special attention:

Retention of confidential aspects of employee relations.—Staff members engaged in employee relations programs are sometimes accused of discussing with friends personal affairs of other employees —information which has been derived from official contacts with these employees. Discussion may concern how much one employee gave to a community drive or personal difficulties of an employee. The result of such transmission of information is to destroy confidence not only of those whose personal affairs are betrayed but also of those who learn of the information.

Staff members must preserve the confidences placed in them by others during the course of official business. Realization of this trust means revealing personal information only in a professional manner for a legitimate purpose. Such realization also means safeguarding records of the Employee Relations Branch and maintaining them free from unauthorized use.

Inadequate funds.—Often the number of staff members assigned to an employee relations program is inadequate. When funds are limited, essential personnel needs often cannot be met. In some jurisdictions, legislatures as well as top executives are not convinced of the value of employee relations activities. In such instances, when a reduction in the administrative staff is about to take place, the employee relations staff often feels the blow first. The reduction or even elimination of an employee relations program may oc-

cur unfortunately at the very time the need for such services is greatest.

Maintaining an employee relations program requires financial support. There is no seasonal peak in the total demands upon an employee relations program. Further, because of the variety of individual projects constituting a comprehensive program, usually the program cannot be carried on by assignment of one employee part time or one employee full time to the program. In order to obtain necessary support, an employee relations staff must continuously promote a clear understanding of the benefits of the total program.

Record maintenance.—Sometimes a separate record system is maintained in an employee relations branch for each individual seeking a service offered through the employee relations program. Since individual programs make up the whole employee relations program, this practice leads to many individual records, with little or no correlation. In such circumstances duplication of records inevitably exists.

Some personnel officials have developed an all-purpose record card for use of an employee relations branch. The record card is filed by the employee's name and is a summary of his relations with the employee relations branch. Better service can be provided to the individual employee and more efficient administration results.

Time element in individual cases.—In some employee relations programs, there is an abnormal delay between the time the initial step is taken in a case by the employee in an employee relations branch and the final decision of management. This may be particularly true of beneficial suggestions and awards programs.

There can be no legitimate complaint over the amount of time involved where staff investigation and analysis are carried on with reasonable speed before final decision. But under the pressure of a heavy workload, inefficiency, turnover of staff, or other causes, delays up to a year or even eighteen months have been known to occur before desired assistance from the employee relations staff is forthcoming. The management of an employee relations program must include careful attention to prompt processing of all requests so that the basic objectives of the program may be realized.

Integration of employee relations function with other personnel functions.—There is a tendency to treat the employee relations function in a vacuum, sometimes as a luxury, apart from other personnel

functions. Employee relations staff members occasionally feel that theirs is a professional area which is, or should be, independent of other administrative considerations. Such an assumption is not only wholly fallacious; it is ruinous to the success of a program.

Justification for an employee relations program rests upon needs and problems arising out of the work environment. Other personnel functions, too, have a direct impact upon the work situation. Coordinated personnel policy lies at the root of favorable employee attitude and behavior. The employee relations function must be integrated with other personnel functions if the function is to serve both the employee and management in the most effective manner.

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CHAPTER 8

Health and Safety

EXTENT OF HEALTH SERVICE PROVIDED

There is comparatively little attention given to the general health of employees of government agencies. Where government agencies provide health services for employees, professional medical services normally consist of the operation of a dispensary and the offering of facilities for periodic chest x-rays.[1]

The dispensary may be staffed by a full-time physician and a full-time nurse; in most cases, however, where a dispensary is in operation, a full-time nurse with a part-time physician is in charge.[2] Generally only cases of an emergency nature are handled in a dispensary; after application of emergency treatment, the indisposed government employee is referred to a private physician. The exception to the general practice is the instance of an injury sustained in the performance of official duty: in such a case, further medical service may be provided by the agency or jurisdiction.

The number of government facilities for free chest x-rays of public employees is increasing. In some agencies this service is available without charge at any time; in other agencies x-rays are given periodically in connection with local health offices. In a few instances, provision for having a chest x-ray annually is mandatory.

[1] Hayworth, Thadene, and Janet Nolan, "Mental Health for Employees," *Personnel Journal,* June 1949, pp. 52–58; Hiel, Charles, "Health and Work," *Journal of the Institute of Personnel Management,* January–February 1949, pp. 9–13; Owen, Mary, "The Contributions of Vacations to Employee Health," *Industrial Medicine,* April 1950, pp. 192–197; National Industrial Conference Board, *Company Medical and Health Programs,* New York, 1948; Zimmerman, R. R., "Are Federal Employees Expendable Too?" *Personnel Administration,* April 1944, pp. 1–5.

[2] Roberts, Kingsley, "The Next Job for Management: Smashing the Health Bottleneck," *Personnel Administration,* October 1942, pp. 13–19; Clarke, Robert J., and David W. Ewing, "New Approach to Employee Health Programs," *Harvard Business Review,* July 1950, pp. 109–124; Tennessee Valley Authority, *Health and Safety for TVA Employees,* Chattanooga, 1944.

In addition to medical services, which may be available to individual employees through professional medical personnel, a health program may include the promotion of the general health of employees. Justification for the establishment of such programs lies in the fact that the state of general health of employees bears a distinct relation to the effectiveness of the employees' work efforts and, hence, of the operations of the agency. Such programs may contain one or more of the following five types of activity:

(1) promotion of group health and group hospitalization plans;
(2) dissemination of general health information;
(3) promotion of satisfactory rest rooms for employees;
(4) assistance in the increase and improvement of medical services available to employees; and
(5) furnishing of pills for minor ailments, without professional advice.

Group health and group hospitalization plans offer protection to employees at low individual cost. Both types of plans are in operation in many jurisdictions throughout the United States. Some individual plans embrace a considerable geographical area beyond the community in which an office for group health or group hospitalization organization is located. Personnel offices ascertain what plans are available locally and cooperate with organizations operating these plans. Information regarding the availability of such plans at particular localities may be secured, in the case of group hospitalization, from the Hospital Service Plan Commission, American Hospital Association, 18 East Division Street, Chicago, Illinois, and, in the case of group health, from the Bureau of Research and Statistics, Social Security, Federal Security Agency, Washington, D. C.

The dissemination of general health information is effected primarily through the distribution of health pamphlets and literature and the posting of health posters on bulletin boards. The pamphlets may be general in content or they may emphasize a particular physical ailment or preventive action. Literature often available includes leaflets on such topics as diet, tuberculosis, exercise, etc., and may feature types of ailments associated with the peculiar nature of certain types of positions found in the agency. Special agency memoranda may be prepared and distributed calling employee attention to health events such as community health campaigns.

The existence of unsatisfactory rest rooms may act as a health menace to an agency's employees. Inadequate attention by a maintenance division easily results in conditions of uncleanliness. Facilities of a rest room may be entirely inadequate for the need. Alertness by personnel officials to such conditions and notification to an appropriate agency administrator do much to assure satisfactory rest rooms for employees.

Assistance in the increase and improvement of medical services available for employees is rendered through working with the medical division of the agency, if any, and with community facilities. Assistance of this type is particularly needed in the instance of installations located in remote or outlying areas where an influx of new employees, for example, may seriously overtax existing medical service in the community to the point where adequate medical aid for all is jeopardized. In an agency not having a medical division, personnel officials may call to the attention of public health authorities deficiencies of local medical service which need correction. Continuous close liaison between the personnel office and medical offices is desirable and necessary.

Apart from dispensary facilities, some agencies provide pills for minor ailments, such as headaches, for the asking. Sometimes salt tablets are available. Such pills may be obtained without charge from supervisors, attendants in charge of rest rooms, or from dispensing machines.

Health services available through an agency health program are offered (1) through a medical office independent of the agency personnel office, (2) through a health branch or employee relations branch of the agency personnel office, or (3) partially through a medical office and partially through the agency personnel office.

A Health Program in the Federal Government

The basis for one of the most advanced programs for the physical well-being of government employees was authorized a few years ago by Congress for employees of the federal government.[3] Under the Federal Employees Health Act of 1946,[4] heads of federal agencies are authorized to establish health service programs after consul-

[3] Mohagen, Verna C., "The Congress Hears the Case for Health Programs for Government Employees," *Personnel Administration,* November 1944, pp. 17–19; U. S. Public Health Service, *Health Services for Federal Employees,* Washington, 1946.

[4] 60 Stat. 865.

tation with the U. S. Public Health Service. The programs can be set up only in localities where there is a sufficient number of federal employees to warrant the services to be provided. By law, health service programs are restricted to (1) treatments of on-the-job illness and dental conditions requiring emergency attention; (2) pre-employment and other examinations; (3) referral of employees to private physicians and dentists; and (4) preventive programs relating to health. Upon request, the U. S. Public Health Service reviews the health service programs being conducted by an agency and makes recommendations to the agency head.

With respect to administration of such a health service program, heads of agencies may establish and operate their own health service program, contract for the establishment and operation of such program, or establish and operate in part their own health service program and contract in part for the services authorized. In an operating agency, the professional responsibilty for the health service program is placed in the physician in charge. The nurse in charge of a nursing service is administratively and professionally responsible to the chief physician. In agencies where there is no physician in charge of the employees' health service program, a nurse is in charge of the nursing and health service. Other professional personnel in the health service program must meet the professional standards established by the Civil Service Commission for professional personnel engaged in a preventive medical program.

The number of physicians assigned to a program under the federal plan is one physician for approximately 4000 to 6000 employees. In fixing ratios in specific agencies, consideration is given to the distribution of employees geographically, amount of shift work, extent of potential safety hazards present, turnover, number of examinations required, total number of employees, sex and ages of employees, and the extent of isolation from other medical and dental services. The number of technicians and supporting personnel is ascertained upon the basis of the potential treatment load and upon the relative accessibility of other government facilities for medical technical work for the agency. Where circumstances warrant, advisers in health education, sanitary engineering, and other services may be added to the professional staff.

The health service program for the individual federal agency is regarded as a single over-all health service for the total employee population in the agency. The program is financed at the depart-

mental level for the departmental service and its field activities. Each agency is expected to utilize existing available federal and local facilities, in relation to the operation of the various phases of the health service programs, for consultation, and for health educational purposes. When an agency is not large enough to justify a health service program solely for itself, cooperative arrangements may be worked out with other federal agencies.

The basic health program embracing medical, dental, and nursing service includes the following phases: (1) promotion of the individual employee's health, (2) diagnostic and advisory service, (3) medical, dental, and nursing treatment, and (4) analysis of service.

Individual employee health is promoted through health examinations. The pre-employment health examination is the foundation upon which a health record and future health service for the individual employee within the agency are based. Other health examinations are given periodically and as the occasion arises. The professional personnel of the health unit consult with the employee regarding the recorded findings at the time of the examinations; health guidance along with periodic follow-ups are carried out by the physician and the nurse on an individual and personalized basis. Medical records are considered confidential information. Analysis is made available to personnel officials for more effective utilization of manpower as related to the employee's adjustment to the job, job placement, and maintenance of individual and group health.

The physician is responsible for ascertaining specific occupational hazards, as well as factors in the work environment which may have an adverse effect upon the health of the worker. He is also responsible for maintaining cooperation between the health unit and other personnel of the agency and for providing the employee with an optimal work environment. Programs of case finding, communicable disease control, special campaigns such as for chest x-ray examinations, and similar activities are planned and carried out by the staff of the health unit for the employee population of the agency.

Diagnostic and advisory service includes evaluation of the employee's symptoms, determination of the nature of his problem, and guidance of the employee. The employee is referred to physicians and dentists of the employee's own selection for treatment of illness (other than on-the-job illness and dental condition requiring emer-

gency attention). The health unit also interprets the employee's problem to the supervisor of the employee and to officials within the agency.

Medical, dental, and nursing treatment provided to employees includes immediate care of illness and injury incurred in the performance of duty, subsequent care for such conditions as authorized by the Bureau of Employees' Compensation, care of on-the-job illnesses and dental conditions which require emergency attention, emergency care of the employee who is suffering from a serious non-service-connected illness or injury, and arrangement for further medical care for the employee by his private physician or dentist, or by a hospital. Nursing service embraces treatment, health counseling, health education, individual case follow-up, and treatment of on-the-job illness and dental condition requiring emergency attention.

Analysis of data collected and of services is continuously made. The pre-employment health examination and health records are used to plan appropriate health measures and health education activities. Reports of illness and injury incurred in line of duty are used to establish collaboration between the health division and the safety branch in effecting changes in the work environment. Study is made between the services of the health unit and the services of the personnel office. Furthermore, cost analyses are set up.

Each health unit is designed to promote effective functioning of the unit, expedite the flow of work through the unit, and eliminate unnecessary detention of the employee who comes to the unit for health service. Under the plan, maximum privacy must be afforded every employee during examination, treatment, and interview by the personnel of the health unit. The quality of a health service program is influenced by the professional standards of the unit and a sincere respect for the personality of the individual employee.

The U. S. Public Health Service, therefore, upon request of federal agencies, provides professional and technical guidance in employee health matters. The Public Health Service, through contract with individual federal agencies, also conducts health programs for certain federal agencies on a reimbursable basis. Thus, an outstanding example of the beneficial results of a federal health program for federal employees located outside of Washington, D. C., is the Denver Federal Center where several federal agencies have

jointly financed a health program administered by the Public Health Service. A recent study made by the Public Health Service in Denver points out that an efficient health program for employees can justify its costs through reduction of absenteeism caused by sickness, in addition to humanitarian values. A sample of 400 employees representing a cross section of the federal employees who work at the Denver Federal Center was matched with a comparable group of 400 federal employees who work in downtown Denver. Sick leave records of the two groups were analyzed for a six-months period when neither group was subject to a health program; the same records of the two groups were subsequently analyzed for a six-months period when one group was subject to a health program. It was found that the health program established at the Center reduced, on an annual basis, sick leave per employee to an average of six hours less than that of the employees at downtown Denver where there was no health program. The results of the survey indicated that further monetary savings will be made as proper health habits emphasized through the program are established and followed.

With respect to the health facilities of a few operating agencies, the Public Health Service supervises the professional personnel. Approximately 48,000 federal employees benefit annually from the services of the Public Health Service in twenty-two agency health facilities and one infirmary. As an index of service, it may be pointed out that 71% of these employees made 210,000 visits for treatment and health guidance. Full advantage of the Employees Health Act of 1946 has not been taken by many federal agencies. The legal framework for service has been established, however, and it is to be expected that health programs for federal employees will continue to grow in scope and number.

In 1950, President Truman issued a policy statement on the subject of employee health. Specifically, the President stated:

> It will be the policy of the Administration at this time to provide health services in health rooms staffed with personnel qualified in public health work to as large a number of Federal employees as is reasonable and feasible to undertake in (1) metropolitan Washington, (2) those cities outside Washington which have large concentrations of Federal employees, (3) at industrial type installations or similar activities presenting abnormal health and accident risks to employees, and (4) at other locations where an agency employs a large number of personnel in a single building or an adjoining group of buildings.

At the same time the President encouraged federal agencies to consult with the U. S. Public Health Service on requirements for employee health programs, to contract with the Public Health Service in communities where the Public Health Service has adequate and accessible out-patient facilities, to arrange with other government agencies having medical departments to provide services (where Public Health Service facilities are not available), and to operate their own facilities where other federal medical facilities are not available. Furthermore, the President laid down certain basic principles to be applied in providing health services to federal employees. Thus, 300 employees in a single or an adjoining group of buildings constitute the minimum number to warrant the establishment of a health facility. The normal maximum permissible cost of a health facility is $8.00 per year per employee served.

In the President's opinion, as revealed in his statement, the services furnished should consist of (1) treatment for on-the-job illnesses which usually are administered by a physician or nurse without the need for extensive equipment, (2) pre-employment and fitness-for-duty examinations including urinalysis, blood test, and x-ray in cases where the services of a physician and the necessary diagnostic facilities are available, (3) recommendation of consultation between employees and private physicians and dentists of existing community resources and health counseling services, and (4) under certain circumstances, administration of treatment for illnesses under care of a private physician and which such physician requests, or consents to, in the interest of keeping the employee on the job. The President indicated that, after the type of health service outlined above had been extended as uniformly as possible to those agencies which need such service, consideration will be given to the justification for any additional health services consistent with existing budgetary limitations. The U. S. Public Health Service was directed to develop methods and standards for the guidance of federal agencies and provide advisory services to them upon request. Heads of all agencies were urged by the President to proceed in accordance with the above policy.

Later in 1950, a Conference on the Federal Employees Health Program was held to arouse agency interest in the President's program. Many agencies subsequently announced plans for providing professional medical services within the limits of available funds.

One pattern being followed by various agencies, including the Veterans Administration, is to improve health services to departmental employees in Washington with the plan of eventually expanding facilities to field activities.

In addition to the program for federal employees which has been authorized by the Federal Employees Health Act of 1946, many federal agencies have provided for the health of their employees by provision of chest x-rays on a periodic basis and by adoption of one or more phases of the plan for the promotion of the general health of employees, outlined previously.[5] Except in agencies having extensive medical programs already in existence, such as the Department of Defense, and in the absence of a program inaugurated under the Federal Employees Health Act, health services when available are usually offered, or at least coordinated, by the agency personnel office.[6]

Health Programs in State and Local Governments

Formal health programs administered by professional personnel and designed to promote and maintain the physical and mental fitness of public employees are the exception, rather than the rule, in state and local government. Dispensary facilities are woefully lacking. Occasionally a state or local unit provides chest x-ray service for its employees—as Connecticut and New York have done for state employees. Group health and group hospitalization plans are sponsored in a few states and localities. The fact remains, however, that most agencies give no more attention to the health of their employees than the setting aside of a room for rest for the employee who becomes ill on the job.[7]

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[5] Cooper, Joseph D., "Accident and Health Insurance for Federal Employees," *Personnel Administration,* May 1945, pp. 18–23; Bishop, E. L., "The Health and Safety Services of the Tennessee Valley Authority," *Public Personnel Review,* January 1943, pp. 9–16; U. S. Congress (House Committee on the Civil Service), *Health Programs for Government Employees,* Washington, 1945; Harvey, Verne K., "An Industrial Health Program for Federal Employees," *Industrial Medicine,* April 1945, pp. 340–342; Cronin, John W., *et al.,* "An Industrial Hygiene Mental Program for Federal Employees," *Public Health Reports,* November 1945, pp. 1323–1336.

[6] Dawson, A. Roy, *The Place of the Medical Unit in a Public Personnel Agency,* Chicago, 1938; Zimmerman, R. R., "The Place of the Health Program in Personnel Administration," *Proceedings of (1939) Annual Meeting of Civil Service Assembly,* Chicago, 1939; Federal Security Agency, Annual Reports.

[7] International City Managers Association, *Municipal Personnel Administration,* Chicago, 1947, pp. 241–246.

Safety Hazards

Similar to private industry, safety hazards are present in employment in the public service. The degree of hazard differs with the nature of the position and the duties to be performed. In fact, there are potential safety hazards associated with positions even of a sedentary nature. A file clerk or a clerk typist whose duties may be simple and routine becomes subject to physical danger when a telephone cord near her desk has become loosened or when a typewriter is not secured to the desk or when the top of a file case is piled with material. Moreover, various types of positions in government involve combinations of duties and responsibilites the performance of which inherently involves specific personal risk. The test pilot in a government-operated air facility and the municipal fireman are but two types of government employees who encounter danger in their daily work. The safety hazards present in some government positions are recognized as being so great that extra compensation is given to incumbents of these positions.

Accidents

Cost.—It is difficult to determine the actual cost of accidents in government because of the complexity of accident patterns and because of the presence of many hidden cost factors. Furthermore, the full impact of accidents is often not apparent because of the ineffectiveness of the administrative procedures for collecting statistics and for compiling pertinent accident data. Nevertheless, costs of accidents in government may be divided into two categories, namely, direct costs and indirect costs. A *direct cost* of an accident is regarded as the expense immediately attributable to it. Direct cost items include the value of sick leave granted to an employee because of an accident, compensation for injury and/or death, insurance premiums taken out to provide financial protection to the government jurisdiction against claims for accidents, expenses for first-aid and medical treatment, and the expenditures connected with the operation of a safety program. An *indirect cost* of an accident may be defined as the expense associated with an accident but not immediately attributable to it. Illustrations of indirect costs are the expenses to train replacements for injured employees, the value of the time lost by employees who were not themselves injured but whose work routine was interrupted by the accident,

breakage of tools and equipment, the value of material spoiled because of the accident, and expenditures necessitated by delay in normal work operations caused by an accident. Because of their nature, it is more difficult to determine indirect costs of accidents than direct costs. Nevertheless, indirect costs, too, are a drain on the appropriations of the agency concerned.[8]

Causes.—For purposes of discussion, causes of accidents may be broadly classified as environmental or human. An *environmental cause* arises from a work situation but is not directly the result of an individual's behavior. An environmental cause may be illustrated by a breakdown of a piece of machinery which results in injury. A *human cause* relates to failure on the part of an individual to perform an act in a reasonable or proper manner and may be illustrated by carelessness on the part of an employee who leaves an open elevator shaft unguarded. Frequently, however, it is difficult, if not impossible, to differentiate clearly between these two types of causes of accidents. Thus, the amount of illumination or the intensity of a sound may lower an employee's alertness and in turn condition him to err. Analyses of accidents in government show that both mechanical and human causes are frequently involved. With continuous improvement in the use of machines and development of more protective devices, consideration of the human element presents a greater challenge. The goal, however, is not to establish an artificial wall between the two types of causes but rather to recognize the presence of one or both types in a specific accident situation.

Responsibility for Safety

In public employment, responsibility for safety rests principally with top management, the first line supervisor, and the rank-and-file employee. Each sector of the agency organization must accept its part if a safe work environment is to prevail.[9]

The continuous support of *top management* in any agency is a prerequisite for a safe work environment. The head of the agency and his top advisors must be alert to the necessity for safe operations. Top management's interest arises not only from a human

[8] Magnusson, Leifur, *Workmen's Compensation for Public Employees,* Chicago, 1944; National Safety Council, *Public Employee Safety,* Chicago.

[9] Fisher, H. B., and W. J. Stephens, "Accident Prevention in a Public Utility," *Public Personnel Review,* April 1949, pp. 109–115; National Safety Council, *Industrial Safety and Health: A Bibliography,* Chicago, 1945.

relations viewpoint toward employees as individuals but also from the fact that since accidents are costly, accident control is a manifestation of intelligent administration. Top level support involves not only administrative backing for the efforts of supervisors and safety officials but it also means direct participation in, as well as adequate financial support for, the safety program. Where top management assumes its proper role toward safety, it exudes the conviction that safety is an important executive responsibility.

The *first-line supervisor* is a vital key in safety. It is he who directs the daily efforts of his employees and who knows of the intricate details involved in the work of his group. It is he who knows the strength and weaknesses—psychological as well as physical—of his individual employees. In a safe work environment, the supervisor does not have the fallacious attitude that accident prevention is the exclusive province of a safety office. By example, by good judgment, and by explicit direction the supervisor constitutes a significant influence on the safety consciousness or lack of safety consciousness on the part of his men.

The *rank-and-file* employee also has responsibility for safety. His carelessness and thoughtlessness—or his caution and thoughtfulness—are of immediate consequence in the work environment. Without the willing cooperation of the employee, safety plans of both top management and the supervisor are ineffective. Interest of employees in safety is often developed and maintained through the use of safety committees, safety posters, safety handbooks, safety meetings, safety training, and safety contests. Although the foregoing is not an all-inclusive list of successful approaches to the problem of sustained employee interest, these methods are used to advantage in government agencies.

Where government agencies and jurisdiction have established safety programs, the personnel office, operating through its own organization and through formal agency committees, frequently carries on a safety function as staff assistance. A safety branch of a personnel office may administer the safety program of the agency, in conformity with agency policies. Specifically, the safety branch serves as consultant to the division heads and supervisors in work situations regarded as hazardous and dangerous and recommends the proper course of action and caution. The safety branch may initiate action to stimulate and to maintain employee interest in safety and to obtain and to issue safety educational material. The

safety branch may conduct periodic safety inspections. Accidents may be investigated and remedial measures recommended by the safety branch which also may hold supervisory and employee safety meetings. Employee compensation cases resulting from injury or death sustained in line of duty are usually prepared and transmitted by the safety branch to the authority in the jurisdiction having cognizance over such cases.

In order to intensify the safety program on an agency-wide basis and to insure active cooperation of all operating divisions, an agency safety committee is often established. Agency safety committees are of two types: administrative and supervisory. The administrative type of agency safety committee usually consists of the personnel officer as chairman, the safety officer as secretary, and safety representatives from most or all of the divisions of the agency, appointed by the division head. The functions of this type of committee usually are to discuss and establish general safety policies on: (1) education, regulations, planning and designing for safety; (2) enforcement of safety regulations; and (3) coordination of all accident prevention and similar safety measures.

One of the techniques utilized to keep supervisors and employees continually informed of an agency safety program is the formation of a supervisory type of agency safety committee. In agencies having such a committee, all supervisors at each level of supervision are included in the committee system. Thus, the head of the agency meets with the heads of his line and staff divisions to discuss safety; the division heads meet with their branch heads; the branch heads meet with their section heads; and, in turn, eventually the first-line supervisors meet with their employees. Under this arrangement safety suggestions and ideas pass upward and downward in the organization's hierarchy. Under this arrangement, opportunity is provided for the supervisor and the employee to participate directly in the safety program.

The content of an effective safety program reflects the needs of the agency. Hence, the safety program for an agency whose personnel is primarily made up of clerks and typists differs from that for a government arsenal or gun factory.

Essentials of a Safety Program

Once the safety organization is formalized, the safety program involves three steps: (1) the establishment of mechanical safeguards

for machinery and equipment, (2) the adoption of general environmental safeguards, and (3) the execution of a plan of education.[10]

As a first step, machines and equipment which in themselves may be dangerous to life or limb are located. Once these machines or pieces of equipment are identified, steps are taken to establish appropriate mechanical safeguards through erection of protective devices, modification of operations, etc. In order to protect employees from hazardous aspects of the general work environment, care is taken to provide adequate environmental safeguards. Either type of agency safety committee is a convenient vehicle for promoting safety education. Frequently, in connection with the operation of an administrative type of agency safety committee, a system of subcommittees is established as part of the safety committee for the purpose of highlighting particular functions of a safety program. Hence, members of a safety committee may be given assignments on a subcommittee for inspections, on a subcommittee for fire prevention, on a subcommittee for education, or on a subcommittee for accident investigation. As a member of a subcommittee the individual committeeman is concerned with a particular phase of the program under the jurisdiction of the subcommittees; as a member of the safety committee, the individual committeeman participates in the promotion of agency safety rallies, safety contests, and educational programs devised to promote safety consciousness. Membership on a safety committee in government usually is rotated from among both the employees and supervisors of an agency. Other specific methods of providing safety education previously mentioned may be utilized by a safety committee to advantage.

Of common concern in most safety programs is preventive action recommended to reduce motor vehicle accidents and body injuries from handling material.

An agency may require an employee whose duties require him to drive an agency car to pass an agency examination before he is permitted to drive. Upon presentation to an agency examiner of a current driver's license from the state of residence and successful completion of a driver's examination given by the agency, a permit is issued by the agency examiner. This permit may be rescinded

[10] National Safety Council, *Current Safety Practices in Public Employment,* Chicago, 1949; Herrick, Carl E., "The USDA Safety Council," *Personnel Administration,"* November 1947, pp. 24–25; Hoover, Blaine, "A Safety Program in the Public Service Pays Dividends," *Public Personnel Review,* July 1942, pp. 210–217.

for cause at any time by the head of the agency. "Safe Driver" buttons and certificates are awarded chauffeurs for twelve months of driving without a preventable accident.

Under the program of various agencies, a wide assortment of protective clothing and equipment is available for hazardous occupations. The wearing of safety shoes is often mandatory for employees whose regular work calls for material handling. The use of gloves is often required when an employee is handling rough objects. Other work situations may require the use of additional protective equipment. Hence, safety goggles may be required to be worn whenever there is hazard to the eyes. Government agencies sometimes furnish protective equipment free of charge to employees.

Safety in the Federal Government

The Federal Interdepartmental Safety Council was created in 1939 by Executive Order 8071 to promote safety among federal agencies which were represented on the Council. The Council adopted Articles of Organization in 1940 and revised them in 1947. The Articles provided for an executive committee which was responsible for policy matters and broad safety problems and for a technical board to supervise divisions dealing with the execution of various activities of the Council. Divisions of the Council were Industrial, Motor Vehicle, Economic and Statistics, and Office and Laboratory. Special activities of the Council included surveys of agency safety hazards upon request, preparation of a safety journal, maintenance of accident statistics, and action as a clearing house on safety matters.

One of the significant contributions of the Council was the development of safety standards by divisions and committees of the Council. These standards were recommended by the Council for use of federal agencies and relate to: (1) safety organization, program, and personnel; (2) industrial operations; (3) construction; (4) storage and warehousing; (5) operations of motor vehicles; and (6) office hazards. Federal agencies found excellent assistance in these standards. In 1950, Executive Order 10194 abolished the Federal Interdepartmental Safety Council and established the Federal Safety Council in the Department of Labor. The function and activities of the former organization were transferred to the Federal Safety Council which began operation in 1951.

The Federal Safety Council consists of a representative of each federal agency responsible for establishing basic safety policies and procedures. The Council advises the Secretary of Labor with respect to the development of effective safety organizations and programs in federal agencies and with respect to criteria and procedures intended to eliminate work hazards and health risks and to prevent injuries and accidents in federal employment. The Council also offers consultative services to federal agencies. There are six technical divisions within the Council, namely, (1) programs and services, (2) training and education, (3) accident records, (4) motor vehicle and traffic safety, (5) ocupational, and (6) field councils. Within the framework of each division, project groups carry out specific safety assignments.

A survey of safety programs in individual federal agencies indicates that there are specific characteristics associated with effective programs. Although these elements are not found in every successful safety program, they are nevertheless representative of the majority of such programs. These characteristics are: (1) the safety program is geared to the needs of the agency; (2) top management participates actively; (3) a safety office furnishes staff leadership; (4) an aggressive supervisory training plan is in operation; (5) an administrative type of agency safety committee meets regularly; and (6) a supervisory type of agency safety committee meets periodically. It appears that, where an agency seeks to conserve manpower and material through reliance upon a broad safety program, occupational emergencies and disease are reduced, and damage and destruction to property and equipment are greatly lessened.[11]

One federal agency which has been giving increasing emphasis to safety is the General Services Administration. The Administrator gave responsibility for the creation and administration of an accident and fire prevention program for the agency to the Public Buildings Service in 1950. A safety, fire prevention, and protection branch has been established to coordinate the program at the departmental level; in field activities, regional directors have given this responsibility to a deputy director and the chief of the Building Management Division. Regional safety and fire prevention engi-

[11] See, for example, Herrick, Carl E., "The U.S.D.A. Safety Council," *Personnel Administration,* November 1947, pp. 24–25, and Wheeler, Earl G., G. Russell Cotner, and Seth Jackson, "Agriculture Speaks on Safety," *Personnel Administration,* September 1951, pp. 22–23.

neers carry on the program in various regions and act as staff advisors to supervisors. The objective of the program is to eliminate or control accident, fire, and occupational health hazards.

There are three different types of inspection carried on in the safety program of General Services Administration: an initial survey by the regional safety and fire prevention engineer; periodic inspections by supervisors; and special inspections of hazardous areas and operations.

At each field unit where there are at least fifty employees, a safety committee is organized; these committees are composed of first-line supervisors and employee representatives. Where there are fewer than fifty employees, the safety officer carries on the program. However, supervisors are charged with the responsibility for carrying out all phases of the safety program as applied to their operations. Safety branch personnel develop standards and furnish technical assistance. Top management supports the program well.

In the General Services Administration, safety branch personnel work closely with personnel of the employment branch with respect to the selection and placement of employees according to their physical conditions, skills, etc. Training in accident and fire prevention is integrated into the training programs conducted for various occupations. In addition to safety emphasis in the orientation talk for new employees, supervisors are required to hold fifteen-minute safety meetings at least once a week. First-aid courses are offered and, to employees who qualify, American Red Cross first-aid certificates are given. Employees are encouraged to offer suggestions for improving accident and fire prevention goals through participation in the awards program.

Safety in State and Local Governments

A few state and local governmental units have safety programs in individual agencies having a preponderance of occupational hazards (such as a highway department). The overwhelming majority of government jurisdictions, however, at the state and local levels do not have an adequate safety program for their employees. Safety consciousness and the responsibility of top management, of the supervisor, and of the rank-and-file employee for safety have not permeated state and local government structure to the degree that it has in industry. For example, the National Safety Council recently estimated that, in eight large cities, the average frequency

of lost-time injuries was 30.7—a rate nearly triple that in comparable occupations in private industry. Some administrators feel that the absence of the profit motive in government and the indirect nature of many accident costs are among the chief reasons for indifference toward safety in government agencies. It seems reasonable to expect, however, that government should set an example by establishing progressive safety programs for its own employees. This belief is particularly applicable to the state level in view of the state's responsibilities for safety of workers in private industry.[12]

Recent experience in San Diego, California, points up the beneficial result of a continuous safety program. There, the Public Works Department reduced the number of lost-time injuries from 82.3 per million man-hours of exposure to 21.5 during a five-year period. A common phase of a safety program adopted by many state and local agencies pertains to safety training for drivers of government vehicles. For example, in Cincinnati a safety school is maintained for drivers of municipal vehicles. The training course includes a diagnostic road test and classroom instruction. A special electrically driven chassis is set up in order that each employee in the course may observe results of his driving. A written test is given at the end of the session to measure improvement in safe driving habits.

The experience of the city of Schenectady, New York, illustrates positive action which has been taken at the local level in the matter of safety on the part of drivers of municipal vehicles. An Accident Review Board fosters driver safety consciousness through an incentive program. A certificate is awarded to each municipal driver who has no accident for six months; a safe driving button is given for two successive six-months-no-accident periods; in addition, half days off are given to drivers who receive buttons. The safety program also includes the use of safety films, lectures, and bulletin board posters. Prompt appraisal is made of accident reports shortly after an accident, and appropriate action as suggested by the appraisal is taken. New and old drivers are given rigid physical examinations. Statistics prepared after a trial of the safety program

[12] Lutz, Carl F., and William Y. Conrad, "A Municipal Vehicular Safety Program," *Public Personnel Review,* April 1950, pp. 92–95; Ohio State Department of Highways, *Safety Code for Employees,* Columbus, 1944; N. Y. City Budget Bureau, *Accident Control Program,* New York, 1949; International City Managers Association, *Municipal Year Book 1952,* Chicago, 1952, p. 449; *Municipal Personnel Administration,* Chicago, 1947, pp. 246–248.

have indicated to municipal officials that the emphasis placed on the safety factor is producing beneficial results.

Compensation for Injury

Associated with a safety program is consideration of compensation for an employee who is a victim of an accident while he is engaged in the performance of his official duty. Compensation for injury or death incurred in line of duty was initially provided for civilian employees of the federal government by the Federal Employees Compensation Act of 1916.[13] Until 1946 administration of the act was the responsibility of the United States Employees Compensation Commission, an independent agency. Under a reorganization plan promulgated by the President, however, the functions of the Commission were transferred to the Federal Security Agency and the Commission was abolished, effective July 16, 1946. On that date the Federal Security Administrator created the Bureau of Employees Compensaton, under his direction to perform the functions of the Commission.[14] The protection provided by the act, as amended in 1949,[15] is the most extensive of any similar program applicable to public employees at any level of government.

Under the act, as amended, an employee who sustains injuries while in the performance of duty chooses either to be placed on annual and/or sick leave allowable or to submit an immediate claim for compensation for disability sustained as a result of the injury. (See Fig. p. 415, Appendix.) The employee is carried on leave without pay for three calendar days as a waiting period before compensation under the act may commence. If an employee is placed on leave without pay pending approval of his claim for disability compensation, such period of leave without pay may be retroactively covered by accumulated and accrued annual and/or sick leave to the employee's credit, if the claim is disallowed by the Bureau of Employees Compensation.

An employee injured in the performance of his duty (or someone acting for him) must, within forty-eight hours after the injury, give written notice to his immediate supervisor on a form, "Employee's Notice of Injury or Occupational Disease." Unless notice

[13] 39 Stat. 743.

[14] For amplification of the reorganization process, see Torpey, William G., "Executive Reorganization Within the Federal Government," *Minnesota Law Review*, February 1947, pp. 263–277.

[15] 63 Stat. 854.

is given within the time specified or unless the immediate supervisor has actual knowledge of the injury, compensation may not be paid.

Whenever an employee, as a result of injury in the performance of duty, is disabled with loss of pay for more than three days, or is permanently disabled without loss of pay, he has a right to file a claim for compensation. The form used for this purpose, "Claim for Compensation on Account of Injury," is executed by the injured employee (or someone in his behalf) and submitted to the Administrator of the Federal Security Agency. A claim for compensation may be submitted at termination of disability if the duration of disability is less than eighteen days, or at the expiration of eighteen days from the date pay stops, if disability continues beyond that date. In any event, the claim must be submitted within sixty days after the injury or within one year after death.

The Employees Compensation Act describes the circumstances under which an employee may receive treatment for injury at the expense of the government. For any injury sustained by an employee while in the performance of duty, whether or not disability has arisen, the federal government must furnish to the employee all services, appliances, and supplies prescribed which are likely to cure or to give relief or to aid in lessening the amount of the monthly compensation. Such services, appliances, and supplies must be furnished, if practicable, by or upon the order of United States medical officers and hospitals. Where the furnishing of these services or items is not practicable, they are furnished by or upon the order of private physicians and hospitals designated or approved by the Bureau of Employees Compensation. The employee may be furnished transportation and may be paid all expenses incident to the securing of such services and items which are necessary and reasonable. The act permits the Administrator of the Federal Security Agency to authorize federal agencies to provide for the initial furnishing of medical and other benefits specified in this paragraph.[16]

In the instance of total disability, the disabled employee receives as basic compensation a monthly amount equal to 66⅔% of his monthly pay. Compensation is payable during the period of total

[16] U. S. Employees Compensation Commission, *Medical Facilities Available to Employees of the United States Government Injured in the Performance of Duty under Federal Compensation Act of September 7, 1916,* Washington, 1944, and subsequent

disability. If the loss of wage earning capacity is permanent, compensation is payable until death. In the instance of partial disability, the employee is paid, during disability, as basic compensation, a monthly amount equal to 66⅔% of his monthly pay for specific periods, depending upon the nature of the disability. While the disabled employee has one or more dependents, his basic compensation for disability is increased.

In the instance of death resulting from injury sustained in line of duty, the compensation is computed according to the monthly pay of the deceased employee. The following persons are paid a monthly compensation equal to the specified percentages of the deceased employee's monthly pay:

(a) To the widow, if there is no child, 35% of the monthly pay, payable until her death or remarriage.

(b) To the widower, if there is no child, 35% if wholly dependent for support upon the deceased employee at the time of death, payable until his death or remarriage or until he becomes capable of self-support.

(c) Children—to the widow or widower, if there is a child, 35% plus 10% for each child, not to exceed a total of 66 ⅔%; payable until child dies, marries, or reaches the age of 18, or, if over 18 and incapable of self-support, becomes capable of self-support.

(d) Orphan children—to the children, if there is no widow or widower, 25 % of the monthly pay for one child and 10 % for each additional child, not to exceed a total of 66⅔% of the employee's monthly pay, divided among such children share and share alike (duration of payments is the same as under (c) above).

(e) Parents—to the parents, if one is wholly dependent for support upon the deceased employee at the time of his death and the other is not dependent to any extent, 25%; if both parents are wholly dependent, 20% to each; if one parent is, or both are, partly dependent, a proportionate amount in the discretion of the Administrator is paid. The foregoing percentages are paid if there is no widow, widower, or child. Should there be a widow, widower, or child, then there is paid so much of the above percentages, as, when added to the total percentages payable to the widow, widower, and children, will not exceed a total of 66⅔%.

In the majority of jurisdictions at the state and local level, no formal compensation plan exists for employees who sustain injuries on the job. In a few states the provisions of state law covering in-

dustrial accidents in private employment are applied to on-the-job accidents incurred by public employees in state and local employment. Where consideration is given at the state and local level to an employee involved in an on-the-job accident, a frequent approach is extension of annual or sick leave through the period of incapacitation.[17]

Problems of Administration

Among the problems associated with the administration of the health and safety functions, the following call for special attention:

Lack of health and safety consciousness.—There is a distinct lack of health and safety consciousness among personnel in government. A negative attitude toward health and safety programs and lack of administrative support are by-products of this lack of health- and safety-mindedness. Gross indifference to health and safety is often found at all levels of supervision in an agency as well as among the employees themselves.

Greater stress must be placed on the relationship between the normal behavior of employees and the aspects of job performance. Health and safety of employees may be improved by relating routine and mechanical performance to human performance. In other words, machines and places of work and organization charts should not only be set up functionally but they must be also psychologically and physiologically adapted to the employee if losses due to impaired health and accidents are to be kept to an absolute minimum. An aggressive training plan which reaches out to the whole organization constitutes a basic method to stimulate official consciousness. In various ways employees and supervisors alike need to be constantly reminded of the need for health and safety programs if interest in these programs is to be sustained.

Improper dissemination of available data.—Available data concerning values of a health program and the causes and control of accidents are not adequately disseminated. Such material is found in several technical magazines, in special studies, and in various professional reports. However, there is no effective clearing house through which developments in government in these areas are recorded. As a result, government agencies disposed to establish such

[17] See individual issues of National Safety Council, "Public Safety," Chicago, and U. S. Department of Labor, "Safety Standards," Washington.

programs often find it difficult to obtain the benefits of recent studies which have been made.

There is need for the establishment of a central organization which would seek to maintain current status of research projects in health programs and in accident prevention carried on in government jurisdictions. This organization should maintain a record of the progress made in these areas in various jurisdictions and promote the transmission of such information among government agencies.

Insufficient accident data.—When an accident occurs, in many jurisdictions little or no effort is made to obtain adequate data concerning the circumstances surrounding the accident. In some cases, only the immediate supervisor and often only the employee are aware of the accident; written reports are omitted and the incident is considered as an isolated happenstance to be soon forgotten or ignored.

The responsibility of management for the safety of its employees demands that all levels of supervision and all employees be made aware of the necessity of reporting accidents as promptly as possible after they have occurred. The development and regular use of accident-reporting forms are essential. The study of accident-report forms to ascertain that all significant factors involved in accidents, especially those factors which may be peculiar to a type of work, are elicited by the form is a recurrent assignment for safety officials.

Need for constant attention.—There is a need for constant attention for health and safety factors in the construction of structures, the physical arrangement of office desks and furniture, and the setting up of machinery and equipment. Carelessness, haste, and indifference on the part of individual construction and building maintenance employees endanger the lives of public employees and appear among the major causative factors for health impairment and for accidents.

Necessity for speed in erecting or remodeling public buildings or the demands to utilize machinery and equipment must never be permitted to blur health and safety factors. A work environment free from undue health and safety hazards and machinery and equipment having safety controls should always predominate. As health and safety become a basic consideration in every construction and building maintenance project, the incidence of health impairments and the frequency rate of accidents are reduced in the agency.

Lack of standardization.—Methods to determine accident costs are not standardized. The use of different cost appraisal methods among agencies and jurisdictions results in statistical conclusions which may pertain to successive accidents or successive periods of time in one agency but which cannot be used for comparative purposes with agencies of the same jurisdiction or other jurisdictions. As a concomitant to this lack of standardization, the full impact of accident costs is not properly understood in numerous jurisdictions.

Efforts should be made by agencies to make greater use of objective indices for evaluation of accident costs. Consistency of definition of factors must be observed. Many jurisdictions can profit by giving attention to cost analysis methods used by industry. Cost studies based upon subjective analysis become meaningless, even when used in the same agency.

Lack of staff responsibility for health and safety activities.—In many jurisdictions no staff office has responsibility for the health and safety of agency employees. In such cases, the employee is protected only to the extent that supervisors are aware of their obligations in this respect. In some jurisdictions, staff attention to health and safety—either separately or together—is provided and staff responsibility is assigned to an administrative office other than the personnel office; in these instances there may or may not be coordination with the personnel office. In other jurisdictions, the personnel office is charged with staff responsibilities for health and safety.

Management of every agency should recognize its responsibility for safeguarding the health and safety of its employees. These factors are so intimately related to other aspects of administration that they should be made part of the formal responsibility of an administrative office. In many agencies, because of organizational structure, programs, etc., this responsibility may be most effectively exercised in an administrative office independent of the personnel office; in such cases, coordination with the personnel office is essential. In other agencies, staff responsibility for health and safety may be most efficiently exercised by the personnel office. Associated as health and safety are with the psychological and physiological nature of the individual, in any event, health and safety programs, to be successful, must be distinctly related with such functions as placement, training, and employee utilization in order that maximum effectiveness may be obtained.

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CHAPTER 9

Employee Conduct

In the public service, the behavior of employees both during working hours and outside of working hours is a matter of official cognizance. Suitability for employment, from the point of view of an individual's character and actions, is, in many jurisdictions, as essential as proficiency in specific work operations. This chapter deals wth situations with respect to which the conduct of government employees is often given careful scrutiny.[1]

GRIEVANCES

Over a period of time it is logical to expect that dissatisfactions will arise among employees. The execution of individual personnel functions sometimes causes dissatisfactions; thus, an efficiency rating may be lower than the employee believes he deserves or the allocation of a position may cause resentment on the part of an employee. Formal appeal procedures are frequently established to enable employees to initiate appeals from individual personnel transactions. However, not all dissatisfactions are the result of the execution of individual personnel functions; some are based on various aspects of a work situation, such as a particular decision of an immediate supervisor, and are called grievances. *A grievance is a complaint personal to an individual employee, the solution of which normally affects only the individual employee.*

Grievances may be considered within an agency, as the supervisor sees fit, without regard to any formula or plan, or they may be handled under a formal grievance plan. The value of a formal procedure lies in official recognition that misunderstandings do occur from time to time and in the opportunity every employee has to "air

[1] Metz, Harold, *Labor Policy of the Federal Government,* Washington, 1945; Graves, W. Brooke, *Public Administration in a Democratic Society,* Boston, 1950, pp. 198–204; American Academy of Political and Social Science, *The Annals: Ethical Standards in American Public Life,* March 1952.

his difficulty" with the purpose of arriving at a satisfactory adjustment with a minimum loss of time and effort. Where formal grievance plans do exist, management has the twofold responsibility to train supervisors to be sympathetic to the objectives of such a system and to the employees who utilize the system and to establish methods whereby grievances can be adjusted promptly. Under a grievance plan, employees also have a twofold responsibility to present the facts as they honestly see them and to make any complaint in good faith.

Some jurisdictions and agencies have created a series of successive steps to be followed under a grievance plan. The initial step is discussion by the first line supervisor with the employee who presents his grievance. (See Fig. p. 416, Appendix.) If the complaint is not settled during the first step, the head of the line unit in the agency in which the employee works hears the grievance and renders a decision. If the employee is not satisfied during this step, he is usually permitted to take his case to the head of the agency where further consideration is given to the complaint. If the employee is still not satisfied, the final step in several jurisdictions is referral of the case to an independent body within the jurisdiction, such as the central staff personnel agency or special appeal board. Generally, an employee is required to pursue his grievance in the order outlined above. The usual function of the agency personnel office in a grievance case is to render consultative service to all interested parties (supervisors as well as employees), to advise on appropriate procedures, and to ascertain that such procedures are followed. It is not considered proper for officials of an agency personnel office to act either as a judge or jury in a grievance case; otherwise, the responsibility of the supervisor may be weakened.

Employee Organizations

A variety of factors have promoted the growth of employee organizations in government. First, certain activities of an industrial nature characteristically unionized and formerly carried on by private enterprise (such as a public transportation system) are now carried on by government. Second, a period of rising prices may squeeze take-home pay to such an extent that higher wages become an absolute necessity: overdue pay increases may promote group activity. Third, organizing efforts among government employees have been intensified by labor unions during the past decade. Fourth, a de-

sire of employees to obtain specific rights, such as freedom from politics and impartiality of treatment, has developed among numerous groups of public employees. Finally, the existence of grievances in jurisdictions with no opportunity for employee redress makes employees group conscious and facilitates organization.

One attitude of management permits the formation of an employee organization in an agency or jurisdiction without difficulty. Under this attitude, the formation of such an organization is considered a means by which employees may indicate their opinions on matters of general employment. Another attitude prevailing in other jurisdictions seeks to ban employee organizations completely. In any event, it is usually agreed that the right to form an association does not include the right to obtain a fixed contract. In many units of government employees are permitted to associate for the purpose of discussing common problems; in such instances, top management and first-line supervisory officials often exhibit sympathetic cooperation as long as the group does not oppose the public interest.[2]

The form of an employee organization depends upon a number of conditions such as the particular government function in which the employees are engaged, the exact type of work performed, the origin of the group, and tradition. At present, there are four main forms of employee organization in government: (1) an organization without affiliation with any other group, operating in one government jurisdiction; (2) a local which is one of many in a larger employee organization, operating in only one function of government; (3) a local of an interdepartmental organization of government empoyees; and (4) a local of an organization not restricted to government employees. Examination of current employee organizations in the public service indicates that there is no standard form. A prevailing official attitude, however, is that outside affiliation should be banned where there is danger of partisanship or of impaired public confidence in the employee organization.

The composition of an employee group may be a matter of considerable significance. In some jurisdictions, the question of com-

[2] Spero, Sterling, *Government as Employer,* New York, 1948; Magnusson, Leifur, *Government and Union-Employee Relations,* Chicago, 1945; Magnusson, Leifur, and H. Feldman, "Public Employees and Unions," *National Municipal Review,* April 1946, pp. 161–165; Symposium, "Labor Union and Collective Bargaining," *Public Administration Review,* Autumn 1945, pp. 373–379; Symposium, "Have Public Employees the Right to Strike?" *National Municipal Review,* September 1941, pp. 151–158; Kaplan, Eliot, "Public Employee Relationships," *Civil Service Law Reporter,* October 1951, pp. 92–98.

position of an organization revolves around industrial unionism versus craft unionism. A single group of employees in a unit or jurisdiction does not necessarily determine the composition of the group. Criteria for determination of ultimate composition may be tradition, occupational distinctions, and differences in responsibility of allied employees. The optimum composition of an employee organization seems to be that which is most efficient for the management of employee relations.

President Franklin D. Roosevelt in 1937 described the circumscribed nature of agreements made by government as an employer and an employee organization. Specifically he stated:

> Meticulous attention should be paid to the special relationships and obligations of public servants to the public itself and to the Government. All government employees should realize that the process of collective bargaining, as usually understood, cannot be transplanted into the public service. It has its distinct and insurmountable limitations when applied to public personnel management. The very nature and purposes of Government make it impossible for administrative officials to represent fully or to bind the employer in mutual discussions with Government employee organizations. The employer is the whole people, who speak by means of laws enacted by their representatives in Congress. Accordingly, administrative officials and employees alike are governed and guided, and in many instances restricted, by laws which establish policies, procedures, or rules in personnel matters.[3]

Under President Roosevelt's concept, which has been widely proclaimed, a governmental jurisdiction may negotiate to the point of reaching an agreement, but the resulting terms do not in themselves constitute a formal contract. Jurisdictions either in their legislative bodies or in their chief executives retain power over items covered in an agreement. In reality, an agreement between a government unit and an employee organization is usually construed as a cooperative arrangement which government is willing to accept.

A question sometimes arises over a requirement that employees must become members of a group organization once an association is established in a jurisdiction. If membership in a group organization can be made a requirement for employment, a government unit might logically be forced to ascertain that no arbitrary factors, such

[3] Letter to Mr. Luther C. Steward, President of the National Federation of Federal Employees, dated August 16, 1937.

as religion, nationality, or race, were criteria for membership. The democratic principle of opportunity for all to enter the public service includes the right of an individual as an employee or prospective employee to refuse to become a member of an employee organization if he so chooses.

Association with the development of employee organizations is the allegation of the right to strike against a unit of government by part or all of its employees. Advocates of the right of public employees to strike claim that the strike technique may be used to obtain specific improvements in employment conditions. These advocates, however, overlook the fact that the relationship between government as an employer and its workers is singularly unique and, as such, does not permit one group of citizens to challenge its authority. Realization of this unique relationship makes it incumbent upon personnel officials to formulate a progressive personnel program which includes adequate machinery for employee grievances.[4]

The development of employee organizations in the federal government has been closely allied with the general labor movement in the United States. Federal employees in the skilled and semi-skilled trades joined unions near the end of the nineteenth century. The first employee organization composed solely of government employees was the National Association of Letter Carriers, formed in 1889. The National Association of Post Office Clerks was created in 1890. With the exception of unions for various types of employees in the Post Office Department, the formation of employee organizations for federal employees started in 1917 with the establishment of the National Federation of Federal Employees. Although initially affiliated with the American Federation of Labor, the National Federation withdrew from the A. F. of L. in 1931; in 1932 the American Federation of Labor chartered a new group, the American Federation of Government Employees. In 1937 a third organization, the United Federal Workers of America, was established by the Congress of Industrial Organizations. In 1946 the United Federal Workers of America merged with the State, County and Municipal Workers of America and became the United Public Workers of America, an affiliate of the Congress of Industrial Or-

[4] For more detailed information on this subject, see Torpey, William G., "They Shall Not Strike," *Minnesota Municipalities,* January 1947, pp. 17–19, and unsigned, "Can Public Employee Strikes Be Avoided?" *Good Government,* May–June 1951, pp. 29–30.

ganizations. In 1948, out of the United Public Workers of America, arose a new organization for federal employees, the Government Workers Union, C.I.O. affiliate.

In particular agencies, employee organizations like the National Customs Service Association in the Treasury Department have been formed for specific occupational groups. The largest employee organization in the federal government presently is the National Federation of Federal Employees. The postal employee groups, however, constitute the largest number of employees of any one agency. The four key postal unions (all affiliated with the American Federation of Labor), together with the National Federation of Federal Employees, make up the National Legislative Council of Federal Employee Organizations, the most powerful combined group among federal employees.

At the state and local levels separate employee organizations for government employees generally have not existed. In 1936 the American Federation of Labor established the American Federation of State, County and Municipal Employees. In 1937 the Congress of Industrial Organizations set up the State, County and Municipal Workers of America. Later, the latter group was merged with the United Federal Workers to become the United Public Workers of America (C.I.O.). In addition to the above groups, employee organizations for employees in particular occupations or in individual agencies are in operation. Aggressive employee organizations for state employees are in existence in California, Massachusetts, New York, Ohio, Pennsylvania, and Wisconsin.

Employee oranizations have grown tremendously at the local level during the past fifteen years. An indication of growth may be derived from the Municipal Year Book (1952) which relates that 910 cities out of 1346 cities having more than 10,000 population have employees who belong to one or more employee groups. The predominant organization among employees of local units is the American Federation of State, County and Municipal Employees. Employee organizations at the local level are influential in many localities, such as Milwaukee, Detroit, and New York City. At the local level an employee organization without affiliation is typified by the Los Angeles city employees' association. A local which is one of many in a larger organzation, operating in only one function of government, may be illustrated by a local unit of the International Association of Fire Fighters, belonging to the American

Federation of Labor. A local of an interdepartmental organization of government employees is the American Federation of State, County and Municipal Employees. A local of an organization not restricted to government employees is illustrated by a local unit of electricians.

A summary of the extent of employee organizations at the local level is as follows:

ORGANIZATIONS OF LOCAL EMPLOYEES IN CITIES OVER 10,000 POPULATION
(*From Municipal Year Book 1952*, p. 139)

	No. of Cities in Group	*Cities with Employees in One or More Organizations*	
Cities over 500,000	18	18	100%
250,000 to 500,000	23	20	87%
100,000 to 250,000	65	64	99%
50,000 to 100,000	128	120	94%
25,000 to 50,000	275	222	81%
10,000 to 25,000	837	466	56%

Although most government employee organizations have a "no-strike" provision in their constitutions, employees of local units of government who are organization members have gone on strike, with or without permission of the local union. Strikes have even involved cessation of work by policemen and firemen. Legislatures in ten states have passed laws prohibiting strikes of public employees at the local as well as the state level. For example, New York State in 1947 passed legislation prohibiting employees from striking. Penalty for striking in New York is denial of wage increases for three years and of civil service tenure for five years. The City of Yonkers made initial application of the law in 1949 when the names of 529 public works department employees who remained away from their positions for eight days on a work stoppage were certified to the State Civil Service Commission as violators of the state law. Laws identical to the New York legislation were passed also in 1947 by the legislatures of Pennsylvania and Michigan.

Political Action

Impartiality in a civil service system necessitates the denial of certain political action on the part of employees whose positions are covered by the system. Obviously if civil service employees are permitted to become active in political party work, objectivity of administration is impossible of attainment. In many jurisdictions, such actions of civil service employees as accepting membership on

party committees, accepting appointment as a committee member of a political group, performing service as a manager of party affairs, campaigning for a party and becoming a candidate for public office while the employee continues in civil service employment are usually prohibited. Of course, in these jurisdictions, the employee under a civil service system has a right as a private citizen to express his political opinion and to vote; however, he is forbidden to participate actively in politics.[5]

The broadest restrictions on political action on the part of government employees are found at the federal level of government. The **Political Activities Act of 1939,**[6] as amended, known as the Hatch Act, forbids employees in the executive branch of the federal government (with certain specific exceptions such as heads of departments, ambassadors, etc.): to use official authority or influence to interfere with an election or to affect its results and to take an active part in political management or political campaigns. It must be emphasized, however, that both the Political Activities Act and the related federal civil service rule on the subject retain for employees the right to vote for whomever they wish and the right to express their opinions on all political subjects.

Each federal employee is individually responsible for refraining from the prohibited action. It is presumed that he is acquainted with appropriate legal restrictions. His ignorance of what constitutes a prohibited political action does not excuse a violation on his part. Hence, if a federal employee does not know whether a specific political action is prohibited, he should consult the United States Civil Service Commission before engaging in the action.[7]

Political action which is forbidden to a federal employee as an individual is also prohibited to an employee who is in open or secret cooperation with others. An employee prohibited from performing political actions while on active duty is liable for such behavior while he is in a leave status. Furthermore, an employee is not permitted to take leave, with or without pay, in order to work with a political group or to become a candidate for office on the assumption that he will relinquish his position if he is nominated or elected.

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[5] Vaughn, Howard L., "Federal Restrictions Upon the Political Activity of Government Employees," *American Political Science Review,* June 1941, pp. 470–474.

[6] 53 Stat. 1147.

[7] U. S. Civil Service Commission, *Federal Personnel Manual,* Washington, ch. C2, pp. 3–14.

The basic prohibitions of the Political Activities Act may best be illustrated by reference to rulings which have defined areas of circumscribed political activity. Thus, for the federal employee, prohibited political behavior includes: (1) candidacy for, or service as, a delegate, an alternate, or a proxy in a political convention; (2) service as an officer or employee at a political convention; (3) service in preparing for, organizing, or conducting a political meeting, addressing such a meeting or taking part in such a meeting except as a spectator; (4) candidacy to hold an office of political committeman; (5) service on or for any political committee; (6) service as a delegate from a political organization to a league of political clubs; (7) partisan political service such as transporting voters to and from the polls (whether with or without pay); (8) candidacy for nomination or for election to a national, state, county, or municipal office; (9) writing for publication or publicity any letter or article in favor of or against any political party, candidate, or faction; (10) distribution of campaign literature and badges: (11) participation in or helping to organize a political parade; and (12) offensive activity at primary and regular elections. The foregoing actions do not constitute an all-inclusive list. Each case involving restricted political activity under the Political Activities Act of 1939, as amended, is decided on its merits by the U. S. Civil Service Commission, in the light of the principles of the act.[8]

The penalty for a federal employee who is found guilty of violating the restriction of the Political Activities Act of 1939, as amended, and the related civil service rule ranges from a suspension of not less than ninety calendar days to removal from position. If a federal employee is removed, he is ineligible for re-employment in any position the salary of which is payable from the same appropriation as the position from which he was separated. In cases where an employee is removed, the Civil Service Commission may set a fixed period of debarment during which the employee, separated under the act, may not be selected for any federal position subject to the Commission's authority.

In addition to restrictions on political activity by federal employees by the Political Activities Act, certain other limitations on

[8] U. S. Civil Service Commission, *Hatch Act Decisions,* Washington, 1949; Mosher, Lester E., "Government Employees Under the Hatch Act," *New York University Law Quarterly Review,* April 1947, pp. 233–264; U. S. Civil Service Commission, *Political Activity of Federal Officers and Employees,* Washington, 1951; Heady, Ferrel, Jr., "The Hatch Act Decisions," *American Political Science Review,* August 1947, pp. 687–699.

political activity are imposed by other federal acts and rules. Included in this latter category are prohibitions against (1) directly or indirectly soliciting or receiving an assessment, subscription, or contribution for any political purposes, (2) the purchase and sale of public office, and (3) political discrimination. Certain political activities constitute federal criminal offenses. Among such actions are (1) intimidating voters in federal elections, (2) using official authority in interfering with federal elections, (3) promising federal employment or any benefit from federal funds in return for political support, (4) depriving a person of employment because of political activity, (5) using federal funds appropriated for public works in such a manner as to interfere or coerce individuals in the right to vote, and (6) soliciting or accepting pay for a vote or for withholding a vote. Laws embracing criminal offenses in this area are enforced by the Department of Justice.

Under the **Political Activities Act of 1950,** as amended, the U. S. Civil Service Commission is authorized to issue regulations under which employees living in particular municipalities may engage actively in local political management and political campaigns. The municipalities for which such regulations are promulgated are those in the immediate vicinity of the District of Columbia, in Maryland and in Virginia, and those the majority of whose voters are employed by the federal government. By 1952, the Commission had extended the privileges of this section of the act to forty-four communities in Virginia and Maryland and to six other communities. The Civil Service Commission may suspend or withdraw the permission which it has granted to any particular community when, in the Commission's opinion, the activities resulting from granting the permission are or may become detrimental to the public interest.

Active participation in local self-government by federal employees, when permitted by the Civil Service Commission, is subject to specific conditions. In such cases (1) a federal employee must not neglect his official duties; (2) he must not engage in nonlocal partisan political activities; (3) he must not run for local office as a candidate representing a political party; (4) he must not become involved in political management in connection with the campaign of a party candidate for office; (5) if a candidate for local elective office, he must run as an independent candidate and must conduct his campaign in a nonpartisan manner; (6) if elected or appointed to a local office requiring full-time service, he must resign his position

with the federal government; and (7) if elected or appointed to an office requiring only part-time service, he may accept such office without relinquishing federal employment, provided the holding of the part-time office does not conflict or interfere with his duties as a federal employee.

Sixteen states (Alabama, California, Illinois, Indiana, Kansas, Maine, Michigan, Minnesota, Missouri, New York, Ohio, Oregon, Pennsylvania, Rhode Island, Tennessee, and Wisconsin) forbid the solicitation among employees of funds for political use. All of the above states except Oregon, Rhode Island, and Tennessee also ban employees from making political contributions. It should be pointed out that, in some states, state officers are required to deny entry of solicitors for political party purposes into their offices. Twelve states (Alabama, Colorado, Connecticut, Georgia, Kansas, Michigan, Minnesota, Missouri, Ohio, Oregon, Pennsylvania, and Tennessee) prohibit employees from serving as members of political party committees or from holding political party positions.

At the local level of government, civil service laws and regulations restrict in varying degrees the political action of employees in the classified service. In many local jurisdictions, employees in the classified service are specifically forbidden to give, to solicit, or to receive, any assessment, subscription, or contribution for any political party or for a candidate for any office. Furthermore, in certain jurisdictions, an employee who has supervison of a building or room utilized for any government purpose is prohibited from authorizing an individual to enter in order to solicit political contributions. Generally, a state or local government employee in the classified service cannot be separated, demoted, or promoted for giving or withholding a contribution for a political purpose.

Many state and local jurisdictions forbid their employees in the classified service (1) to act as an election officer, (2) to serve as an officer in a political organization, (3) to obtain political support for a political party or candidate, (4) to act as a witness during the counting of election ballots, (5) to assist in making preparations for organizing or conducting of political meetings, (6) to make a speech at a political meeting, and (7) to take any part in a political meeting other than as a spectator.[9]

[9] International City Managers Association, *Municipal Personnel Administration*, Chicago, 1947, pp. 257–258.

At the state and local levels of government, political action on the part of government employees outside the classified service appears to be a prevalent practice. Only in the classified service at these levels of government have serious efforts been made to restrict political activities of government employees.

Discrimination

Federal employees, as well as state and local government employees, in the classified service are generally forbidden to discriminate against, or in favor of, any applicant or employee in the competitive service because of his political opinions or affiliations (except as may be authorized or required by law). In this connection, the ban on political discrimination may extend to the making of appointments, promotions, the giving of any favor to an applicant or employee because of his political views, and the withholding of an appointment or a promotion, or any other favor, from an applicant or employee because of his political belief. An employee in the classified service cannot legally be removed for refusing to contribute to a political fund or refusing to render political service.[10]

Examination questions cannot be phrased to ascertain information about the political opinions or affiliations of any applicant. As a matter of fact, it is sometimes a legal responsibility of personnel officials to refuse to receive or consider letters disclosing the politics of an applicant or employee. In some instances, personnel officials explain to the writers of such letters that these communicatons will not receive consideration.

Discrimination because of an individual's marital status is frequently forbidden in connecton with examination, appointment, reinstatement, re-employment, promotion, transfer, demotion, removal, or retirement.

At all levels of government, legal prohibitions frequently exist with respect to discrimination, on the part of government employees, in matters of color, race, religion, or national origin.

The central staff personnel agency is normally responsible for enforcing, within the limits of its jurisdiction, the prohibitions imposed against discrimination. Such authority is provided by special laws, civil service acts, executive rules, or regulations. Responsi-

[10] U. S. Civil Service Commission, *Federal Personnel Manual,* Washington, ch. C2, pp. 19–20.

bility for enforcement may also be shared by the agency personnel office.

Certain jurisdictions have established special programs to combat discrimination. Such a program seeks to eliminate certain undesirable employment practices and to provide a means to enforce the ban.[11]

By Executive Order 9980, the head of each agency in the executive branch of the federal government is personally responsible for an effective program to insure that fair employment policies are fully observed in all personnel actions within his department. Under the Federal Fair Employment Program, all personnel actions within the agencies must be based solely on merit and fitness; in all such actions, discrimination because of race, color, religon, or national origin is prohibited. In order to review decisions made by the head of a federal agency and to advise agencies in the development of positive programs to eliminate discrimination, the President appointed a Fair Employment Board, organizationally located in the U. S. Civil Service Commission.[12]

Under the federal program, unfair employment practices include: the use of identifying devices, such as photographs, to indicate race, color, or religion on pre-employment forms or post-appointment forms (except for statistical purposes); and inquiries, recommendations, and disclosure of information concerning an applicant's or employee's race, color, or religion except as may be required for employment surveys or for the handling of complaints of discrimination.

In the federal government, a complaint of discrimination in a personnel action because of race, color, religion, or national origin is made by the aggrieved individual, initially in the agency in which the alleged discrimination occurred. An adverse decision by the head of the agency may be appealed by the complainant to the Fair Employment Board.

The executive order requires that a Fair Employment Officer be appointed by the head of each agency. It is considered preferable that the Fair Employment Officer should not be the official normally responsible for a personnel action over which a complaint may arise. The executive order further provides that all employ-

[11] Graves, W. Brooke, *Fair Employment Practice Legislation in the United States, Federal-State-Municipal,* Washington, 1951.

[12] U. S. Civil Service Commission, *Federal Personnel Manual,* Washington, ch. Fl.

ees must be notified of the name and address of the Fair Employment Officer and of the Deputy Fair Employment Officer if one is appointed.

Each federal agency furnishes to the Fair Employment Board any material which may be of assistance to other agencies. This informational material may be classified as "specific" or "general." "Specific" material includes histories of particular situations or of individual complaints characterized by distinctive features or considered unusual in that the methods employed or results obtained were of special significance. "General" material refers to reports dealing with broader aspects of the Fair Employment Program such as: (1) steps taken to bring to the attention of employees the purpose and intent of top management to apply the fair employment policy scrupulously and to hold accountable any person responsible for any infringement of it; (2) programs designed to familiarize administrative personnel and employees with the purpose and spirit of the program; (3) techniques developed to acquaint personnel with the procedures established for handling complaints and appeals; (4) surveys undertaken to ascertain the extent to which minority groups have obtained employment and promotion to be used for comparison with the results of similar surveys to be made subsequently; and (5) training programs which stress supervisory responsibilities for an objective approach to personnel problems without reference to any factors other than merit and fitness.

Following its establishment in 1948, the Fair Employment Board adopted and published procedures for its operations and, in addition, has explored various methods which may help in eliminating discrimination. The Board has consulted federal officials and representatives of state commissions, private industry, and interested organizations to ascertain successful experience outside of the federal government. As an index of the volume of cases handled under the program, it may be pointed out that, in the first year of the existence of the program, 146 complaints were received by agencies and 16 of these reached the Board for final adjudication.

New York State, in 1939, passed an act relating to discrimination because of race, creed, color, or national origin. The act provides that any person (1) who is denied appointment to a position in the classified service of the state or any of its subdivisions; or (2) who already so employed is denied promotion or increase in salary; or (3) who already so employed is separated or suspended from service may

file a verified petition if he believes the action was taken solely because of his race, creed, color, or national origin. The petition is filed with the State Civil Service Commission if the position in question is in the state, county, or village service; or with a municipal Civil Service Commission if the position in question is in city service. If the Civil Service Commission believes that a prima facie showing of discrimination has been made, the Commission orders a hearing to be held after notice to all concerned. If subsequently the Commission finds that the applicant or employee was denied appointment, promotion, or increase of salary or was separated or suspended solely because of his race, creed, color, or national origin, the Commission enters its finding on the record. As a result, the unlawful personnel action must be canceled.

In 1945, New York State passed a so-called Law against Discrimination. Under the law a State Commission Against Discrimination has been established. The law makes it unlawful for an employer, because of race, creed, color, or natural origin of any individual, to refuse to hire or to separate such individual or to discriminate against him in compensation or in terms, conditions, or privileges of employment. An employer is also forbidden to print or circulate any statement or to use any form of application for employment or to make any inquiry in connection with prospective employment which expresses any limitation, specification, or discrimination as to race, creed, color, or national origin. The State Commission Against Discrimination is empowered to receive, investigate, and pass upon complaints alleging discrimination in employment because of race, creed, color, or national origin. The State Attorney General has held that all government agencies within the state are subject to the provisions of the State Law Against Discrimination.

Thus, civil service employees or applicants for civil service positions who feel that they have been discriminated against because of race, creed, color, or national origin may make either of two approaches: action under the Civil Service law of 1939, or action under the Law Against Discrimination. As a matter of practice, since 1945 civil service complaints have been registered under both acts. In order to carry out the intent of both laws, the New York State Civil Service Commisson and the Commission Against Discrimination have agreed that, when a complaint charging discrimi-

nation by reason of race, creed, color, or national origin is made first under the Civil Service Law to the State Civil Service Commission and subsequently the same complaint is filed with the Commission Against Discrimination, the State Civil Service Commission alone has jurisdiction over the matter. Likewise, if a complaint is first filed with the Commission Against Discrimination and is subsequently filed under the Civil Service Law with the State Civil Service Commission, the Commission Against Discrimination has sole jurisdiction over the matter.

In 1949 the legislature of the State of Washington passed an act known as the Washington State Law Against Discrimination in Employment. The law recognizes that equal opportunity to work without discrimination because of race, creed, color, or national origin is a civil right. A board of five persons is established by the act to eliminate and prevent such discrimination in employment and to foster good will among all groups in the state population. Government employment is included within the scope of the Washington State law. As a matter of fact, one of the cases alleging discrimination during the first six months of the Board's operation involved a municipality.

Similar statutes were passed during 1949 in Rhode Island, Oregon, and New Mexico. Other states having anti-discrimination laws include Massachusetts, New Jersey, and Connecticut.

Action by the city of Minneapolis illustrates anti-discrimination legislation which has been passed in a few local units. By virtue of a Fair Employment Practice Ordinance passed in 1947, five Minneapolis citizens constitute a Fair Employment Practice Council. The Council entertains complaints from individuals who allege discrimination in the matter of hiring, promotion, wage payments, or other terms of employment. If all conciliation methods fail, the Committee recommends the case to the City Attorney for prosecution.

Dual Position Holding

Generally, a government employee is prohibited from holding two or more regular government positions at the same time. This prohibition applies to the employee who seeks to occupy simultaneously more than one regular government position when either each of the positions is organizationally located in the same jurisdic-

tion or same level of government, or each is organizationally located in different levels of government.[13]

By executive order, federal employees are generally prohibited from holding any state or local office or employment. This restriction applies whether the state or local position is an elective or appointive one. If a federal employee accepts or holds a state or local position which is not excepted from this restriction, he must relinqush his federal position.[14]

Certain state and local positions, however, are not included in the general restriction stated above and applicable to federal employees. Such positions include notary publics; positions on boards of education, school committees, public libraries, religious or eleemosynary institutions; teaching positions in colleges or universities; and positions as instructor in schools. Furthermore, as indicated previously, federal employees living in certain specified municipalities in Maryland and Virginia and elsewhere are permitted to hold local office.

Outside Employment

To prevent interference with the performance of official duties, a government employee may be prohibited from accepting a position outside of the hours of his regular government employment. The ban against outside employment may be absolute or it may be limited to situations where the outside employment would interfere with the performance of satisfactory government service (such as a position which physically affects the performance of government duty) or where the outside employment might affect adversely the government's interests (such as a position with a company holding government contracts). Restrictions on outside employment are found at each level of government.

The volume of requests from employees to engage in outside employment is related to general economic conditions. When the real wage derived from government employment lags behind in the rising price market, such requests are more numerous. Particularly in such periods there is a tendency on the part of management officials to grant permission for outside employment. In some cases the alternative is resignation from government employment.

[13] Graves, W. Brooke, *Public Administration in a Democratic Society,* Boston, 1950, pp. 201–202; Providence Governmental Research Bureau, *State Constitutional Provisions Against Dual Office Holding,* April 1936.

[14] U. S. Civil Service Commission, *Federal Personnel Manual,* Washington, ch. C2, pp. 15–16.

Subversive Activity

Employees are often forbidden to hold membership in any political party or organization which advocates the overthrow of the constitutional form of government in the United States. An employee who is found guilty of violating such a prohibition is removed from his position. This prohibition may be contained in specific legislation; appropriation acts sometimes prohibit the use of funds to pay the salary of any person who advocates or who is a member of an organization which advocates the overthrow of the government of the United States by force or violence. At the federal level, such a prohibition applies to all employees.[15]

Loyalty Programs

Prior to the start of World War II, legislatures generally did not consider disloyalty of public employees toward their country to be a problem, and central staff personnel agencies were not permitted to inquire into the political opinions of applicants for the public service. The threat of communism, however, in 1939 began to make legislators aware of the dangers of infiltration of communists in government positions. A resultant development in public personnel management which became accentuated following the conclusion of World War II has been the establishment of loyalty oaths as a condition of public employment. When adopted, this special oath is, in addition to the regular oath of office, normally administered to a new appointee to the public service. The trend to require a loyalty oath from the public servant has resulted in different types of loyalty laws and regulations in different jurisdictions, varying from an extensive loyalty program, as is found in the federal government, to the administration of a simple loyalty oath at the time of entrance upon duty, found in several state and local units of government.

At the federal level, Congress in 1939 through the Hatch Act made it unlawful for federal employees to have membership in any political party or organization which advocated the overthrow of our constitutional form of government. Furthermore, restrictive provisions were contained in appropriation acts and were applicable to employees who sought the overthrow of the government by force or violence. Beginning in May 1940, the U. S. Civil Service Commission stated that, as a matter of policy, it would not certify to an

[15] *Ibid.*, ch. C2, pp. 17–18.

agency the name of any person if it had been established that at that time he was a member of the Communist Party, the German Bund, or any other communist or nazi group. Thus, during World War II, the Civil Service Commission and federal operating agencies applied loyalty standards to prospective and actual federal employees. In 1946 a subcommittee of the Committee on Civil Service of the House of Representatives recommended that a study be made of methods to protect the government against disloyal activities of employees.[16] The President appointed a Temporary Commission on Employee Loyalty in November 1946 to make such a study.[17] The recommendations of the Commission became the basis for Executive Order 9835.[18]

Executive Order 9835 of March 21, 1947, established a Federal Employees Loyalty Program.[19] Under *Part I of the executive order,* a loyalty investigation is made of every individual entering the employment of any executive agency. The investigation may be conducted after an individual actually begins his employment, but, in such instance, the appointment is subject to a subsequent favorable determination of the employee's loyalty. If an investigation is not completed within eighteen months from the date of the beginning of employment, the qualification that the employment is subject to investigation generally ceases.[20]

The investigation involves reference to such sources as the Federal Bureau of Investigation files, files of the Civil Service Commission, military and naval intelligence files, the files of any other appropriate government investigative or intelligence agency, the House Committee on Un-American Activities files, local law-enforcement files at the place of residence and employment of the applicant, schools and colleges attended by the applicant, former employers of applicant, references given by applicant, as well as any other appropriate source. When derogatory information concerning the loyalty of an applicant is obtained, a full field investigation must be conducted.

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16 Pursuant to H. R. 66, 79th Congress, 1st Session.

17 Executive Order 9806.

18 Binkley, Wilfred E., and Malcolm C. Moos, *A Grammar of American Politics,* New York, 1949, p. 392.

19 U. S. Civil Service Commission, *Federal Personnel Manual,* Washington, ch. L2.

20 Mitchell, Harry B., "The Employee Loyalty Oath," *Personnel Administration,* July 1947, pp. 1–3; Merriam, Charles E., "Some Aspects of Loyalty," *Public Administration Review,* Spring 1948, pp. 81–84; Abbott, Roger S., "The Federal Loyalty Program: Background and Problems," *American Political Science Review,* June 1948, pp. 486–499.

Part II of the executive order makes the head of each agency personally responsible for an effective program to insure that disloyal employees are not retained. The head of the agency is responsible for prescribing and supervising the loyalty determination procedures of his agency, in accordance with the order. Part II of the order further directs the head of the agency to appoint one or more loyalty boards to hear loyalty cases arising within the agency and to make recommendations concerning the removal of any employee on grounds relating to loyalty.

An employee accused of being disloyal has a right to an administrative hearing before a loyalty board in his agency. Such employee is authorized to appear personally before the board, with counsel or representative of his own choice, and he may present evidence on his own behalf, through witnesses or by affidavit. An accused employee must be given written notice of a hearing in sufficient time and be informed of the nature of the charges in sufficient detail so that he is able to prepare his defense. In the notice the employee must also be informed of his right to reply in writing, of his right to an administrative hearing before a loyalty board, and of his right to appear before the board personally to present evidence.

A recommendation of removal by a loyalty board is subject to appeal by the employee, prior to removal, to the head of the agency or to a person designated by the agency head. The final decision of the agency may be appealed to the Civil Service Commission Loyalty Review Board for an advisory recommendation.

Part III of the executive order establishes a Loyalty Review Board of not fewer than three persons in the Civil Service Commission. The Board has the authority to review cases involving persons recommended for dismissal on grounds relating to loyalty by an agency loyalty board and to make advisory recommendations to the head of the agency. The Review Board makes rules to implement statutes and executive orders pertaining to employee loyalty, advises agencies on problems related to employee loyalty, disseminates information, coordinates employee loyalty policies and procedures, and makes reports to the Civil Service Commission.

The Civil Service Commission is required to establish and maintain a central master index of all persons on whom loyalty investigations have been made by any agency since September 1, 1939. The index includes the name of each person investigated and a reference

to each agency which has conducted a loyalty investigaton. However, the reports and other information developed by an investigating agency are retained by the agency.

The Board is specifically directed by the executive order to disseminate to all agencies the name of each foreign or domestic organization, movement, or group which the Attorney General determines (1) is totalitarian, fascist, communist, or subversive, or (2) has adopted a policy of advocating or approving acts of force to deny others their rights under the U. S. Constitution, or (3) seeks to alter the form of government of the United States by unconstitutional means.

Under *Part V of the executive order* the standard for refusal of employment or for the removal from employment on grounds relating to loyalty is that reasonable grounds exist for belief that the individual is disloyal to the United States government. Activities and associations of an applicant or employee to be considered in the determination of disloyalty include: sabotage; espionage; treason or advocacy of treason; advocacy of revolution or force to alter the constitutional form of government of the United States; intentional and unauthorized disclosure to any person, under circumstances of disloyalty, of information of a confidential or non-public character obtained through employment; performing duties or otherwise acting to serve the interests of another government in preference to the interest of the United States; membership in, affiliation with, or sympathetic association with, any foreign or domestic organization, movement, or group designated by the Attorney General as indicated above.

Under *Part VI of the executive order* each agency was required to submit to the Federal Bureau of Investigation the names of all employees on the rolls at the time the executive order was promulgated. The Federal Bureau of Investigation was ordered to check these names against its records of persons who may fall within the purview of activities and associations described in Part V above. Upon receipt of this information from the Federal Bureau of Investigation, the agency concerned was directed to make (or cause the Civil Service Commission to make) such investigation as the head of the agency judges advisable.

In the case of incumbent employees (i.e., employees who entered on duty prior to October 1, 1947), the employing agency established a control system for obtaining necessary information, distributed ap-

propriate forms, obtained and submitted the required forms for each incumbent employee to the Federal Bureau of Investigation, and ruled upon information of a derogatory nature received by the Civil Service Commission from the Federal Bureau of Investigation. The agency also provided for a trained staff to perform related duties described in the executive order. The Civil Service Commission promulgated appropriate regulations, provided organization to furnish advisory recommendations in loyalty cases to heads of agencies and to act on appeals, and forwarded to various agencies information of a derogatory nature received from the Federal Bureau of Investigation. The Federal Bureau of Investigation searched its files for loyalty information on incumbent employees, transmitted results of the search to the Civil Service Commission for routing to particular agencies, conducted full field investigations in case of leads, and transmitted to the Civil Service Commission the derogatory information found for submission to agencies concerned. Almost all loyalty checks on incumbent employees were completed within the first year of the program.

In the case of new employees (i.e., employees who entered on duty on or after October 1, 1947), the agency submits to the Civil Service Commission (or one of its regional offices) applications (together with identifying data) which the individuals have submitted to the agency. The Commission then conducts inquiries. If a question of loyalty arises, the Commission refers the file to the Federal Bureau of Investigation which conducts a full field investigation. If a question of suitability, as distinguished from loyalty, arises, the Commission conducts its own investigation and takes appropriate action. If an appointee is separated from the service while the Civil Service Commission is conducting an inquiry, the case is closed.

Preappointment checks through major loyalty files are mandatory with respect to proposed reinstatements or interagency transfers to positions designated by the head of an agency as sensitive. Upon request of an agency, preappointment checks are also made in connection with proposed original appointments to sensitive positions. The Civil Service Commission conducts the preappointment loyalty checks and notifies the agency of the results. The head of the agency is responsible for designating positions in the agency which are sensitive.

In order to provide uniformity of administration, to protect the government, and to provide administrative due process to the individuals, the Loyalty Review Board conducts post audit of cases not appealed to the Review Board. The Board thus ascertains the extent to which agencies and regional boards have followed procedural steps stipulated in the executive order. The Loyalty Review Board also authorizes the closing of cases, resubmits them for further consideration, and takes other action to insure conformity. No favorable decision by an agency board, agency head, or regional board is final until notification is received that the Board has finished its post audit. When appropriate procedures have been followed, the Loyalty Review Board generally follows the decision of a lower board.

Appreciation of the administration of the federal loyalty program may be derived from the following figures. From October 1, 1947, through December 31, 1951, 8714 loyalty cases had been received by agency loyalty boards. Of these, 1550 cases were closed without a decision because the employee left the service while the investigation was in progress or prior to final decision. 188 employees were discharged; favorable action was taken in the instance of 4489 employees; 1185 cases were awaiting determination by agency loyalty boards on December 31, 1951.

In addition to loyalty, federal programs relating to "suitability" and "security" are in existence; under these programs, too, employment may be denied or employees suspended or removed.

In 1951 thirty-three states had some type of law designed to exclude potentially subversive individuals from public employment. The majority of these states rely on a loyalty oath as a method of insuring loyalty. The fifteen states not having such a law in 1951 were: Alabama, Connecticut, Delaware, Idaho, Iowa, Kentucky, Maine, Minnesota, Missouri, Nebraska, Ohio, Tennessee, Virginia, Wisconsin, and Wyoming. In the year of 1949 alone, eight states (Florida, Georgia, Kansas, Maryland, Massachusetts, New Jersey, New Mexico, and Oregon) passed laws to keep communists out of public employment; except in the cases of New Mexico and Oregon, the law provided for a loyalty oath. The 1949 legislation covers all positions in each state except elected ones; in seven of these states (Oregon excepted) the legislation also covers positions in local units

of government. The penalty contained in loyalty legislation is ineligibility for employment and, in some states and localities, criminal penalties for disloyal officeholders.

A method adopted by New York State in 1951 to handle security "risks" is unusual. By state law, the State Civil Service Commission is directed to determine whether or not (1) an agency is a "security agency," that is, the agency or office is one in which functions are performed necessary to the security or defense of the nation and state or in which confidential information relating to the security or defense of the nation and state may be available or (2) a position is a security position, similarly described. The State Civil Service Commission and each municipal civil service commission must refuse to examine an applicant, or after examination, refuse to certify an eligible to a security position if the examining body concludes that reasonable grounds exist for belief that the employment of the applicant would endanger the security or defense of the nation and state. Appointing officers in state and local levels of government in New York are authorized, upon similar reasonable grounds and in the interests of national security, to transfer, suspend, or separate employees in their jurisdictions. The Civil Service Commission is permitted to enter into a contract with the federal government or any other appropriate public agency for the supplying of information in making investigations or any other necessary assistance. Adverse action in individual cases may be appealed to the State Civil Service Commission. The decision of the State Civil Service Commission (or its designated agent) is conclusive and not subject to court review.

At the local level, several jurisdictions have adopted loyalty programs of one type or another. Action taken by Wayne County, Michigan, which inaugurated a loyalty oath program, is illustrative. Effective July 1, 1950, every individual who was a county employee on that date was required to take the following oath: "I do solemnly swear (or affirm) that I will support the Constitution of the United States and the Constitution of this State, and that I will faithfully discharge the duties of my position as an employee with the Government of Wayne County, according to the best of my ability." Every subsequent new employee must take the same oath. Similar action was taken in 1951 by the city of Indianapolis, Indiana; city employees there were required to sign loyalty oaths or be separated.

The result of refusal to sign loyalty affidavits and oaths may be illustrated by reference to action taken by the City of Los Angeles. An amendment to the City Charter of Los Angeles passed by the state legislature in 1948 provided that no individual can hold or be eligible for municipal employment if within five years prior to the enactment of the statute he advised, advocated, or taught the overthrow by force or violence of the Government of the United States or of the State of California. Another section of the law applied similarly to a person who became a member of an organization advocating such doctrines. Pursuant to the amendment, a municipal ordinance was passed which required (1) a loyalty oath from every municipal employee to be filed by January 6, 1949, and (2) an affidavit with respect to present or past membership in the Communist Party or in the Communist Political Association. Seventeen employees who refused to sign the affidavit (fifteen of the seventeen also refused to take the oath) were discharged for failure to file affidavits and oaths. The action of the municipality was upheld by the California courts [21] and ultimately by the United States Supreme Court in 1951.[22] It must be pointed out, however, that the courts in this case were not concerned with the question whether employees could be discharged because of affiliations they disclosed.

One significant law aimed at minimizing the risks of subversive individuals in a portion of the public service, namely, the personnel of the public school system in a state, has stood the test of constitutionality as determined by the United Sates Supreme Court. The law in question, known as the Feinberg Law,[23] was passed by the State of New York in 1949 and declared that infiltration by members of the Communist Party and other subversive groups into the public service constituted a peril. Under the law, the New York State Board of Regents, which controls the public school system of the state, was required, after full notice and hearing, to make a listing of organizations advocating the doctrine that the government should be overthrown by force. The Board was authorized to provide that membership in any such listed group constitutes *prima facie* evidence for disqualification for appointment to, or retention in, any position in a public school system. The applicant or em-

[21] *Garner* v. *Board of Public Works of Los Angeles,* 220 P(2) 958.
[22] *Garner* v. *Board of Public Works of Los Angeles,* 341 U. S. 716.
[23] N. Y. Laws 1949, ch. 360.

ployee, as the case may be, must be provided a full hearing and has the right to judicial review before adverse action is effected.

The New York State Court of Appeals, in upholding the statute, declared: "We have seen that the Legislature and administrative agencies have authority over the discipline and efficiency of the public service. When in its judgment and discretion the Legislature finds acts by public employees which threaten the integrity and competency of a governmental service such as the public school system, legislation adequate to maintain the usefulness of the service affected is necessarily required to forestall such danger. Believing the Feinberg Law to be the Legislature's answer to such a need, we find in that statute no restriction which exceeds the Legislature's constitutional power." [24]

Affirming the decision of the New York State Court of Appeals, the United States Supreme Court in 1952 ruled that there was no abridgment of speech and assembly of persons employed or applying for employment in the public schools and that due process of law was not denied by the presumption that an individual having so associated is disqualified for employment.[25]

Disciplinary Action

Disciplinary action, as the term is used in this section, refers to administrative steps taken to correct employee misbehaviors related to job performance. Unless corrective action is taken where needed, individual inefficiency may continue and morale among other employees may suffer. Disciplinary action may be oral or written. Although oral admonition may serve as a satisfactory administrative corrective in certain types of cases, formal action becomes necessary under more serious circumstances. When a disciplinary procedure is established, an effort is made to ascertain the facts of the situation; therefore, under the procedure, an employee is informed of the evidence in a case and is allowed to defend himself before a final decision is made by management with respect to the question whether punishment should be invoked and, if so, the degree of punishment. (See Fig. p. 417, Appendix.) After analysis of all the facts including the employee's defense and upon final determination of any penalty, the employee is informed of the nature of the

[24] *Thompson* v. *Wallin*, 95 N. E. (2) 806.
[25] *Adler* v. *Board of Education of the City of New York*, 342 U. S. 485.

decision as promptly as possible and, if disciplinary action is finally taken, of the reason therefor.[26]

As part of disciplinary procedure, a hearing is usually provided an employee if the employee requests one or if management believes a hearing will produce a clearer understanding of the case. Hearings are held for the purpose of ascertaining facts and of permitting an employee to give his version of the situation. Hearings are normally held by the first-line supervisor, not a personnel official. Under disciplinary procedure, the role of the agency personnel office is primarily to insure that proper procedures are employed and to advise both parties with respect to their rights and responsibilities.[27]

To assist supervisors in administering discipline, some agency personnel offices have established a schedule of disciplinary offenses and penalties. The use of a schedule promotes a practice of similar penalties for similar offenses and gives both supervisors and employees a better understanding of the boundaries of acceptable behavior. Inasmuch as a schedule applies directly to every employee, effort is made to post the schedule at conspicuous places in the agency and to disseminate its contents among all personnel. (See Fig. pp. 418–419, Appendix.)

Miscellaneous Actions

In addition to specific situations described previously, there are additional aspects of conduct which, as a matter of law, may result in punishment for government employees. The punishment includes not only removal from governmental position but may extend to fine or imprisonment. For many of these actions, the penalty is authorized; in other actions, the penalty is mandatory. There is a wide variety of regulations on this subject among state and local units of government.[28]

Regulations with respect to miscellaneous prohibited behavior are the most restrictive at the federal level. A partial list of such ac-

[26] Magoun, F. Alexander, "Principles of Disciplining," *Personnel*, November 1945, pp. 161–170; International City Managers Association, *Municipal Personnel Administration*, Chicago, 1947, ch. 10; McClure, R. E., and Hugo Wall, "Handling Employee Grievances in Wichita," *Public Personnel Review*, July 1947, pp. 127–131.

[27] Grossman, Harry, "Administrative Hearings in Federal Employee Relations," *Personnel Administration*, November 1951, pp. 21–23; Knapp, Daniel C., "Administering Federal Grievance Procedure," *Public Personnel Review*, April 1947, pp. 96–101.

[28] White, Leonard D., *Introduction to the Study of Public Administration*, New York, 1948, p. 423.

tions which federal employees must avoid follows.[29] In reviewing the standard, it must be understood that exact punishment for each specific misbehavior depends upon the circumstances of each case. In the instance of each offense listed below, the maximum penalty is cited.

Nature of Offense	*Maximum Penalty*
Assisting in the prosecution of a claim against the United States, or receiving any gratuity or any share of a claim from any claimant except in the discharge of proper official duties	$10,000 fine; 1 year's imprisonment; or both
Receiving any salary in connection with services as a federal employee from any source other than the federal government, except as may be contributed out of the treasury of a state or its subdivision. (There are certain statutory exemptions from this prohibition.)	$1000 fine; 6 months' imprisonment; or both
Habitually using intoxicants to excess	Removal
Making intentional false statements in connection with examination or appointment	Removal
Willfully, corruptly, and falsely marking, grading, estimating, or reporting upon the examination or proper standing of any person examined under the Civil Service Act	$1000 fine; one year's imprisonment; or both
Willfully and corruptly furnishing to any person any special or secret information for the purpose of either improving or injuring the prospects of chances for appointment, employment, or promotion, of any person examined or to be examined under the Civil Service Act	$1000 fine; one year's imprisonment; or both

[29] U. S. Civil Service Commission, *Federal Personnel Manual,* Washington, ch. C2, pp. 27–28.

Nature of Offense	*Maximum Penalty*
Influencing a person to withdraw from competition for any position in the competitive service in order either to improve or to injure the prospect of another applicant.	Disciplinary action as the Civil Service Commission judges appropriate
Willfully and corruptly defeating, deceiving, or obstructing any person in respect of his right of examination according to the civil service rules and regulations	$1000 fine; one year's imprisonment; or both
Soliciting contributions from other employees for a gift to a person in a superior official position; accepting gifts offered as a contribution from employees receiving a lower salary; making donations as a gift to a superior employee.	Removal
Concealing, removing, mutilating, obliterating, or destroying records or documents or attempting to do so	$2000 fine; 3 years' imprisonment; or both
Taking and carrying away, without authority, from the place where filed or kept, any document or file, intended to be used or presented to procure payment of money from or by the United States; presenting, using, or attempting to use any such document or paper, in order to procure the payment of any money from or by the United States	$5000 fine; 5 years' imprisonment; or both
Falsely making, counterfeiting or forging any form of transportation request; knowingly altering any such request; knowingly passing, publishing, selling, or attempting to pass, publish, or sell any such false, forged, counterfeited, or altered form of request	$5000 fine; 10 years' imprisonment; or both
Using or authorizing the use of government vehicles or aircraft for other than official purposes	Suspension without compensation for not less than one month; suspension for a longer period or removal if the circumstances warrant

Nature of Offense	*Maximum Penalty*
Criminal, infamous, dishonest, immoral, or notoriously disgraceful conduct	Removal
Using official envelopes, label, or endorsement authorized by law, to avoid payment of postage or registry fee on private letter, package, or other matter in the mail	$300 fine
Participating in any strike against the federal government	Immediate removal; forfeiture of civil service status; ineligibility for re-employment for three years by the United States or any agency thereof
Accepting salary or compensation after engaging in a strike against the federal government or while holding membership in an organization of government employees which asserts the right to strike against the federal government	$1000 fine; one year's imprisonment; or both

Another phase of the standard of conduct expected of government employees may be obtained from consideration of the actions which may result in removal in the majority of jurisdictions. Depending upon the exact circumstances, removal may be effected if an employee has (1) violated a lawful and reasonable order; (2) failed to obey a reasonable direction made by his supervisor, particularly when the failure constitutes an act of insubordination; (3) been habitually tardy in reporting for duty; (4) absented himself frequently from duty during regular hours; (5) been intoxicated while on duty; (6) been guilty of scandalous or disgraceful conduct while off duty; (7) been convicted of a criminal offense or of a misdemeanor involving moral turpitude or is guilty of an immoral or criminal act; (8) been guilty of dishonest acts or has been careless, negligent, or wasteful of government property; (9) used or threatened to use political influence to secure a promotion, leave of absence, change of grade or pay or character of work; (10) willfully violated specific provisions of civil service rules or regulations; (11) assisted in soliciting or collecting money from an employee to make a gift to a government superior; (12) been absent from duty without permission; (13) induced another employee to commit an unlawful

act or to act in violation of any lawful and reasonable regulation or order; or (14) accepted a fee or gift in the course of his work for personal use, when such fee or gift is given in the expectation of receiving official favor.

Problems of Administration

Among the problems associated with the administration of the employee-conduct function, the following call for special attention:

Alleged conflict between loyalty program and individual freedom.—There are some employees in the public service who oppose a loyalty program for government employees on the allegation that such a program, involving a special oath, is a violation of their individual freedom of thought. A few critics of such programs have gone so far as to claim that a loyalty oath represents a form of thought control. It is realized that there is, in some cases, employee opposition based on genuine scruples of individuals; it is also true that certain opposition to a loyalty program emanates from nondemocratic sources.

There need be no conflict, on the part of employees, between a loyalty program and the concept of individual freedom. Individual freedom is a relative matter, depending for its actual meaning in any specific situation upon the functioning of democratic processes. The objective of a loyalty program is to insure the continuance of the democratic form of government. Furthermore, no individual has an inherent right to public employment or to continuance in public employment. If taking a loyalty oath as a requisite to government employment is contrary to an employee's or applicant's convictions, the objector is free to accept employment elsewhere which does not involve loyalty considerations. Perhaps the most effective factor in proper employee understanding of a loyalty program is indoctrination in the fundamentals and techniques of democracy versus totalitarianism.

Reliance on the letter instead of the spirit of the regulation.—Technically, it is often difficult to write laws, rules, and regulations governing rules of conduct. In an attempt to strike a balance between meaningful and meaningless written standards of conduct, administrative or legislative rule-making may err on one side or the other. The exact meaning which was intended to be incorpo-

rated in the rule of conduct may be difficult to capture in the simple written word. It becomes necessary, therefore, in applying conduct rules, that reason, caution, and good sense be exercised in applying the standard to the individual case. Unfortunately, there have been occasions when considerations of reason, caution, and good sense are forgotten and the spirit of the rule of conduct is subordinate to letter application.

In the field of human relationships, discretion must be allowed for management to apply conduct rules with judgment. Only through a fearless but fair approach to the problems of conduct, with full consideration to the intent of the law, rule, or regulation, can effective personnel management be achieved.

Restriction on political freedom.—Employees sometimes complain that a restriction upon their political activity is unwarranted. Employees may claim that, as individual citizens and taxpayers, they are entitled to participate in a political campaign in any way they see fit and that they have a right to continue to perform their official government duties.

The necessity for isolating a civil service system from political considerations in order to retain its objectivity is paramount. When employees contend that such isolation is not mandatory, orientation into the elementary methods of spoils system operation should suffice to reflect the dangerous results of political participation upon a civil service organization. Full compliance with restrictions on political activity cannot be expected unless there is employee understanding of the reasons for such restrictions.

Extent to which private action is a concern of the government as employer.—Employees occasionally express the opinion that their private life outside of official working hours is of no legitimate concern to government as an employer. These same employees claim that they should not be held accountable for what they do outside of the workday, provided they perform their official duties satisfactorily. Where this attitude prevails, administration of rules of conduct becomes increasingly difficult.

In addition to technical qualifications, public employees, by virtue of the nature of their employment, are continuously judged on the basis of their individual character and actions. The standards of entrance into, and continuance in, the public service demand a satisfactory or even high-quality individual, from the viewpoint

of character and behavior, if public confidence is to continue in our democratic procedures. Employees must be shown, by example of their leaders and by other means, that the public service has a right to expect employees who are morally respectable, meticulously honest, and above reproach in character and actions.

Lack of a code of ethics among public servants.—Often only sporadic attention is given by an operating agency, a central staff personnel agency, or legislatures to rules of conduct for employees. The tendency has been to develop a new rule of conduct or personal restriction on the basis of an immediately preceding unpleasant or irregular incident. There has been little positive effort among jurisdictions to establish an affirmative approach to the issue of acceptable standards of behavior on the part of public employees.

Effort may be directed to establish a code of ethics for employees of a jurisdiction. Since the type of work performed and, hence, the type of employees vary among some units, it may be impractical to set up one code for all employees; rather, attention may be directed to creating a series of codes, having common denominators, but geared to the needs of the jurisdiction. Congressional and grand jury investigations in 1951 and 1952 gave indication that in certain jurisdictions and agencies, ethics on the part of employees either were completely ignored or unappreciated. Creation and adoption of a code of ethics for public employees may lend dignity to the public service as well as result in more efficient employee performance.

Lack of dissemination of limitations on employee conduct.—The complaint is often heard that an employee did not know, or had not been informed, about legal or administrative restrictions on employee conduct in a jurisdiction. The extent to which there is inadequate dissemination of such information is difficult to ascertain, but, judging from the number of occasions the complaint is made, it is evident that, in some instances, internal communication dealing with the subject of employee conduct is most ineffective or even non-existent.

The use of bulletin boards, handbooks, and manuals is but one of the methods utilized to inform persons of the standards of conduct expected while they are employed by government. The use of training classes and of agency memoranda is effective in sup-

plementing the above methods. Careful initial dissemination and studied repetition of such data contribute much to better employee understanding and compliance.

Little or no opportunity to present grievances.—In the majority of government jurisdictions, there is no formal grievance procedure. In some jurisdictions where a formal procedure exists, the grievance system is so punctuated with legalities and formalities that little or no use is effectively made of the procedure. The result may be that the employee has no chance to set forth his complaint effectively in his agency.

Government as employer must adopt the attitude of progressive industrial relations officials and provide for grievance procedures available for quick use by any employee who desires to resort to the procedure. It is inevitable that misunderstandings between government as employer and employees will occur from time to time. Unless there is opportunity to present items of friction and to have honest and forthright discussion of these misunderstandings as they occur, high turnover, low morale, and continuous internal conflict tend to result, often with disastrous consequences.

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CHAPTER 10

Separation

Definition.—Separation refers to the termination of an employee's services. As applied to an agency, separation denotes the severing of the services of an employee from the agency, in contrast to a transfer or reassignment from one position to another in the same agency. As applied to a jurisdiction, separation refers to the ending of the services of an employee in the jurisdiction, in contrast to the transfer of an employee from one agency to another agency in the same jurisdiction. An employee who is separated loses his identity with the agency or jurisdiction and may subsequently return to employment in the initial agency or jurisdiction only through reinstatement or through a new appointment.

TYPES OF SEPARATION

Based upon the source of the decision to separate, there are four types of separation:

(1) where the decision is made by an employee;

(2) where the decision is made by the agency in which an employee works;

(3) where the decision is made within the jurisdiction but outside the agency in which an employee works;

(4) where the decision is made beyond the authority of the employee, agency, and jurisdiction in which an employee works.

Each type is significant in the separation function.[1]

Decision made by employee.—Where the decision to separate is made by the employee, the separation usually takes one of two forms: retirement or resignation. As used in this paragraph, re-

[1] Bates, *et al., State Government,* New York, 1949, pp. 345–346; Anderson, William and Weidner, Edward, *American City Government,* New York, 1950, pp. 530–531; Pfiffner, John, *Public Administration,* New York, 1946, pp. 327–330.

tirement refers to the action initiated by an employee to qualify for retirement benefits established by a retirement system. The subject of retirement is discussed more fully in the next chapter. Resignation is the voluntary action on the part of an employee to relinquish his position. Resignation is the most common form of separation in the public service.[2]

The actual cause for resignation by an employee is not always ascertainable by an agency. For miscellaneous reasons, such as fear of recrimination or embarrassment, an employee may elect not to tell his supervisor or agency why he has decided to leave employment. Consequently the cause for resignation stipulated on a resignation form is not necessarily the true cause. (See Fig. p. 420, Appendix.) The exit interview technique is designed, among other reasons, to ascertain actual causes of employee resignations. Causes for resignation, however, may be classified broadly as follows:

(1) Those pertaining to an employee's environment outside of the agency and including such factors as inadequacy of housing facilities, inconvenient transportation, homesickness, and high living costs.

(2) Those pertaining to an employee's relations with other personnel in his agency and including such factors as inadequate supervision and his inability to get along with fellow employees.

(3) Those pertaining to basic conditions of work and including such factors as unusual physical demands incident to performing the work, night work, insufficient work, and excessive work.

(4) Those pertaining to lack of work satisfaction and including such factors as monotony, inadequate salary, lack of promotional opportunities, job insecurity, and lack of appreciation of the usefulness of the work performed.

(5) Those pertaining to miscellaneous factors such as poor health, impending marriage, maternity, caring for one's children, moving of the family away from the geographical area, and a desire to attend school or college.

Under usual resignation procedure, an employee tenders his resignation in writing to his immediate supervisor. The resignation letter contains the anticipated date of separation and may contain a reason for the resignation. Notice of resignation is preferably given at least two weeks in advance of the last day of employ-

[2] Graves, W. Brooke, *Public Administration in a Democratic Society*, Boston, 1950, pp. 225–226.

ment. Resigning without adequate notice, although legal, may reflect unfavorably in an employee's record.

Decision made by agency.—Where the decision to separate is made by the agency, separation may take the form of (1) removal for cause, (2) retirement, (3) abandonment of position, or (4) layoff.

Removal of an employee from his position for cause.—This form of separation is effected to promote the efficiency of the service. Charges of misconduct, delinquency, disloyalty, or inefficiency may be construed sufficient "cause" for removal. The removal procedure applicable to government employees is far from standardization. As a general pattern, however, there are usually four steps in the removal for cause process: (1) notice of intent to remove, (2) holding of a hearing, (3) final determination of evidence, and (4) appeal.[3]

Notice of intent to remove is given to an employee after the preliminary decision to remove an employee has been made by the agency. In the notice, the employee is given, usually in writing, a statement of charges. The statement of charges is specific, preferably citing the place and time at which the alleged misconduct took place. The notice of intent stipulates that the agency proposes to remove the employee from his position, and the notice may offer the employee an opportunity to reply to the charges, either in writing or orally or in both ways. By the notice of intent, the employee is given a period of time, frequently three to five days, during which to prepare a written reply, if he so chooses. The notice of intent may include suspension of the employee from his duties until final decision in the case is made. In some jurisdictions, preparation of the notice of intent to remove is the responsibility of the immediate supervisor or the head of the line office; in other jurisdictions, the decision to issue such a notice is a function of the personnel office. In any case, the personnel office is available for consultation with line officials to ascertain that the notice of intent to remove is legal and proper.

In the vast majority of cases, the next step in the removal process is *to hold a hearing.* The hearing may be conducted by a supervisor, the head of the line office, a personnel official of the agency or

[3] Kaplan, H. Elliot, "Removals in the Civil Service," *Public Personnel Review,* January 1946, pp. 31–32; Brattin, Barbara, "The Dismissal Pattern in the Public Service," *Public Personnel Review,* October 1947, pp. 211–215; Beers, R. G., "Let's Really Streamline the Handling of Unsatisfactory Employee Cases," *Personnel Administration,* March 1950, pp. 20–21; Hull, Zalaine, "I Was Fired," *Personnel,* July 1949, pp. 62–66.

a special appeal body, such as the central staff personnel agency. During a hearing, the charges are explained, and the employee may be afforded an opportunity to present evidence, either in writing or orally, either by himself or by counsel or through witnesses, to refute the charges. In order that the agency may weigh carefully all of the evidence presented, a final decision is usually not rendered at the time of the hearing. For certain groups of employees, such as veterans, policemen, and firemen, a hearing may be mandatory. Where a hearing is not mandatory, but nevertheless included as a part of the removal process, an employee may be permitted to waive the hearing if he so chooses.

The *final determination of evidence* is made generally by the individual holding the hearing, after full consideration has been given to all the circumstances. Before final decision can be reached in some cases, it may be necessary for the agency to check the reliability or validity of certain data. Thus, a few days may transpire between the holding of the hearing and the making of the final decision to remove or not to remove. Nevertheless, final determination should be made and interested parties notified at the earliest practicable time. Notification of the final decision in a removal case is made to the employee in writing.

In the majority of removal cases, the final decision ascertained through the preceding steps becomes immediately effective. However, an *appeal* step is usually available to the employee who feels that the decision is unfair or illegal. An individual who appeals a removal decision may direct a formal appeal to the head of the agency, to the personnel officer, to an agency appeal board, to an administrative appeal body for the jurisdiction such as the central staff personnel agency, or to the courts. In most cases, these authorities are not mutually exclusive, and, hence, an appellant may seek to invoke more than one of the above authorities to negate an adverse decision. In jurisdictions where the appeal is entertained, the appellant usually is required to state in writing his objections to the initial decision. In some instances, the head of the agency or the personnel officer or the appeal board decides such an appeal wholly on the merits of the written record, while in other jurisdictions another hearing may be conducted by the authority invoked. Where a hearing is provided, the hearing process described above is generally followed. Appeal authorities may have absolute or

limited power of review. When the courts intervene in a removal case, judicial consideration may be limited to questions of law. In some instances, however, courts have weighed both law and fact in arriving at ultimate decisions.[4]

Retirement.—As used in this paragraph, retirement refers to the action initiated by an agency to qualify an employee for retirement benefits established by a retirement system. The action may be initiated when an employee's physical or mental condition renders him incapable of performing the duties of his position satisfactorily. When an employee who becomes disabled is not covered by a retirement program, the separation process may take the form of removal for disability, rather than retirement. The subject of retirement is discussed more fully in the next chapter.

Abandonment of position.—This is a form of separation utilized when an employee, without authority, leaves his post of duty or fails to return to duty at the expiration of an authorized period of leave. An employee may be separated for abandonment of position if his unauthorized absence continues for a specific minimum period, such as five workdays, and if it appears that he has no intention of returning to duty.

Under the procedure of separating an employee for abandonment of position, the agency attempts to learn whether the employee, in fact, has chosen not to return. A letter seeking to locate the employee and to ascertain his intentions is directed to his last known address before separation for abandonment of position is effected. Unless reasonable effort is made by the agency to appraise the employee's intentions, unfairness to the employee may result. Thus, if an employee is physically incapacitated for duty and is unable to notify the agency, use of this method might be improper.

Layoff.—Layoff or reduction in force refers to the separation of one or more employees by an agency for the specific purpose of reducing the total number of personnel in the agency. A layoff may be caused by lack of funds, abolishment of positions, abolishment of activity, reduced personnel ceilings, reorganization of functions,

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[4] Unsigned, "A Pattern for Administrative Review of Removals," *Good Government,* March–April 1944, pp. 13–15; McNamara, W. C., "Removal of Employees," *U. S. Veterans Administration Personnel Information Bulletin,* September 1950, pp. 10–12; McCloskey, Robert G., "The Case for 'Foot-in-the-Door,'" *National Municipal Review,* March 1945, pp. 122–124; Pillon, Charles G. and Eliot Kaplan, "Court Review of Employee Discharges," *Civil Service Law Reporter,* November 1951, pp. 108–114.

decrease of work, the necessity of making a position available for a former employee with re-employment rights or by other reasons.

Procedures for carrying out a layoff vary considerably among jurisdictions. In some instances, a layoff is executed as a result of a subjective determination by an agency of individual employees to be fired. In other units, more elaborate methods provide for the objective establishment of competitive areas of organization and competitive levels of positions with the identity of employees to be separated systematically determined through the application of fixed formulae based on such factors as seniority and efficiency.[5]

Decision made within the jurisdiction but outside of agency.— Where the decision to separate is made within the jurisdiction but outside the agency in which the employee works, the separation may take the form of (1) disqualification for failure to meet conditions of employment, (2) mandatory requirement, or (3) separation for military duty.

Separation for disqualification for failure to meet conditions of employment may be used when it is eventually determined that an employee does not meet all conditions specified at the time of appointment. Illustrations of such disqualification are the inability of an employee to qualify in a character investigation and the subsequent discovery of material information, originally withheld by an employee, which, had it been known by the central staff personnel agency, would have disqualified the employee for consideration for appointment.

Under the procedure for separation for disqualification for failure to meet conditions of employment, the fact of the failure of an employee to meet one or more conditions of appointment is usually communicated by the central staff personnel agency to the personnel office in the agency in which the employee works, together with an order for the line agency to separate the employee from employment. The line agency notifies the employee of the impending separation and usually indicates that the employee may appeal to the central staff personnel agency if he so desires. Unless the cen-

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[5] Brody, William, "Personnel Administration in a Liquidating Agency," *Public Personnel Review,* January 1946, pp. 25–30; Kronemeyer, Robert E., "Manpower Problems in Demobilizing the Navy," *Personnel Administration,* May 1947, pp. 32–40; Hiel, L. Clayton, *et al.,* "Handling Layoff Problems," *Personnel Series No. 131 of American Management Association,* New York, 1949; Bureau of National Affairs, "Layoff Problems and Procedures," *Management Review,* October 1949, pp. 539–541.

tral staff personnel agency reverses itself, the initial decision to separate is final.

A *mandatory retirement regulation* causes the separation of an employee from a jurisdiction when the employee reaches the maximum age for employment established by the legislature of the jurisdiction. Under mandatory retirement procedure, if the employee is covered by a retirement program, the agency notifies the employee approximately one month before the retirement date in order that appropriate retirement forms may be processed. The subject of retirement is discussed more fully in the next chapter.

Military duty, imposed by a legislature of a jurisdiction upon citizens of the jurisdiction, cauess individual employees to relinquish their civil service positions involuntarily. Since the decision requiring a person to participate in military training and service is made by military authority on an individual basis, an employee so selected usually learns of the impending training and service before the agency is notified. Hence, the employee usually notifies the agency with respect to the time he is expected to leave for such training and service. Re-employment rights may accrue to the employee who participates in such military duty.

Circumstances surrounding separation for military duty may be illustrated by reference to the Universal Military Training and Service Act of 1951.[6] Under the act, male citizens, generally, between the ages of 18½ through 25 are required to register with a local draft board; such citizens subsequently may be liable for training and service in the Armed Forces of the United States. The President is authorized to provide for the deferment from training and service of persons (1) whose employment in industry, agriculture, or other occupations or employment, or whose activity in study, research, or medical, scientific, or other endeavors is found to be necessary to the maintenance of the national health, safety, or interest; (2) who are in a status with respect to persons dependent upon them for support which render their deferment advisable; (3) who have children, or wives and children, with whom they maintain a bona fide family relationship in their homes.

Selective Service regulations issued pursuant to the act provide that a registrant be placed in a deferred classification if his employment in industry, or other occupation or employment, or whose ac-

[6] 65 Stat. 75.

tivity in study, research, or scientific or other endeavors is found by the local board to be necessary to the maintenance of the national health, safety, or interests. Under Selective Service rules, such employment is considered necessary only when all of the following conditions exist: (1) the registrant is engaged in such activity; (2) the registrant can not be replaced because of a shortage of persons with his qualifications or skill in such activity; (3) the removal of the registrant would cause a material loss of effectiveness of such activity. The local board has the responsibility for deciding which men will be deferred because of their civilian activity. No deferment from training and service is made except on an individual basis.

Under the operation of the act, individual government employees are deferred for reasons unrelated to their work (such as dependency); other government employees receive occupational deferments based upon the standards mentioned above. However, thousands of employees have been called to military training and service. A federal employee who leaves his permanent position for military purposes as described above and subsequently completes his training and service is granted re-employment rights if he makes application within ninety days after release. State and local employees—beyond Congressional authority—are subject to whatever state and/or local re-employment laws or rules are adopted.

Decision made beyond the authority of the employee, agency, and jurisdiction.—Where the decision to separate is made beyond the authority of the employee, agency, and jurisdiction in which the employee works separation may take the form of (1) separation for legal incompetence or (2) separation because of death.

Separation for legal incompetence results when an employee is declared mentally incompetent by a court of competent jurisdiction. As herein used, this form of separation applies only to the decisions of a court outside of the jurisdiction in which the employee works. In such cases, the agency, upon receiving notice of the court's decision, proceeds to remove the employee from the roll after giving notice to the employee or to his guardian or other appropriate individual.

In the case of *death* of an employee, the agency, upon obtaining due notice of the death, executes appropriate personnel forms and

may assist the next of kin in filing claim for any retirement, unused leave, or other financial consideration due to the estate.

Separation Rates

The rate of separations in an agency or jurisdiction is the relationship between the number of employees who are separated in the agency or jurisdiction and the total number of persons employed in the agency or jurisdiction. The rate is usually computed on a monthly basis. Thus, a separation rate of 5% in a specific agency means that five out of every 100 persons on the payroll of the agency leave the agency, voluntarily or involuntarily, during the month. The rate of separation of employees differs considerably within agencies of the same jurisdiction, as well as among jurisdictions. The separation rate of one agency or unit often fluctuates among months of the year because of seasonal employment, etc. The average turnover rate in the public service ranges from 2% to 5% per month.[7]

Separation rates reflect two types of cost: (1) production costs and (2) administrative costs. Production costs refer to such items as costs of training new employees on the job, costs of time of any temporary additional employees whose services are necessary to maintain the flow of work, costs represented by decreased work effort which sometimes characterizes the period between the time of the decision to leave an agency and the actual time of leaving and the cost of spoilage of materials and supplies caused by inexperienced employees. Administrative costs include the expenses of an agency personnel office in processing "out" employees who are being separated and in processing "in" replacements, expenses of the central staff personnel agency in recruiting new employees, orientation training costs, costs of eliminating employees from payroll accounts and adding replacements, and miscellaneous expenses such as booklets, forms, passes, etc.

Personnel offices find it desirable to analyze the separation rates of their agencies. Such analysis categorizes agency separations by types, as indicated earlier in this chapter. Within each type, frequency is studied; separations within each group are related to organizational divisions and branches of the agency, grade levels of employees who were separated, length of service, performance ratings and any other significant factors. After trends are ascertained,

[7] Byrt, W. J., "Why Measure Labor Turnover?", *Industrial Psychology and Personnel Practice,* September 1951, pp. 11–20.

administrative action may be suggested and corrective measures may then be taken.[8]

Separation in the Federal Government

The most comprehensive statistics on separations of government employees are maintained by the U. S. Civil Service Commission for federal employees. In a typical post-war year, 1948, the turnover rate in the federal government was approximately 2.9% per month. The separation rate for the past five years averages approximately 2.7% per month or approximately 32% per year. The rate changes perceptibly in time of emergency; illustration of this fluctuation is the separation rate for 1950: it will be recalled that in June of 1950 the Korean conflict began.[9]

In the federal government the monthly turnover rate in 1950 was as follows:

	%		%
Jan.	1.8	July	2.1
Feb.	1.6	Aug.	2.7
Mar.	1.6	Sept.	3.5
Apr.	1.8	Oct.	3.0
May	1.7	Nov.	2.3
June	2.2	Dec.	2.0

The annual rate of turnover in 1950, therefore, was 26.61%. In actual figures, the total number of separations among federal employees in 1950 was 447,110. A classification of the total number of separations is as follows:

		(%)
191,378	Resignations	43
108,937	Terminations	24
43,073	Reductions-in-force	10
27,831	Military	6
20,370	Transfer	5
10,042	Discharge	2
45,479	Other	10
		100

[8] Mitchell, John W., "Personnel Turnover in the Federal City Service," *Personnel Administration,* September 1949, pp. 10–11; Unsigned, "How Does Your Quit Rate Compare?" *Personnel Administration,* September 1949, p. 9; Waters, J. F., "Reducing Labor Turnover," *Personnel Journal,* July–August 1949, pp. 102–108; Willyoung, H. W., "You Can Cure Turnover," *Management Review,* July 1949, pp. 376–377; Marrow, Alfred and Gilbert David, "The Turnover Problem—Why Do They Really Quit?", *Personnel Administration,* November 1951, pp. 1–6.

[9] Drury, James W., *Separations of Federal Employees, 1937–1947,* Princeton, 1948.

It is interesting to note the turnover rates of federal employees in the metropolitan Washington area during the same period. For metropolitan Washington, the annual turnover rate in 1950 was 23.28%, as contrasted with the federal-wide turnover rate of 26.61%. In actual figures, the total number of separations in the metropolitan Washington area in 1950 was 49,670 employees. Again, in terms of certain types of separations, the following data for the Washington Metropolitan area are presented:

		(%)
21,347	Resignations	43
8,572	Terminations	17
6,230	Transfer	13
2,755	Reduction-in-force	6
2,315	Military	4
813	Discharge	2
7,548	Other	15
		100

Comparison with the preceding paragraph reveals that, although the percentage of resignations is the same, other percentages are in sharp contrast with the federal-wide figures for identical types of separation.

Since January 1951, employee turnover in the federal service has averaged approximately 3% per month.[10] General increases over 1950 occurred in all types except reduction-in-force and terminations. This turnover has been due, in large measure, to opportunities in private industry. Resignation from the service continued to outnumber any other type of separation. The turnover rate in the federal government constitutes a sharp challenge to legislative and executive officials as well as to first line supervisors.

The federal patterns for removal for cause and for layoff (reduction in force) embrace maximum safeguards and will be reviewed individually.

As early as 1912 Congress prescribed the procedure to be followed when employees are to be removed for cause in the competitive service. The initial law required preferment of written charges and opportunity for the employee to answer in writing.[11] Removal for cause may now be effected for such reasons as: (1) instructing

[10] See U. S. Civil Service Commission, *Monthly Report of Employment*, Washington; U. S. Department of Labor, *Suggestions for Control of Turnover and Absenteeism*, Washington, 1951.

[11] 37 Stat. 555.

persons with a view to their special preparation for civil service examinations; (2) criminal, infamous, dishonest, immoral, or notoriously disgraceful conduct; (3) refusal to furnish testimony as required by the Civil Service Commission; (4) unsatisfactory performance of duties; (5) improper political activity; (6) unauthorized removal or destruction of government records; (7) offenses listed on an agency schedule of offenses; and (8) reasonable doubt of employee's loyalty to the federal government.

Employees who are not preference eligible employees with special rights in removal cases fall into two general groups: (1) those who have completed a probationary or trial period of federal employment; and (2) those who are serving a probationary or trial period, those who have completed less than one year of current continuous federal employment, and those holding certain excepted positions.[12] For employees in the first category, a written recommendation for the removal of the employees is submitted to the agency personnel office. This request contains complete details of the employee's improper behavior. If, in the opinion of the agency personnel office, action other than removal is not practicable, a written statement of charges is given to the employee. In addition to a complete statement of charges, the written statement indicates the proposed action, directs the employee to show cause why he should not be removed, and specifies a reasonable period of time, usually three days, within which his answer must be received by the personnel office. Upon receipt of the employee's reply, the case is reviewed by the agency personnel office and the employee is granted a hearing if he so desires. Unless the hearing adduces material information favorable to the employee, a personnel action form is issued separating the employee for cause. He may file an appeal with the Civil Service Commission. For employees in the second category, the removal process is briefer; separation becomes effective after the granting of an informal hearing by the agency person-

[12] U. S. Congress House of Representatives Report 2330, 81st Congress, "Protecting the National Security of the United States by permitting the summary suspension of employment of civilian officers and employees of various departments and agencies of the Government," Washington, 1950; U. S. Congress Senate Hearings of Committee on Post Office and Civil Service, "To preserve the equities of permanent classified civil service employees," Washington, 1949; Huston, John A., "Removal of Executive Employees by Act of Congress," *Michigan Law Review,* November 1946, pp. 98–103; U. S. Civil Service Commission, *Federal Personnel Manual,* Washington, ch. S1; Unsigned, "Taking an Adverse Action," U. S. Department of Army, *Civilian Personnel News Letter,* July 10, 1950, pp. 6–7.

nel office during which time the employee is advised of the action about to be taken.

The Veterans' Preference Act of 1944 [13] provides that permanent and indefinite preference eligible employees who have completed a probationary or trial period cannot be discharged, except for such cause as will promote the efficiency of the service and for reasons given in writing. A preference eligible employee is given a thirty days' advance written notice stating all reasons for the proposed action. Under the act, preference eligible employees have the right to answer personally and in writing and to appeal such adverse actions to the Civil Service Commission.

The most elaborate layoff or reduction-in-force plan yet to be devised in public personnel management at any level of government is the program established by the Civil Service Commission for mandatory use by federal agencies. The plan, issued under the authority of the Veterans' Preference Act of 1944,[14] was followed in separating thousands of federal employees from the payroll during the period of curtailment of federal activities 1945–1950.[15] Although there have been modifications in the program since its inception, the procedures today are essentially the same as in the original plan.[16]

Basic to an understanding of the federal plan are the concepts of competitive area, competitive level, retention groups and subgroups, retention credits, and retention rights.[17]

A competitive area is the part of an agency within a local commuting area within which employees are considered to be in competition, in their respective competitive levels. A competitive level refers to all positions in the same grade of the same service, trade, or profession, within a competitive area, which are sufficiently alike that interchange of personnel is feasible with a reasonable period of training. Several competitive levels may exist within the same service and grade. Separate competitive levels within such groups may be established when differences exist which are significant in recruiting, training, or assignment. For ungraded positions, a

[13] 58 Stat. 387; see also Public Law 623, 80th Congress.

[14] 58 Stat. 390.

[15] Overholt, John A., "Reductions in Force in the Federal Civil Service," *Personnel Administration,* May 1944, pp. 20–22; Gray, Matthew R. and Walter F. Meyer, "Separating One Million Employees," *Personnel Administration,* May 1948, pp. 30–33.

[16] U. S. Civil Service Commission, *Reductions in Force in Federal Agencies,* Washington, 1950.

[17] U. S. Civil Service Commission, *Federal Personnel Manual,* Washington, ch. R3.

trade or occupation is generally considered a separate competitive level. Employees who receive additional compensation as specially skilled artisans are usually included in the same competitive level as other employees in their basic trade.

For retention preference purposes, employees are placed in retention groups. Retention groups are based upon tenure of employment and are designated PA, TA, X, Y, B, and C as follows:

Group PA—all employees currently serving under absolute or probational appointments in positions held by the employees on a permanent basis.

Group TA—all employees with permanent tenure serving under an indefinite promotion, demotion or reassignment.

Group X—all employees with competitive status serving under indefinite appointments which were made after September 1, 1950.

Group Y—all employees eligible to acquire competitive status under authority of Executive Order 10080 or Executive Order 10157.

Group B—all employees in positions in the competitive service without competitive status under appointments without time limitations.

Group C—all employees in the competitive service serving under appointments with definite time limitations.

Within each retention group there are four retention subgroups, based on veteran preference and performance ratings. These subgroups are as follows:

Subgroup 1—Employees with veteran preference unless performance rating is less than "satisfactory."

Subgroup 2—Employees without veteran preference unless performance rating is less than "satisfactory."

Subgroup 3—Employees with veteran preference and with performance rating less than "satisfactory."

Subgroup 4—Employees without veteran preference and with performance rating less than "satisfactory."

In addition to the above four subgroups for each retention group, for one retention group (PA) there is a fifth subgroup (Subgroup PA–1 Plus) which is provided to give highest retention preference to those status employees who are serving during the one-year period following their restoration after service in the armed forces or

in the merchant marine. Seasonal employees are considered in competition only with other seasonal employees in reductions in force. Employees serving on a when-actually-employed basis are considered in competition only when there are other when-actually-employed employees in reduction in force.

Retention credits are credits for length of service and performance ratings which are used in determining retention order in each retention subgroup. Retention credits are computed by allowing one point for each full year of federal service, plus five points for an "Outstanding" peformance rating and one point for a "Satisfactory" performance rating. To be used in determining retention register standing, a performance rating must be a current official rating. Civilian service is accreditable if it can be counted toward civil service retirement, regardless of whether the employee is eligible or will be eligible actually to receive retirement benefits. Credit is given for all active military service without regard to veteran preference, restoration, or retention rights. It is given even though the discharge may have been dishonorable. Credit is given for periods of leave without pay not exceeding six months in the aggregate in any one calendar year.

Under the federal reduction-in-force program, the personnel office of an agency is notified, by one or more line divisions of the agency, of the number and title of filled positions which are to be abolished. It must be stressed that, under the federal program, initiation of the reduction-in-force process is notification to the agency personnel office in terms of positions to be abolished, not individual employees to be separated. In order to select the individual employees who are to be separated in the reduction-in-force action, competitive areas and competitive levels are determined by the personnel office, and employees are placed in a retention order in the competitive levels affected. This order is shown for a particular competitive level on a retention register. A retention register is compiled for each competitive level in which a reduction in force is to be made, and it shows the names of all employees in competition by retention groups and subgroups. The retention register is arranged in sequence showing subgroups PA-1-plus with highest retention preference, followed in order by subgroups PA-1, PA-2, PA-3, PA-4, TA-1, TA-2, etc.

For successive reduction-in-force programs, employee records are reviewed and brought up to date with respect to length of serv-

ice, performance ratings, tenure, civil service status, veteran preference, and other particulars which may have affected retention preference since the records were last made current. A retention register is compiled for each reduction in force. The retention point is the point above which employees are retained and below which employees are separated, or placed elsewhere, unless retained by specific exception. When the number of employees to be eliminated from the competitive level has been decided, a count is made from the bottom of the register to locate the retention point.

Within each competitive level, employees in lower subgroups are generally eliminated before a higher subgroup is reached. Within each subgroup of retention groups PA, TA, X, Y, and B, action is generally taken with respect to employees with a lower number of retention credits before an employee with a higher number of retention credits is reached. However, if an employee has a retention right under an act of Congress or executive order, he is placed at the top of his respective subgroup. Because action may be taken at administrative discretion within any subgroup of retention group C, no computation of retention credits is necessary in retention group C. Discrimination against or in favor of any employee because of race, sex, or marital status or because of his political or religious opinions or affiliations is forbidden. After the identity of the employees to be affected by the process is determined by the personnel office by the methods outlined above, a written notice is prepared for each such employee. The notice indicates the action to be taken, the reason and the effective date of the action. At least thirty days' advance notice is required.

An employee with competitive status in the competitive service in group PA or TA who is affected by a reduction-in-force action is offered reassignment if there is a position in the competitive service held by an employee in a lower retention group or subgroup. An employee in group X or Y in a position in the competitive service is offered reassignment if there is a position in the competitive service held by an employee in a lower retention group or subgroup. An employee in subgroup B-1 in a position in the competitive service is offered reassignment if there is a competitive service position held by an employee in a lower retention group or subgroup.

An agency has a continuing obligation to place satisfactory career employees separated solely as a result of reduction in force. In

compliance with this obligation, a reappointment reserve list is maintained by each agency. With respect to each competitive area where career employees in subgroups PA-1 or PA-2 are separated on the basis of a reduction-in-force notice, the employee's name is entered on the reappointment reserve list for all positions in the agency for which he is qualified and available. His name remains on the list for a period of one year from the date of his notice, unless (1) he requests its withdrawal in writing, (2) he accepts a position in another federal agency, or (3) he declines reappointment to a position in the competitive service equivalent in grade and salary to the position from which he was separated. To strengthen the concept of the reappointment reserve list, the rules provide that a position in the competitive service for which there is a qualified person available on the reappointment reserve list cannot be filled by appointment from another agency or by a new appointment except a qualified ten-point preference eligible. Furthermore, such a position cannot be filled by the reappointment of a person who is not on the reappointment reserve list unless such person is a preference eligible. If all qualified persons on the reappointment reserve list decline, or fail to respond to, offers of reappointment to the position, the restrictions cited above do not apply.

Retention groups PA, TA, X, and Y were devised late in 1950 in order to bring the reduction-in-force program in consonance with the types of appointment prevailing under the Whitten amendment and Executive Order 10180. Prior to this time, there were three retention groups: A, B, and C. It is presumed that when the normal use of the probational type of appointment is resumed, retention groups PA, TA, X, and Y will be eliminated.

There have been vigorous objections to the reduction-in-force plan of the federal government.[18] The procedure itself is cumbersome. "Bumping," or the process whereby one employee with more retention points displaces another employee, frequently results in a series of reassignments and demotions which seriously disrupt the work of an agency. The procedure causes unnecessary fear and panic among many employees of an agency about to have a reduction because of lack of understanding of the system and because the operation often results in better qualified employees losing their positions while less qualified employees may be retained.

[18] See, for example, "Commission on Organization of the Executive Branch of the Government," *Personnel Management*, Washington, 1949, pp. 34–37.

The factors which serve as a basis for determining an employee's retention points give no regard to personality and personal traits which, from an operating point of view, may far outweigh mere seniority. It is anticipated that drastic modifications will be made before the reduction-in-force procedure can be used, with appropriate results, in another large-scale layoff.

Separation in State Government

At the state level, employee-initiated separations are greater in number than agency-initiated separations. Resignation constitutes the most common form of employee turnover. Of the variety of reasons offered for resignation from state employment, the most frequently expressed cause is the relatively low salaries established in many states for their employees. The turnover rate among state employees averages approximately 3% per month.[19]

The legal framework for agency-initiated separations at the state level is varied. With respect to legal prohibitions on separation initiated by an agency, twenty-one states prohibit dismissals for political or religious reasons. Eight states prohibit dismisals for racial reasons. One state, Pennsylvania, prohibits dismissals for labor union affiliation. Although it is not a common practice among states to enumerate specifically all possible grounds for dismissal, eleven states make an enumeration of specific grounds for such type of separation. Usual reasons are inefficiency, dishonesty, drunkenness, immoral conduct, insubordination, incompetency, neglect of duty, misfeasance, malfeasance, nonfeasance in office, serious violation of a civil service act or rules, and discourteous treatment of the public. Virginia includes bribery and the use of political pressure to obtain appointments as valid grounds. New York includes striking on the part of government employees. Twelve states authorize dismissal for the "good of the service" or for "just cause." [20]

It is significant that twenty-one states make the holding of a hearing mandatory if the employee requests it. With respect to appeal procedures, most states permit an appeal to be made to the central staff personnel agency. In some states the appellate body

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[19] MacDonald, Austin F., *American State Government and Administration,* New York, 1950, pp. 377–378.

[20] Illinois Legislative Council, *Right of Appeal from Removals under the Merit System,* Springfield, 1939; New York State Department of Labor, *Discharge for Cause, a Study of Arbitration Awards, 1937–1946,* Albany, 1948.

has only advisory authority and can merely recommend reinstatement; in fifteen states, however, the rules specifically provide that the appeal board has authority to require reinstatement. In eight states, an employee who is dismissed may appeal to a state court.

Separation in Local Government

Especially because of the influence of party politics, agency-initiated or at least agency-inspired separations prevail over bona fide employee-initiated separations in many local jurisdictions. The influence of politics on separations can be especially appreciated when it is realized that lack of legal safeguards for employees from the spoils-men in numerous local jurisdictions often prompts resignations from employees in preference to formal agency action. From the viewpoint of the local level of government as a whole, resignation constitutes the largest single form of separation. The turnover rate among employees continues over a period of time as high as 6% per month in several sizeable jurisdictions; the rate for all local units approximates 4½% per month.[21]

Where legal protection exists for the employee against indiscriminate agency-initiated or agency-inspired separation, the personnel rules of the local jurisdiction stipulate causes for dismisal and insure a hearing for the employee, followed by right of appeal to a third party, usually the central staff personnel agency. In a minority of local jurisdictions, an employee charged with an offense sufficient to warrant dismissal is permitted to offer witnesses and have a lawyer present his case for him.

A decision on the part of local government to separate large numbers of employees at one time is uncommon; therefore, there have been comparatively few occasions at the local level for resort to formal layoff or reduction-in-force plans. Where layoffs have been effected, there has been little effort to set up a program similar in principle to the reduction-in-force program of the federal government; to the contrary, such layoffs are often made on a personal basis with subjective evaluation by a supervisor or, in some instances, the agency head is prompted by political motives. An exception to the general situation in this respect is typified by action applicable to city employees in San Diego, California: there, in a layoff, credit is

[21] Unsigned, "Removals in the Civil Service," *Good Government*, September–October 1950, pp. 36–41.

given to seniority in the ratio 1:2 and efficiency is counted as ⅔ in determining individual employees to be separated involuntarily.

Problems of Administration

Among the problems associated with the administration of the separation function, the following call for special attention:

Amount of time incident to separating incompetent employees.—Compliance with the steps involved in separating incompetent employees may consume an excesive amount of time. In some cases the unusual length of time required to separate is the result of inadequate supervisory knowledge of the removal process or of reluctance to utilize proper separation techniques. In other cases, highly technical removal procedures are responsible for undue delay. In certain unusual cases more than a year has transpired between the time of the initial decision to remove an employee for cause and the date of the actual removal.

An efficient removal process must provide for results within a reasonable period of time. At the one extreme, the process must not be so swift that employees may be treated unfairly. At the other extreme, the process must not be so slow that management may be treated unjustly. What is a reasonable amount of time depends upon the facts of the particular situation. However, care should be taken to insure that the supervisor understands and can follow removal regulations as expeditiously as possible. Any legal obstacles to the reasonable operation of the removal process should be removed.

Rate of turnover.—The rate of turnover in many jurisdictions is excessive. Excessive turnover is costly not only because of the necessity of training replacements but also because of the continuous adverse effects upon operations. Related to the turnover problem is indifference on the part of management in some jurisdictions with respect to its turnover rate. When one realizes that a monthly turnover rate of approximately 9%, continued for twelve months, mathematically means a complete new staff in a year, the drastic implications of high turnover rates become evident.

Constant evaluation of the rate of turnover tends to make supervisors potentially aware of the tremendous wastes of manpower engendered by separations. Since the most frequent type of separation is resignation, effort must be directed to reduce the causes and frequency of resignations if turnover rates are to be appreciably

reduced. Although it has been shown that causes for resignation are diversified, a sound approach toward a reduction in turnover rates seems to be to improve the total work environment of the employee through the adoption of progressive programs of human relations in personnel management.

Difficulty of obtaining actual reasons for resignations.—Employees who resign often do not state actual reasons for relinquishing their positions. Sometimes these employees do not want their personnel records to reveal individual difficulties which may be the cause for resignation. In other cases employees fear reprisals if they blame supervisors. Often there is a desire on the part of the employee to overlook annoying work situations. Nevertheless, constructive efforts directed toward corercting unpleasant working conditions and improving an agency's personnel program are handicapped by inaccurate or false statements on the part of employees with respect to their reasons for resigning.

The difficulty of obtaining actual reasons for resignations may be partially overcome through the establishment of an exit interview procedure. Management must assure employees that their frank reactions, including their opinions of the work environment at the time of departure, will be used to benefit the total organization. Great care must be exercised to guard against any possible reprisals toward employees who accept management's invitation to speak the truth with respect to their resignations. In a positive way, management must create an atmosphere conducive to honest evaluation by employees.

Retention of relatively incompetent employees in layoff periods.—In many layoff or reduction-in-force programs, there is little or no evaluation by management of intangible, but necessary, positive attributes of employees such as judgment and insight. That it is desirable to protect employees from supervisory prejudices, especially at the time the work force is to be reduced, is obvious. However, the needs of government are not served when the determination of what employees are to be retained is based wholly on such factors as total years of service or the presence or absence of veteran preference. In the actual operation of formal reduction-in-force programs, employees who possess certain intangible skills, such as the ability "to get along with others," and whose skills are urgently needed are often separated while others not possessing such intangible skills are retained through the use of formulae giving weight

solely to certain objective factors. Furthermore, party politics as the determinant in employee layoffs has been all too frequent, especially at the state and local levels.

At the time of a reduction in force, attention must be given to evaluating employees, in competition with each other, on the basis of all major factors which bear a definite relationship to the needs of the work situation. Until reduction-in-force systems contain provisions for giving consideration to important intangible factors directly related to job performance, reduction-in-force programs will continue relatively less competent employees in their positions while eliminating many of the more competent employees which government can ill afford to lose.

Exercise of discretion to remove by other than line officials.—In some instances, the initial decision to remove is made by the first-line supervisor, who bases his decision on the facts of the situation as he sees them; however, the supervisor's decision is overruled subsequently by staff officials or by other authority outside of the chain of command. When the usual result of the invocation of an appeal to outside authority is to overrule the decision of a supervisor, and this ultimate decision is based on a reanalysis of facts and not on an interpretation of law, there is an understandable tendency for a supervisor to refrain from initiating any further action to separate an incompetent employee. Thus, not only has the authority of the first-line supervisor been successfully challenged, but the subsequent value of the removal technique is seriously impaired.

The authority of a line official to select also carries with it the authority to remove, provided specified procedures and safeguards are followed. Except for those cases in which an employee reasonably raises a countercharge of discrimination based on race, religion, or politics, final authority to remove an incompetent employee should rest with line management, preferably in the first-line supervisor, subject to review by other authority only on questions of law.

Lack of understanding of type of separation and procedures surrounding individual types.—There appears to be a wide-spread misunderstanding on the part of both supervisors and employees with respect to the type of separations and the procedures surrounding individual types. This misunderstanding also pertains to the choice of type of separation applicable to a particular set of facts. Much of the inertia of supervisors to use the separation process and of occasional misdirected efforts of employees to protect their interests

may be attributed to such lack of understanding. Through ignorance of removal procedures, for example, some supervisors procrastinate in assuming their responsibilities to remove, hoping that somehow the situation causing the friction will rectify itself.

Personnel officials must continuously educate both supervisors and employees in the purposes and techniques of the separation function. Employee handbooks, agency newspapers, supervisory manuals, agency procedural publications—to name a few—are media which may be used for such purpose. Adequate knowledge of the responsibilities of both supervisors and employees is sufficient, in many separation cases, to forestall subsequent complex and unnecessary administrative or appellate action.

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CHAPTER 11

Retirement

Significance.—Among the millions of individuals in public employment at any one time, there is always a number whose advanced age or physical incapacity seriously curtails or, in some instances, obstructs their work efforts. Occasionally individuals die while in public employment. Much attention has been given to problems of attracting persons to the civil service; by contrast, until approximately a decade ago, comparatively little planning had been done about the separation of employees who approached old age or experienced physical deficiencies or about the survivors of employees who died. To establish an orderly method of providing benefits for superannuated and physically disabled employees and for survivors of active or retired employees, many jurisdictions have created retirement programs.

PURPOSE OF A RETIREMENT PROGRAM

A sound retirement program is advantageous to both the employer and to the employee.[1] From the viewpoint of the government as employer, a sound plan:

(1) *Offers an equitable method of separating from the public service superannuated and disabled employees who are no longer physically able to work.* A plan for the systematic exit from government service of the aged and disabled relieves the individual government agency (but not the jurisdiction) of the responsibility for these employees who can no longer carry out their duties effectively.

(2) *Stabilizes public employment by providing an incentive to experienced employees to continue in the public service at least until minimum conditions for retirement are met.* An employee

[1] Weinburg, A. A., "Retirement Plans in Relation to Public Personnel Administration," *Public Personnel Review,* July 1943, pp. 153–164.

who has contributed financially to a retirement plan for a period of years and who is contemplating leaving the public service will carefully consider the loss he will sustain through voluntary separation from the service, prior to his making a final decision. Membership in a retirement system often acts as a powerful motive for the employee to continue in public employment.

(3) *Assists recruitment for the public service by attracting more desirable employees.* The salary differential which so often favors the similar position in private employment is often minimized or offset by the existence of specific subsidiary benefits of public employment, such as a sound retirement program. The availability of such a program becomes a material factor in the efforts of government, in competition with private industry, to secure competent employees.

From the viewpoint of public employees, a sound retirement plan:

(1) *Provides financial protection for all employees against insecurity due to old age, disability, and death.* Such protection is particularly desirable because most public employees are presently not covered under the federal social security program.

(2) *Relieves employees of fear that they will eventually become dependent upon their families or their friends or that they might even become public charges.* Under a well-planned program public employees with dependents have assurance that their wives and children will receive financial assistance upon the death of the public servant.

(3) *Fosters promotional opportunities for employees and stimulates morale.* As experienced employees fill the gaps left by retirement of older employees, an upward movement of employees within an organization takes place. In turn, younger employees enter at the lower levels of the organization to assume the duties left vacant by the progression of personnel. The progressive movement of personnel fosters confidence in future opportunity in the organization.

The basic objective of a sound retirement plan is to promote efficiency and economy of administration. Superannuation, disability, and death are normal factors to be considered in the life span of individuals. Systematic provision for such contingencies is merely

the recognition of a necessary obligation inherent upon the governmental unit which utilizes the services of employees. The establishment of a retirement program for public employees should not be construed as an act of charity of a benign legislature.[2]

Administration of a Program

The administration of a retirement program for public employees is usually carried out by a retirement board independent of other agencies in the jurisdiction or by the central staff personnel agency. Where a board is set up, the board is usually composed of an odd number of members, frequently three or five persons, appointed by the chief executive of the jurisdiction or other high administrative authority. Employees who are members of the retirement program are often specifically represented by an employee representative. The chairman of the central staff personnel agency is sometimes a member of the retirement board. The chief finance officer of a unit is frequently an ex-officio member. Generally an executive director selected by the board maintains accounts, records, and files and is responsible for normal operations.

The authority of a retirement board varies. Typically, however, a board formulates policy pursuant to the charter or basic law creating the retirement program, devises procedures to carry out the program, and exercises general supervision over the operations under the more immediate control of an executive director.[3]

Specific Monetary Benefits

Specific monetary benefits provided by public retirement programs differ widely. Basically, however, there are two types of such benefits: benefits for employees and benefits for dependents of employees.

Benefits for employees may be in the form of a retirement allowance to begin when an employee reaches a retirement age and to continue until his death or a periodic allowance in event of disability. With respect to a retirement allowance incident to super-

[2] MacDonald, Austin F., *American State Government and Administration,* New York, 1950, pp. 379–382; Municipal Finance Officers Association, *Retirement Plans for Public Employees,* Chicago, 1946; Wyatt, Birchard E., *et al., Employee Retirement Plans,* Washington, 1945.

[3] Weinburg, A. A., "Current Trends in Public Pension Policies," *Minnesota Municipalities,* February 1949, pp. 47–49; "Significant Trends in Pension Planning for Public Employees," *Public Personnel Review,* April 1950, pp. 78–91.

annuation, the age of retirement is frequently determined by the occupations of employees included in the system as well as by conditions of employment within the group. The physical fitness of certain groups of public employees, such as, for example, policemen, is generally reduced at an age earlier than that of general public employees. Hence, the retirement age for policemen is usually an earlier one than the age set for retirement of public employees in general occupations. For the most part, there is a minimum optional age at, or after, which employees with a fixed amount of service may retire; there is also a maximum age at which an employee must retire. The minimum optional age must not be so low that the average employee will not have had the time during which to build an adequate amount to his credit in the retirement fund nor so high that the employee must spend practically all of his life in employment. The maximum age must not be so low that the general quality and unique skill of employees is necessarily lost nor so high that the employee is permitted to work beyond his period of usefulness.

With respect to a retirement allowance incident to disability, payments are made to employees during periods of incapacity for the performance of duty because of physical or mental disability. Disability benefits are often claimed on the basis of service-connected and non-service-connected disability. Eligibility for disability benefits usually rests upon the employee's inability to continue in his same or similar position. Employees are normally required to complete a minimum number of years of service in the jurisdiction before they are eligible for disability retirement.

Benefits for dependents of employees may be in the form of death benefits, where an employee dies before retirement, or benefits payable, where a former employee dies after retirement. When death of an employee occurs before his retirement, the dependent may receive a lump-sum payment, the size of which is related to the employee's salary and his length of service, a monthly income for a specified period, or a life income payable to the widow but subject to termination if she remarries. In addition, benefits may be provided for other beneficiaries such as children of the deceased employee. When death occurs after the retirement of an employee, the dependent may receive a lump-sum payment, a continuation of

the income payable to the retired employee, or a percentage of the retired employee's income for a specified period or for life.[4]

Determination of Benefits

One of three methods is usually used to determine a retirement allowance. Under the *money purchase* or *cash accumulation method,* the individual retirement allowance is the actuarial equivalent, based on annuity tables, of the total contributions made by the employer and employee, plus interest. This method is comparatively easy to administer and is capable of adjustment. Its chief disadvantage lies in the fact that the retirement allowance is generally small since the contributions are made at varying rates of pay during the employee's service.

A second method for computing a retirement allowance is *the use of a specific percentage of the final or of the average salary of the employee.* When the final salary is used, the amount of the allowance may be appreciably varied through salary changes made immediately prior to actual retirement.

A third method of determining a retirement allowance aims to minimize objections to both previous methods by *combining features of both previous methods.* Under the third method, the retirement allowance is based on the money purchase plan applied to the employee's contributions and the percentage-of-salary method applied to the employer's contribution, with or without consideration to the age of retirement. This method results in a more reasonable relationship between the individual's retirement allowance and his final salary.

Disability benefits may be the result of the actual accumulation to the employee's credit, a projection of this accumulation, or an arbitrary amount related to length of service. If a distinction is made between service-connected and non-service-connected disability, the former kind of disability results in a greater benefit. Death benefits are normally determined by the accumulated amount of contributions made by the employee, frequently augmented by an amount from the employer.[5]

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[4] Municipal Finance Officers Association, *Retirement Planning for Small Municipalities,* Chicago, 1948; Pizer, Marguerite L., "The Jumble of Public Retirement Systems," *George Washington Law Review,* December 1942, pp. 57–71.

[5] Hollenberg, Maximillian R., "Examination of Retirement Systems," *Municipal Finance,* February 1944, pp. 22–24; Donner, John W., *Collateral Provisions of a Retirement Plan,* Pittsburgh, 1943.

Financing

The cost of any retirement program is the sum of benefit payments and administrative expenses, less the interest on invested assets. Obligations under retirement programs are specific and normally increase over a period of time. In a sound system, provision is made in advance for meeting accruing obligations through the accumulation of reserves. Factors considered in deciding the amount of reserve accumulations include employment turnover, mortality among employees, mortality among annuitants, sex of employees, and the marital status of employees. The financing of a retirement program is essentially an insurance problem.[6]

Contributions to finance retirement programs for public employees come from three sources: from employees alone, from the employer alone, and from both employees and employer. The method of *joint contributions* appears to be the most satisfactory manner to finance the program because both employer and employee have an interest in the continuance of the retirement program on a sound basis and because both employer and employee benefit from the program.

Employee contributions are generally based on a percentage of the individual's basic salary and are made at the time the salary is received. Although the percentage is normally levied on the total basic salary, there is sometimes a maximum amount of salary beyond which an employee does not pay a contribution. Contributions are credited to the individual's own retirement account which is normally augmented by interest earned on the contributions.

Employer contributions usually embrace all benefits based upon service prior to the creation of the plan and all benefits not covered by employee contributions. Methods of employer contributions vary and may include, for example, an appropriation equal to the amount actually needed during the current year for benefit payments, current contributions to finance benefits based on current service, and full funding of prior service at the time of creation of the plan.

In any event, it is essential that the manner of financing the retirement program be sound and that the amount available to maintain the fund be sufficient to meet current needs of the program.[7]

[6] Brown, Edward D., *Actuarial Requirements in a Retirement System,* Chicago, 1942.

[7] Thompson, James, "Essential Features of a Model Retirement System," *American City,* July 1949, pp. 84–85.

Fundamental Principles

Examination of existing retirement programs for public employees indicates that there are certain fundamental principles characteristic of most sound programs. These general principles are: (1) all permanent employees (appointive and elective) of a jurisdiction should be included under the system; (2) the cost of a retirement program should be determined on an actuarial basis before it is adopted; (3) the rate of contributions should be so set at such a point that adequate reserves for meeting liabilities are virtually guaranteed; (4) where possible, employees of smaller local units of government should belong to a state-wide retirement program; and (5) the basic features of a retirement plan should be based upon the needs of the particular employer and employees concerned.[8]

Retirement in the Federal Government

Major plans.—The federal government operates both contributory and non-contributory retirement plans for its employees.[9] Exclusive of the retirement plans for policemen, firemen, and teachers of the District of Columbia, the contributory plans include the Civil Service Retirement System, the Federal Social Security System, a system for civilian members of the U. S. Naval Academy, a system for employees of the Tennessee Valley Authority, and systems established under the Foreign Service Retirement and Disability Act, the Federal Reserve Act, and the Banking Act of 1933. Non-contributory retirement plans (civilian) of the federal government for its employees in the executive branch apply to members of the Coast Guard (including the Lighthouse Service) and commissioned officers of the Coast and Geodetic Survey and of the Public Health Service.

The Civil Service Retirement System (CSRS).—The initial Civil Service Retirement Act, the Sterling-Lehlbach Act of 1920, became effective for retirement purposes on August 21, 1920.[10] Numerous amendments have been made to the original act, including major changes made in 1926, 1930, 1939, 1942, and 1948.

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[8] Meriam, Lewis, *Principles Governing the Retirement of Public Employees,* New York, 1918; Municipal Finance Officers Association, *Retirement Plans for Public Employees,* Chicago, 1946.

[9] Brannon, Thurza J., *Outline of Federal Retirement Systems,* Washington, 1948.

[10] 41 Stat. 614.

The 1948 Amendment to the Civil Service Retirement Act [11] has been said to constitute the greatest single advance in the history of retirement legislation. Principal features of the amendment include (1) survivor annuity benefits to widows and children of employees who die after February 28, 1948, and of annuitants who retire after that date; (2) immediate annuities for employees with at least 25 years of service who were involuntarily separated subsequent to June 30, 1947; (3) reduction of interest rate on deductions, deposits, and redeposits from 4% to 3%, effective January 1, 1948; (4) increase of retirement deductions on base pay from 5% to 6% effective the first day of the first pay period which began after June 30, 1948; (5) larger annuities for employees who retire optionally before reaching the age of 60; (6) new methods of computing annuities; (7) new types of annuity for retiring employees; (8) optional refund of deductions to an employee separated before becoming eligible for retirement and with less than 20 years of civilian service; (9) elimination of the $1.00 per month service charge ("tontine"); (10) full credit for military service without deposit; (11) an increase in annuities for persons receiving annuities at the time the amendment was passed; and (12) establishment of optional retirement at age 50 years for agents, inspectors, and certain administrative personnel of the Federal Bureau of Investigation who render 20 years of service.

The Civil Service Retirement System today has the largest membership of federal employees of all contributory systems. Reference is now made to current key provisions of the Civil Service Retirement System inasmuch as they represent the most advanced program for any sizeable number of public employees.[12]

Coverage of CSRS.—The Civil Service Retirement System includes all appointive officers and employees in the executive and judicial branches and all appointive and elective officers and employees in the legislative branch who are not subject to another retirement system and who are not specifically excluded by statute or executive order. This system also covers all officers and employees of the municipal government of the District of Columbia who are not subject to another retirement system. Membership in the sys-

[11] 62 Stat. 48.

[12] U. S. Civil Service Commission, *Federal Personnel Manual*, Washington, ch. R5; U. S. Civil Service Commission, *An Informational Handbook on Retirement for Use Throughout the Federal Service*, Washington, 1950; U. S. Civil Service Commission, *Your Retirement System*, Washington, 1951.

tem is automatic with the exception of members of Congress and certain other officers and employees in the legislative branch who must make affirmative election to obtain coverage. Approximately 70% of all federal employees are now included in this system. Presently, there are approximately 174,000 retired employees and approximately 38,000 survivors of deceased employees receiving benefits from the system.

Contributions under CSRS.—Deductions are automatically made from an employee's basic salary each pay period. Effective since the first pay period after June 30, 1948, the rate of deduction has been 6%. Previously, employees' contributions were 2½% (1920–1926), 3½% (1926–1942), and 5% (1942–1948). In addition to the mandatory 6% deduction, an employee may make voluntary contributions to purchase additional annuity. The government makes annual contributions sufficient to maintain the retirement fund in a sound financial condition. Prior to the 1948 Amendment, Congress appropriated annually over $200,000,000 directly to the fund. Since 1948, amounts so appropriated have averaged approximately $288,000,000 annually, with the amount appropriated directly to the fund by Congress for the fiscal year 1952 being approximately $310,000,000.

Creditable service under CSRS.—All civilian service in the federal government and the District of Columbia government (including service in temporary positions and in positions excepted from the competitive requirements of the Civil Service Act), and generally all periods of active honorable military service, are creditable for retirement purposes. (The word "service" used hereafter in this section means "creditable service.")

An employee is given full credit, without deposit, for all civilian service performed before August 1, 1920, and for military service regardless of when the military service was rendered. An employee may receive full credit for civilian service performed after July 31, 1920, for which no deductions were taken by making deposit to the retirement fund. In such instance, the amount required for deposit is the proper percentage deduction of salary plus interest during all periods of employment. If such a deposit is not made, the annuity is reduced by $\frac{1}{10}$ of the amount of the payment. An employee may receive credit for service for which he has received a refund only by making redeposit to the fund.

Types of retirement under CSRS.—Five years of service as a civilian employee are required before an employee may receive annuity benefits under any condition. (See Fig. pp. 422–423, Appendix.) After completion of the 5-year minimum, an employee may become eligible for one of five types of annuity benefits:

(1) *Age retirement.*—Generally, an employee must retire at the of 70 if he has had 15 years of service. An employee with less than 15 years of service at the age of 70 may be continued in the service until his 15 years are completed if his services remain satisfactory and are needed.

(2) *Optional retirement.*—Employees may exercise the option to retire provided one of the following requirements is met:

(a) At or after age 60 upon completion of 30 years of service.

(b) At or after age 62 upon completion of 15 years of service.

(c) Between the ages of 55 and 60 upon completion of 30 years of service, at a reduced annuity.

(3) *Discontinued service retirement (after 25 years).*—An employee may retire on a reduced annuity, regardless of age, if he is involuntarily separated through no fault of his own after serving 25 years.

(4) *Discontinued service retirement (after 5 years).*—An employee may receive an annuity when he reaches the age of 62 if at the time he is separated from the service he has completed 5 or more years of service.

(5) *Disability retirement.*—An employee may retire because of disability after 5 years of service if he is found by the Civil Service Commission on official medical examination to be totally disabled for useful and efficient service in his position or a similar one. The disability need not be caused by an employee's official duties but it must not be the result of misconduct or vicious habits. Application for disability retirement must be made before separation from the service or within 6 months thereafter, except in cases of certain incompetent and hospitalized persons.

Annuity benefits for widows, widowers, and children under CSRS.—If a married male employee dies while still in active service, his widow may be eligible to an annuity, provided the employee had completed 5 or more years of civilian service and the widow had

been married to the employee for at least 2 years immediately prior to his death. The annuity to the widow begins either on the first day of the month following the employee's death if the widow is 50 years of age or over, or on the first day of the month when the widow becomes 50 years of age (unless there is a dependent child). If an employee dies while still in active service and leaves a child but no widower, each child may be entitled to an annuity. Such child must be unmarried and under 18 years of age or incapable of self-support.

If an annuitant at the time of retirement elected a "reduced annuity with benefit to widow or widower" and subsequently dies, an annuity is paid to the designated widow or widower. This type of annuity is available only to married employees retiring under the age, optional, discontinued service (after 25 years) or disability retirement. Regardless of the type of annuity chosen at the time of retirement, the widow of an annuitant may be entitled to an annuity upon his death, provided (1) the annuitant had at least 15 years of service, (2) the annuitant left a widow and an unmarried child under 18 years of age, (3) the widow is less than 50 years of age, and (4) the widow had been married to the annuitant at least two years immediately prior to his death.

Under the "reduced annuity with benefit to person named" plan, unmarried employees retiring in good health elect a reduced annuity with a benefit after the death of the annuitant to the person named by him. In this plan, the person designated must have an insurable interest in the retiring employee.

Amount of annuity under CSRS.—All annuities are computed under a basic formula. When the employee's annual average basic salary for his highest 5 consecutive years of federal service is $5000 or more, the annuity is the product of 1½% of that average multiplied by the total number of years of service. If the employee's 5-year average is less than $5000, the annuity is the product of 1% of that average plus $25.00 multiplied by the total number of years of service. In any event the total annuity may not exceed 80% of the average salary for the highest 5 consecutive years. When some part of the employee's federal employment was in a position for which no deduction was made for retirement purposes, the employee's annuity is naturally lower than that of the employee who has made all required deposits. The individual who is deficient on paid-up service may correct that situation by making a deposit in

the fund equal to the proper amount of deductions with interest. In the instance of an employee who has a portion of service for which he did not contribute to the fund, the computation of the annuity is based upon the amount to which the employee would have been entitled if all his service since August 1, 1920, has been covered, less $\frac{1}{10}$ of the amount of the payment required to obtain full service credit.

Any employee retiring in the future who has taken a refund at any time in his federal career and has not redeposited the money in the fund since his return to a position under the Retirement Act must make his payment, with interest, before he can be given credit for that earlier service in the computation process.

The annuities for optional retirement between the ages of 55 and 60 with 30 years of service and for discontinued service after 25 years are first computed under the basic formula and then reduced by $\frac{1}{4}$ of 1% for each full month (3% for each full year) an employee is under age 60.

Under the "reduced annuity with benefit to widow or widower" plan, an annuitant takes a reduced annuity and thus provides an annuity for the widow or widower upon the annuitant's death. Under this plan, the annuitant receives 95% of the first $1500 of the life annuity rate plus 90% of the excess, if at the time of retirement the designated wife or husband is 60 years of age or older. If the designee is under 60 years of age, a further deduction is made amounting to $\frac{3}{4}$ of 1% of the full life annuity rate for each full year the wife or husband is under 60 years of age. After the annuitant's death, the designee receives an annuity equal to 50% of the life annuity rate. Under the "reduced annuity with benefit to person named" plan, the annuitant receives a percentage of the life annuity (ranging from 60% to 90%) dependent upon the age of the designee in relation to the age of the retiring employee.

In addition to the regular 6% deductions taken from an employee's pay, an employee may make voluntary contributions. These contributions may not exceed 10% of the total basic pay since August 1, 1920, and must be made in multiples of $25.00. Application to make such contribution must be filed with the Civil Service Commission. These contributions earn interest at 3%, compounded annually. Each $100 sum credited to a voluntary contribution account will buy annuity in addition to the regular

annuity in amounts increasing at $0.20 each year from $7 at age 55 to $10 at age 70.

Refunds under CSRS.—An employee with less than 5 years of civilian service may receive a refund of the amount deducted from his salary plus interest, compounded annually, to date of separation, except that no interest is paid if the refund period is 1 year or less. With 5 or more but less than 20 years of civilian service, an employee may receive either a discontinued-service annuity at age 62 or a refund of the amount deducted from his salary plus interest, compounded annually, to date of separation. With 20 or more years of civilian service, an employee will receive a discontinued service annuity at age 62; in such a case he cannot receive a refund of the deductions taken from his salary at the time of his separation from the service.

Lump-sum death payments under CSRS.—Unless the employee provides otherwise, any lump-sum benefit due under the system is paid to the first individual or individuals listed below who are living on the date the title to the payment becomes effective: (1) to the widow or widower; (2) if there is no widow or widower, to the child or children in equal shares; (3) if none of the above, to the parents in equal shares or the entire amount to the surviving parent; (4) if none of the above, to the executor or administrator of the estate; (5) if none of the above, to the next of kin under the law of the state of the decedent.

An order of precedence for payment of any lump-sum benefits due upon the death of employees and annuitants is established by law.[13] Provision is made for payment to the surviving spouse, the children, or the parents, in that order, unless the employee exercises his right to determine who shall receive the lump-sum death benefit. To name a beneficiary, an employee must execute a beneficiary form and forward it to the Civil Service Commission. The designation is not valid unless received by the Commission before an employee's death. An employee may change his beneficiary at any time and without the consent of the previously designated beneficiary by executing a new designation. It is unnecessary, however, to execute a new designation merely because an employee transfers to a different agency or because of the change in his position.

Foreign Service Retirement and Disability System.—The Foreign Service Retirement and Disability System, originally established in

[13] Public Law 547, 81st Congress, Second Session.

1924, is administered by the Secretary of State. Members of the system include all foreign service officers and certain chiefs of mission. Members must contribute 5% of their basic salary (up to $13,500 per annum) to the fund. An annuity equals 2% of a member's average basic salary (not exceeding $13,500 per annum) for the 5 years immediately preceding the date of his retirement multiplied by the number of years of service, not exceeding 30 years.

The period of service of a member is computed from the effective date of appointment as a foreign service officer, or, if appointed prior to July 1, 1924, as diplomatic secretary, consul general, consul, vice consul, deputy consul, consular assistant, consular agent, commercial agent, interpreter, or student interpreter. Service includes periods of service at different times as either a diplomatic or consular officer, or while on assignment to the State Department, or while on special duty or service in another federal agency, or while on leave of absence granted to perform active military or naval service. Prior service performed as a civilian employee of the federal government or active military service rendered is creditable. To obtain credit for prior service, a member must make a special contribution to the fund equal to 5% of his annual salary for each year of service for which credit is sought subsequent to July 1, 1924, with interest. Service is normally computed on a year-for-year basis. However, the President, from time to time, establishes a list of places which, by reason of climatic or other extreme conditions, are classified as unhealthful posts of duty: each year of duty subsequent to January 1, 1900, at such posts is counted as one year and one-half in computing the length of service for retirement purposes.

A foreign service officer who is a career minister (other than one occupying a position as chief of mission) must retire upon reaching the age of 65 unless the Secretary of State determines an emergency exists. A foreign service officer who is not a career minister must retire at the age of 60 unless the Secretary of State determines an emergency exists. A foreign service officer who is at least 50 years of age and has rendered 20 years of service may voluntarily retire with the approval of the Secretary of State. Certain chiefs of mission covered by the fund are eligible for voluntary retirement to the same extent as is a foreign service officer.

A member of the system with at least 5 years of service who becomes totally disabled or incapacitated for useful service by reason of disease or injury incurred in line of duty may retire on an an-

nuity computed under the formula specified above, except that, if the disabled member has had less than 20 years of service at the time he is retired, his annuity is computed on the assumption that he had had 20 years of service.

If a member dies without having established eligibility for annuity, the total amount of his contribution with interest is paid to his legal representative. If the deceased member rendered at least 5 years of service and is survived by a widow to whom he was married for at least 3 years, the widow receives an annuity equal to the annuity which she would have been entitled to receive if her husband had been retired on the date of his death and had elected to receive a reduced joint and survivorship annuity. If a deceased member had less than 20 years of service at the time of his death, the annuity payable to his widow is computed on the assumption he had had 20 years of service. When a member becomes separated from the service without becoming eligible for an annuity or a deferred annuity, the total amount of contributions from his salary with interest is returned to him.

Tennessee Valley Authority Retirement System.—Generally, all employees of the Tennessee Valley Authority who are employed at an annual rate of pay and are not members of the U. S. Civil Service Retirement System are participants in the Retirement System of the Tennessee Valley Authority, established in 1939 and administered by a board of directors. Employees classified as student interns or as cooperative student employees, annual employees retained for a predetermined period of 6 months or less, annual employees who have attained the age of 60 at, or prior to, any period of employment beginning after January 1, 1943, and contract employees receiving pay at annual rates are not eligible for membership in the system.

Each member contributes a stipulated percentage of his compensation. This percentage is determined by the age at which the individual becomes a member of the system and by sex. For example, a man, now entering the service of TVA at the age of 30, makes a contribution of 4.81% of his salary, whereas a woman, now entering the service of TVA at the age of 30, pays 5.39% of her salary. Rates are higher for women than for men because women generally live longer after retirement than men. The percentage rate of a member, once determined, remains constant throughout

his service with TVA until he reaches 60 years of age after which time the member may discontinue his contributions or continue his contributions to increase his annuity. The member of the system who was in the service of TVA on the date of the establishment of the system and claimed credit for service rendered prior to the date of the establishment made a contribution the rate of which was dependent upon the number of years of such prior service for which credit was claimed and allowed.

The retirement allowance consists of two parts, an annuity and a pension. The member's contributions are set up in such a manner that, on the average, the member's savings provide an annuity of ¾ of 1% of his average compensation for each year of service for which he has credit at the time of retirement; these contributions build up an annuity. The TVA's contributions provide a pension of ¾ of 1% of the average compensation of the member for each year of membership service and for each year of prior service allowed. Thus, the amount of retirement allowances is approximately 1½% of the average compensation of the member for each year of creditable service.

The system offers superannuation allowances, disability allowances, and death benefits. A member may retire at the age of 60 and receive a service retirement allowance. When a member reaches the age of 70, retirement is mandatory. Furthermore, under a plan known as special service retirement, any member who has rendered 10 or more years of creditable service and whose services are terminated by TVA (not through discharge for cause) may obtain a deferred allowance beginning at age 60 computed in the same manner as a regular allowance or he may take an immediate allowance having the same actuarial value as the allowance beginning at age 60. At the time of either regular or special service retirement, a member may provide a benefit for a dependent, after his death, by selecting an optional method of payment which will result in a reduced annuity during the member's lifetime.

Any member who has completed 5 or more years of creditable service and subsequently becomes permanently incapacitated for further performance of duty may be granted disability retirement allowance. The amount of such allowance equals 1.35% of the average compensation of the member multiplied by the total number of years of creditable service to the date of retirement. The

source of the benefit is the combined contributions of the member and of TVA.

Upon the death of a member, his designated beneficiary or his estate receives the total amount of his savings with ½ of the full accumulated interest. If a member dies while an employee of the Authority, there is an additional payment of a lump sum provided from contributions of the Authority equal in amount to ½ the salary rates used as a basis for calculating contributions of the Authority on his behalf for creditable service during the year immediately preceding his death. A member who leaves his employment at TVA before qualifying for any benefit, may withdraw contributions, together with ½ the full accumulated interest. Membership ceases if a member withdraws his contributions, retires, or dies, or if a member subsequently is not an employee for 5 years in any period of 10 consecutive years.

Federal Reserve Retirement System.—Employees of the Federal Reserve Board are members of the Federal Reserve Retirement System unless, at the time of their appointment, they are contributing members of the Civil Service Retirement System, in which case they continue their membership in the latter system. Established in 1944, the Federal Reserve Retirement System (Board Plan) is administered by a board of trustees representing the Board of Governors of the Federal Reserve System and the twelve Federal Reserve Banks. Members of the system contribute 6% of their basic salary.

Revisions in the Federal Reserve Retirement System which were made in 1948 resulted in the establishment of many basic features similar or identical to comparable aspects of the revised Civil Service Retirement System. Under the Board Plan, retirement is mandatory at 65 years, regardless of the number of years of service. However, retirement is optional at the age of 62 years with 15 years of service, at the age of 60 years with 30 years of service, or at the age of 55 years with 30 years of service; in the latter instance, the annuity is reduced by ¼ of 1% for each full month the retiring member is under the age of 60 years. In the case of retirement under any of the foregoing three conditions, the annuity itself is computed by a formula similar to that of the Civil Service Retirement System.

Disability retirement under the Board Plan is computed in a manner similar to other types of retirement except that there is no

reduction for age. However, a member involuntarily separated, not for cause, after 25 years of service, receives an immediate annuity, reduced by ¼ of 1% for each full month he is under the age of 60 years.

The requirement for depositing contributions to cover previous service for which no retirement deductions were withheld and to reimburse the fund for any previous refund of contributions in order to obtain full credit for service rendered follows the Civil Service Retirement System. Provisions in the Federal Reserve Retirement System for a "Widow survivor-annuitant" plan, for a "Survivor-annuitant with insurable interest" survivorship plan, and for making voluntary contributions to increase a member's annuity are similar to those of the Civil Service Retirement System. In contrast to the latter system, however, members of the Federal Reserve Retirement System (Board Plan) may buy death benefit insurance on a monthly basis which costs 60¢ per $1000 of insurance.

The Federal Social Security System.—Under an amendment to the Federal Social Security Act, old age and survivors insurance provisions of the federal social security program became applicable to certain federal employees on January 1, 1951.[14] In general, all federal employees are now subject to social security deductions except (1) employees covered by the Civil Service Retirement Act, (2) employees covered by another federal retirement system, (3) employees appointed on a temporary basis in case of fire, storm, earthquake, etc., (4) employees who are paid on a fee basis, (5) employees who receive nominal compensation of $12.00 or less per annum, and (6) non-citizens employed outside of the continental United States. Persons given indefinite appointments, pursuant to Executive Order 10180, are excluded from the Civil Service Retirement Act unless they are eligible for retirement benefits of the act through previous federal service. The former group of employees is covered by the old age and survivors insurance provisions of the Federal Social Security System. It is estimated that approximately 750,000 federal employees (or 30%) are now covered by the old age and survivors insurance provisions of the federal program.

Contributions to pay for this protection are made both by the federal government and the employee who is covered. Salary paid to federal employees engaged in covered employment is subject to

[14] Public Law 734, 81st Congress, Second Session.

a deduction of 1½% on the first $3600 of annual salary. Under present law, the percentage will rise from 1½% to 3¼% by 1970. The employer pays an equivalent amount.

Benefits include monthly payments to retired insured individuals who are 65 years of age or over and to the survivors of insured individuals who die before or after reaching 65 years of age. The minimum time for eligibility for benefits is eighteen months. Such benefits are based on total average wage. Now, a retired employee (single) cannot receive more than $85 per month; the benefit payments to survivors are not less than $18.80 nor more than $168.90 per month. (See Fig. p. 424, Appendix.) It is difficult to compare the benefits under the old age and survivors insurance provisions of the Federal Social Security System with the Civil Service Retirement System because (1) the retirement ages are not identical, (2) the benefits are of different types, and (3) there are different restrictions on earnings following retirement. Old age and survivor insurance contributions cannot be withdrawn and, except in specific cases when a lump-sum payment may be made, such contributions are not returnable at death when monthly payments are not payable.[15]

Retirement in State Government

The earliest retirement plan established at the state level for public employees was set up in New Jersey in 1896 for superannuated teachers. Other states followed with plans for teachers before much attention was given to plans for other groups of employees. In 1911, Massachusetts became the first state to establish a retirement program for employees of several state agencies. Growth of general state plans was slow, and, by 1941, only ten states had such plans. By 1951, however, the movement had been accelerated and a total of thirty-five states had established retirement systems for general state employees.[16] The list is as follows: [17]

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[15] Ladimer, Irving, "Income Security for the Federal Worker," *Personnel Administration,* November 1951, pp. 13–20; Shoemaker, Richard, "Why Not Both Social Security and the Retirement Act?" *Personnel Administration,* January 1952, pp. 31–33.

[16] U. S. Bureau of the Census, *Retirement Systems for State and Local Government Employees, 1941,* Washington, 1943; Pouder, Margaret K., *State Retirement Systems for Public Employees,* Nashville, 1947. Bates *et al., State Government,* New York, 1949, pp. 346–438. Kansas Legislative Council, *Retirement and Insurance Planning for State and Local Government Employees,* Topeka, 1950.

[17] Council of State Governments, *The Book of the States 1952–3,* Chicago, 1952, pp. 191–197.

STATES WITH RETIREMENT SYSTEMS FOR GENERAL STATE EMPLOYEES
(Date in parentheses indicates time of creation of the system)

Alabama	(1945)	New Jersey	(1922)
California	(1931)	New Mexico	(1947)
Colorado	(1931)	New York	(1920)
Connecticut	(1939)	North Carolina	(1941)
Delaware	(1945)	North Dakota	(1947)
Florida	(1945)	Ohio	(1935)
Illinois	(1943)	Oregon	(1945)
Indiana	(1945)	Pennsylvania	(1924)
Iowa	(1945)	Rhode Island	(1936)
Lousiana	(1946)	South Carolina	(1945)
Maine	(1942)	Tennessee	(1947)
Maryland	(1941)	Texas	(1947)
Massachusetts	(1911)	Utah	(1947)
Michigan	(1943)	Vermont	(1943)
Minnesota	(1929)	Virginia	(1942)
Montana	(1945)	Washington	(1947)
Nevada	(1947)	Wisconsin	(1943)
New Hampshire	(1945)		

From the point of view of scope of plan, state governments have five chief types of retirement systems:

(1) **For general state employees only.**—At least the majority of state employees in various occupational areas belong to the system. Michigan, for example, has a retirement program for general state employees.

(2) **For specific groups of state employees.**—An occupational group in state employment, such as professional staff members of state educational institutions or the professional employees of one state agency, may be members of a separate retirement program. New York State police have a separate retirement program.

(3) **For general employees of local units only.**—Under this type a state establishes a centralized retirement plan which employees of local units may join but the plan is separate from that for state employees. Such a system may be optional or mandatory for a particular local unit in the state. The state of Illinois has a retirement plan only for cities of less than 200,000 persons, counties of less than 500,000 persons, and certain other local units; Illinois operates a separate plan for state employees.

(4) **For specific groups of employees of local units only.**—Under this type a state establishes a centralized retirement plan for a certain specific group of local employees, the centralized plan being separate from the retirement plan for state employees. Such a system may be optional or mandatory for a particular local unit in

the state. For example, public school teachers in New York state belong to a state-administered retirement program.

(5) For both general state employees and general employees of local units.—A state may maintain a unified retirement program to which both state and local unit employees belong. The State of Ohio has such a plan.

The majority of state retirement systems are contributory. Salary deductions range generally from 3 to 5%. Although benefits were comparatively small in the early stages of the development of retirement systems, there has been a distinct trend toward liberalization. More emphasis has lately been placed upon disability features rather than upon old age features. Occupational death benefits are uncommon. There are great differences in the eligibility conditions, the minimum number of years of service averaging between 20 and 25 years. Sixty to sixty-two years of age constitute the average minimum retirement age, with seventy the maximum.

The retirement plan for Michigan state employees typifies one of the better state programs. State employees in positions in the state civil service automatically become members upon appointment. A state employee whose position is not included in the state civil service may become a member by filing a request with the State Retirement Board. Teachers and state policemen are excluded from the system because of the existence of separate systems for these two occupational groups. A member of the plan pays 5% on that portion of his salary which is less than $3600. The state contributes an amount equal to the total of all employees' contributions, in addition to paying for the administration of the plan. Seventy is the mandatory retirement age. A member may retire after he has reached the age of 60 years if he became a member prior to January 1, 1945 (the date on which benefits were first paid), or if he became a member after January 1, 1945, and has completed 10 years of service.

Upon retirement, a member receives a "service retirement allowance" which consists of four parts, namely, an annuity (provided by the member's contributions to the retirement system accumulated at 2% interest), a basic service pension ($100 per year), a membership service pension (equal to $\frac{1}{140}$ of the member's average final compensation for each year of state service rendered by him after he became a member of the retirement system), and a prior service

pension (equal to 1/70 of the member's average final compensation for each year of state service rendered by him prior to July 1, 1943). For example, an employee with 10 years of prior service credit, who retires at the age of 65 with 25 years of membership service credit, with an average final compensation of $2000 per year will receive $86.59 a month for life, upon retirement. The same employee may decide to take a reduced amount and provide for payments to his dependents if he should die before they do.

A member of the retirement system who becomes totally unable to work as a result of an accident during the actual performance of his duties is eligible for a retirement allowance. Until he reaches the age of 60 years, the member receives a disability retirement pension of 2/3 of his average final compensation, not to exceed $1800 per year. After the disabled state employee reaches the age of 60 years, he receives his regular pension described above. He receives the same amount as he would have if he had been making the regular contributions to the plan during the period of his disability. If a member of the system becomes totally and permanently disabled as the result of causes occurring other than in the performance of duty to the state, he may be retired if he has had at least 15 years of state service. If a member is killed in the performance of duty or dies as a result of illness contracted of injuries received while in the performance of duty, his beneficiary receives the amount of his accumulated contributions. In addition, his widow receives a pension of 1/3 of his annual compensation at the time of his death so long as she remains his widow. If a member dies from causes not concerned with the performance of the duties of his position, his estate or dependents receive the amount of the contributions he has made up to the time of his death.

By amendment to the Social Security Act, effective January 1, 1951, employees of state (and local) governments are eligible, under certain conditions, for old age and survivors insurance protection of the federal social security program. Specifically, a state may make an agreement with the federal government to accept coverage for its employees (and employees of local units). However, employees already covered by an existing retirement system are excluded.[18]

[18] Elkin, Jack M., "Social Security and Public Employees," *Public Administration Review,* Winter 1950, pp. 32–38; MacMillan, Frederick N., "Integration of Public Retirement Systems with Social Security," *Personnel Administration,* July 1950, pp. 1–4; Kaplan, Eliot, "Social Security Coverage for Public Employees," *Municipal Civil Service Bulletin,* June–July 1951, pp. 33–34.

It is not necessary for a state to include all state (and local) government employees in its agreement. A state may cover one or more groups of the following groups of employees: (1) employees of the state (or local units) performing service in connection with a single proprietary function; (2) employees of the state (or local units) other than those performing service in connection with a proprietary function. Even when employees in one of the above designated groups are given coverage, an employee in the group who is covered under a retirement system in effect at the time the federal-state agreement is made must be excluded.

Within any group covered by a federal-state agreement, employees engaged in work relief projects, as well as services performed by patients or inmates of a hospital or other institution, must be excluded. Furthermore, services of an emergency nature, services performed by elected officials, part-time workers, workers paid on a fee basis, agricultural labor, and work performed by a student may, at the request of the state, be excluded.

During the first year following the effective date of the federal amendment, namely, 1951, thirty-five states passed enabling acts which permit certain state (and local) employees to be brought under the old age and survivors insurance coverage. During the same period, thirty of these thirty-five states actually made agreements with the Federal Security Agency under provisions of the enabling acts. Four different patterns of state action have been adopted: (1) abolition of established retirement plans and substitution of federal coverage; (2) acceptance of federal coverage, but supplementation of it with a state retirement plan; (3) coverage for employees not previously under any retirement plan; (4) no change in the established retirement plans. As additional enabling acts are passed, more state (and local) groups will become affiliated with the federal system and the number of state (and local) employees not members of any retirement plan will sharply decrease.

Retirement in Local Government

At the local level of government, retirement systems for public employees have grown spasmodically. The earliest retirement program for public employees at the local level was established for policemen in New York City in 1857. Slowly, plans for policemen and firemen were adopted by larger local units as follows: Cleveland policemen and firemen (1866), Dayton policemen and firemen

(1883), Detroit policemen and firemen (1885), Philadelphia policemen and firemen (1890), and Akron policemen and firemen (1890).

The initial movement for local retirement systems for specific occupational groups was gradually broadened to include general employees in some local units. In 1915 public employees in Philadelphia, Pittsburgh, and Scranton were covered by the earliest local retirement systems for general employees. Subsequently, general municipal employees were covered in New York (1920) and Chicago (1922). Other local units soon adopted plans for their employees, particularly during the decade 1930–1940. The movement to provide retirement coverage for employees of local units has been accelerated, especially since 1945. Approximately 92% of the cities having a population of more than 10,000 now have retirement systems for some groups of local employees; approximately 80% of such cities have retirement systems for practically all of their employees. For cities having less than 10,000 population, counties and other types of local units (other than school districts), these percentages are estimated to be much smaller.[19]

Many states now operate retirement plans for employees of local units, on either a mandatory or optional basis.[20] State-wide retirement systems for general employees of local governments are in operation in twenty-nine states.[21] In one state, Nebraska, municipal employees only are covered in the system. The list of states is shown on following page.

Among the twenty-nine states, in many instances, the same state-wide system includes various occupational groups; in other instances, there are separate retirement systems for particular occupational groups. A unified state-wide system provides for teachers, state employees and general local unit employees in five states; a unified state-wide system includes state employees and general local

[19] Hormell, Owen C., *Retirement Plan for Employees of Maine Towns*, Brunswick, Maine, 1919; League of Virginia Municipalities, *Pension and Disability Plans in Virginia Cities and Towns*, Richmond, 1950; University of Pittsburgh Institute of Local Government, *Proceedings Local Government Conference on Retirement and Pensions for Pennsylvania Municipal Employees*, Pittsburgh, 1949; Rutgers University Bureau of Government Research, *Pension Legislation for Public Employees in New Jersey*, New Brunswick, 1950; Municipal Finance Officers Association, *Public Employee Retirement Administration*, Chicago, 1951.

[20] International City Managers Association, *Municipal Personnel Administration*, Chicago, 1947, ch. 12; Gabriel, A. G., "The Who and When of a Municipal Retirement System," *American City*, April 1947, pp. 111–112.

[21] International City Managers Association, *Municipal Year Book 1952*, Chicago, 1952, p. 138.

STATES WITH STATE-WIDE SYSTEMS FOR GENERAL EMPLOYEES OF LOCAL GOVERNMENTS

Alabama	(1945)	New Jersey	(1922)
California	(1931) (1939)*	New Mexico	(1947)
Colorado	(1931) (1943)*	New York	(1920) (1922)*
Connecticut	(1945)	North Carolina	(1939)
Illinois	(1939)	North Dakota	(1947)
Indiana	(1945)	Ohio	(1935) (1938)*
Iowa	(1945)	Oregon	(1945)
Maine	(1942)	Pennsylvania	(1943)
Maryland	(1941) (1945)*	South Carolina	(1945)
Michigan	(1945)	Tennessee	(1947)
Minnesota	(1929)	Texas	(1947)
Montana	(1945)	Virginia	(1942) (1944)*
Nebraska	(1945)**	Washington	(1947)
Nevada	(1947)	Wisconsin	(1943)
New Hampshire	(1945)		

* Where two dates are given, the first date indicates the time of enactment of the act for state employees; the second, the time of amendment for inclusion of local government employees.

** Municipal employees only.

unit employees in sixteen states; a unified system embraces state employees and teachers in two states. There are separate systems for general local unit employees in eight states. Separate state-wide systems for state employees exist in twelve states.

State legislation in every state provides for state-wide retirement systems for teachers. There are separate systems for teachers in forty-one states. In many states, large municipalities have established retirement funds for teachers outside of the state-wide system. In certain cities in California, for example, teachers may belong to both the state-wide system and the municipal system.

From the point of view of coverage, local systems may provide for all local employees or for certain occupational groups. Some retirement laws are permissive, from the employee's viewpoint; others are mandatory. Less than half of the members of local retirement systems belong to locally administered systems, the majority belonging to state administered plans. Local retirement plans are more widespread for particular classes of employees, such as policemen, firemen, and teachers, than for local public employees in general. Coverage for employees of local governments increases with the size of the local unit. It is estimated that approximately one million local employees are not members of any retirement plan.

With respect to retirement systems operated by local units, many plans are contributory but others are non-contributory. The prin-

ciple that the financing of retirement is a joint responsibility of employee and government has developed gradually at the local level. Although the earliest systems for teachers were supported entirely by employee contributions, retirement plans for other employees of local units were frequently financed solely by the government unit. After 1910 the number of contributory systems increased. Now, approximately 90% of all members of local systems belong to contributory plans.

In local plans, benefits range from a comparatively small annuity for superannuated members to provisions for disability, survivor, or superannuated benefits. Provisions for disability and death have preceded liberal provisions for old age retirement. Thus, old age benefits were not included in the New York City police system until more than twenty years after the original retirement act. Many individual local systems do not provide for each of the three types of benefits (age retirement, disability retirement, payments to survivors). Furthermore, in systems providing a specific type of benefit, there is much variation in qualifications of eligibility and in methods of computation. Policemen and firemen may be eligible for retirement after fifteen years of service without regard to age and may face compulsory retirement at a comparatively early age; such conditions reflect the arduous duties of the occupation. By contrast, the earliest age at which employees generally may receive an annuity for age retirement is often seventy years.

By amendment to the Social Security Act, effective January 1, 1951, employees of local governments are eligible, under certain conditions, for old age and survivors insurance protection of the federal social security program. As has been pointed out previously, a state may make an agreement with the federal government to accept coverage for its employees and employees of local units. However, employees already covered by an existing retirement system are excluded.

It is not necessary for a state to include all local government employees in its agreement. A state may cover one or more groups of the following groups of employees: (1) employees of local units performing service in connection with a single proprietary function; and (2) employees of local units other than those performing service in connection with a proprietary function. Even when employees in one of the above designated groups are given coverage, an employee in the group who is covered under a retirement system in

effect at the time the federal-state agreement is made must be excluded. As has been mentioned previously, thirty states actually made agreements in 1951 with the Federal Security Agency under provisions of state enabling acts. In these states, in the same year, approximately 175 cities having a population of more than 10,000 adopted federal coverage for local employees; in addition, many smaller cities, counties, and other types of local units took action to bring their employees under the provisions of the federal program. The number of local employees brought under the federal system is still increasing.

Action by the legislature of Virginia in 1952 illustrates one pattern adopted to enable state and local employees to be covered under the Old Age and Survivors Insurance provisions of the Federal Social Security Act. The existing retirement law which covered a portion of state and local employees was repealed. Under a new Viriginia statute, the Board of Trustees of the Virginia Retirement System was authorized to enter into an agreement with the federal government for the purpose of extending benefits of the Old Age and Survivors Insurance provisions of the federal system to state and local employees. The state law required that such agreement provide (1) coverage for services performed after a specified date but in no event service rendered before January 1, 1951, (2) all services performed by state employees be covered by the agreement, and (3) all services performed by employees of a local unit of government and covered by a plan approved by the Board of Trustees be covered by the federal-state agreement unless the local unit adopted a contrary resolution prior to April 1, 1952. A local unit which had a retirement system at the time of the enactment of the state statute was permitted to continue the same or apply for coverage of its employees under the federal-state agreement upon repealing its own system. During the first five years of operation the state may terminate the agreement upon two years of advance notice.

Employees whose services are covered by the agreement pay contributions identical to rates imposed upon employees of private industry for similar protection. Unless a local unit of government had a locally financed retirement system or determined that it did not desire coverage, the local unit had to submit a plan for extending benefits to employees of the unit prior to April 1, 1952; other-

wise, the state agency formulated and adopted a plan applicable to local units.

At the time the Virginia legislature authorized an agreement with the federal government, the legislature also passed a second retirement act. The Virginia Supplemental Retirement Act, effective March 1, 1952, established a supplemental retirement system for state and local employees. The purpose of this system is to augment benefits provided by the federal social security program. The system is administered by a Board of Trustees of five members appointed by the governor. Every state and local employee accepting public employment automatically becomes a member of the supplemental retirement system. Each member of the system contributes 4% of his salary. The rate of contributions by the state and local units is determined annually by the Board of Trustees. Optional retirement is permitted, under certain circumstances, at age sixty; mandatory retirement, with a few exceptions, is at age seventy. Disability retirement is also provided under the supplementary system.

Problems of Administration

Among the problems asociated with the administration of the retirement function, the following call for special attention:

Inadequate coverage.—Public service retirement plans in the aggregate have failed to include many government employees who have had the greatest need for such protection. Generally, the non-member government employees are in the lower income groups. The conclusion of a study a decade ago which found that the average monthly pay of state and local employees who were not members of a retirement system was $89 in contrast with $155 for member employees is still substantially valid. This difference results not only from the fact that within individual states the average salary of members is greater than the average salary of non-members but also from the predominance of retirement programs in states providing higher salaries for public employees.

The modest salaries characteristic of so many jurisdictions and the increased life expectancy of all persons, including government employees, demand that retirement coverage must be provided for all public employees. Reference was made earlier in this chapter to the purposes of a retirement program. These purposes may be

fully achieved only by an extension of existing retirement systems. The extension of the Federal Social Security System to include certain public employees serves to reduce the area of inadequate coverage.

Lack of continuity of protection between public and private employment.—Lack of continuity of protection between successive periods of public and private employment constitutes a serious handicap. Service performed in private industry, even though rendered under the purview of old age and survivors insurance of the Social Security Act, is not creditable for benefits under retirement systems established for public employees unless the latter systems have been brought in harmony with the federal program since January 1, 1951. This condition is particularly distressing to countless public employees, who, for example, responded to the need in an emergency period for skilled manpower in private industry where their abilities during a period may be used to greater advantage in a defense effort. When these employees returned to their governmental unit, they were able to regain membership in their retirement system and secure credit for their former government service with that unit through redeposit of contributions. However, since defense work in private employment has not been creditable in public systems, some public employees subsequently will be unable to qualify for retirement benefits, whereas others will receive reduced benefits. The lack of continuity of protection seems unfair in the instance of employees whose chief training for responsibile government service is derived only through significant experience in private enterprise, prior to their selection for public employment.

If a public employee leaves government service to enter private industry, the job change may bring him under the federal social security program for the first time. If such is true, he must work in most cases for a period to establish eligibility for federal social security benefits. During this period he may be completely unprotected. Assuming that he eventually receives benefits under the federal system, his government employment, in most cases, is not creditable.

One possible manner to close the gap between public and private employment in the matter of retirement systems is to maximize the coverage of the federal social security program. Another method is to adopt a plan of deferred annuities under which an employee who leaves a public system would not receive a refund of contributions; instead he would obtain an annuity, deferred to retirement

age. In addition, the employee, transferring from one system, might be permitted to purchase, in the new system, a special annuity based on the fact of his previous service elsewhere. An employee must not be allowed to obtain unfair advantage over other members of his system because he has transferred from another system. However, because of such a change, he should not be seriously penalized.

Lack of interchangeability of credit among public systems.—An inability to interchange credit for service rendered in different public jurisdictions is a general characteristic of public retirement programs. Service credited under one retirement system for public employees is usually not transferable to another public employee retirement system. This limitation handicaps not only the employee who transfers vertically from one level of government to another, for example, from a state government to the national government, but also the employee who transfers horizontally from one agency to another agency at the same government level where two different retirement systems are involved. The handicap frequently acts as a barrier to recruiting in what otherwise would be the area normally expected to furnish the best-qualified individuals. For example, experienced state education officials with a long record in the state service regard the non-transferability of such service for retirement credit to be a distinct disadvantage of federal employment wherein their skills might be more fully utilized. In some instances, one governmental unit may be practically the only source for furnishing experienced individuals which another jurisdiction may need. Furthermore, lack of reciprocity between systems often results in retarding mobility and freedom of endeavor and may produce stagnation among public employees.

A transfer between government units in a state may be made without loss of retirement where the employee belongs to an occupation which is included in a state-wide system, or where the new position is included in a retirement system which permits crediting of similar service rendered in another government unit. However, both situations are unusual. Consideration may well be directed to the establishment of methods of reciprocity among public retirement systems to provide for interchange of credit for service rendered by an individual. Among methods proposed, four have been seriously considered, namely: recognition of, and credit for, out-of-system service by a system; transfer of accumulated reserves from a former system to a present system; option for member to

purchase annuity in a present system in accordance with the amount of service he has rendered in a former system; and retention of accumulated contributions in a former system, giving the member who leaves a vested interest for a future deferred retirement allowance. Reciprocity between public retirement systems is a problem to be solved through coordinated action since the revision of a public system is usually under the authority of each jurisdiction.

Lack of understanding of significance of a retirement program.—Legislative and administrative developments in numerous jurisdictions indicate a lack of understanding of the full importance of a retirement program to public employment. The belief that retirement costs for public employees are a gratuity from government prevails in many jurisdictions. Where this idea predominates, appropriations are often made as a result of various political pressures and in divergent amounts not necessarily bearing any resemblance to the actual financial need.

The concept that pension costs are essentially payroll costs relates the expenditure to personal services and as such suggests a distinct obligation upon the government involved. Acceptance of this principle crystallizes legislative and administrative thinking on the retirement function. Actually a sound retirement plan is advantageous to both employer and employees. The responsibility of the personnel administrator to acquaint top management with specific values to be derived from the operation of a sound retirement system is a continuous one. The concept that a sound retirement program is an incentive to efficiency must be clearly understood.

Need for a coordinated retirement pattern for public employees of the same unit.—Retirement plans for groups of public employees vary greatly in many significant aspects frequently within the same jurisdiction. Dissimilarity of programs in the same unit tends to reduce mobility of public employees among various types of positions which may be functionally related to each other. Variations of specific plans in one unit create unrest and depress morale. The public school teacher, for example, wonders why the clerical employee in the same jurisdiction becomes eligible for retirement under a more favorable program, having a different set of rules, regardless of their common attachment to the same local unit of government.

The fundamental problems which a retirement program attempts to alleviate are characteristics of employees generally or of

occupational groups of employees, and not necessarily of employees of a particular organizational division of a unit of government. Creation of a coordinated retirement pattern which would be applicable, basically, to all categories of public employees in one unit, regardless of specific organizational division, would serve to eliminate many inequities of the present situation. Other solutions to the present confusion are the development of state-wide plans for nearly all public employees of local units as well as the state unit and extended application of the federal program pursuant to legislation which became effective January 1, 1951.

Lack of knowledge on the part of members of retirement systems.—Members of a public employee retirement system often know very little concerning the essential aspects of their retirement program. Since membership is generally involuntary, the government unit involved does not solicit membership. Information about the retirement program is often transmitted only in the form of a simple notice to an employee that a payroll deduction is made for retirement purposes. Where there is orientation training for the new employees, data on retirement, in contrast to other items discussed, such as hours of work, salary, etc., seem very remote. Frequently until the employee is disabled or has reached an advanced stage of maturity, he has had no occasion to be interested in details of his retirement system.

In view of the significance of a retirement system, positive steps should be taken to inform all members of the operation of their retirement program periodically. Such steps may include the distribution of special descriptive material to each employee, as well as the holding of lectures and forums for employee enlightenment. An effective method of acquainting new members with the benefits of the program is essential. The agency personnel office must be staffed to answer questions about a retirement program accurately and promptly.

Delay in processing retirement cases.—Frequently the time required to process retirement cases is unreasonably long, ranging in a few jurisdictions from three to five months. The necessity for checking on the past record of an employee and lack of staff are often advanced as reasons for such delays. Regardless of the cause, the fact remains that, when a member applies for benefits of the system, he is in need of assistance. Personal hardships may become pyramided while the employee is awaiting action on his request.

When retirement officials rely upon operating agencies for personnel data, such as verification of service, agency personnel officials should give priority to such requests. Staff facilities including medical service must be maintained at a level to insure that backlogs of cases do not develop. Administrators in charge of retirement programs must continuously analyze their methods and procedures with a view to providing maximum service to members at all times.

Changing values of annuities.—Once an employee becomes eligible for retirement and relinquishes his government position, his annnuity usually becomes his chief, or sole, source of income. If the purchasing power of the dollar would remain at a relatively constant level, the annuitant presumably could set up a personal budget and live on the monthly amount of his annuity which he could anticipate before retirement. However, a sharp increase in the cost of living, as has occurred during the past few years, reduces the real value of the income from the annuity to a point at which annuitants often find it difficult to obtain the mere necessities of life. Where increased income tax rates are established and the tax is levied on annuities, further financial embarrassment accrues to annuitants.

Jurisdictions must give continuous attention to the relationship between the amount provided in annuities for retired employees of their jurisdiction and the actual cost of living. If price indices rise appreciably, action should be taken by the individual unit of government. Appropriate action may include increasing the monetary amount of annuities or providing a degree of tax exemption for annuitants. When sizeable groups of employees who are eligible for voluntary retirement perceive that the real value of an annuity is below what is required for their projected standard of living, they naturally are reluctant to retire, and, to this extent, the retirement program fails to attain its objectives. Government as employer must not forget a faithful servant after he has retired.

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CHAPTER 12

Internal Considerations

OBSERVATIONS

Careful analysis of the internal operations of central staff personnel agencies and of agency personnel offices at federal, state, and local levels of government indicates that the efforts of personnel officials generally are directed to carrying out the functions of their offices as effectively as possible. The majority of personnel organizations studied appear to be managed in a satisfactory manner. However, there are certain internal aspects of public personnel management which may be improved in particular central staff personnel agencies and agency personnel offices at each level of government. Consideration of these aspects leads to the following observations:

Some personnel officials have a limited concept of the role of progressive personnel management. They operate their offices in a routine manner, apparently for "grinding out" personnel actions, for maintaining personnel records and for answering miscellaneous inquiries. Public personnel management involves more than the performance of clerical functions; it involves more than a negative approach to the problems of administration; it involves more than compliance with simple standards of record keeping. Public personnel management is an art; it demands a positive approach to the problems of administration; it requires a continuous effort to determine and apply scientific principles and techniques of public administration in order that the mission of each agency in a jurisdiction may be carried out most effectively. Close scrutiny of the operations of personnel offices in government proves beyond doubt the sincerity of personnel officials. It is equally true, however, that, in discharging the responsibilities of their offices, some give little, if any, attention to the essential role of personnel management in public administration.

An effective personnel official must have a broad, dynamic view of public personnel management. Legislators, the chief executive, and heads of agencies are engaged in making fundamental policy for the jurisdiction and for the agencies. In view of a lack of training in personnel, legislative members as well as chief executives and agency heads are often not aware of the potentialities of proper personnel policies and programs in effecting the primary objectives of government. Personnel officials must assist legislative and executive leaders by exercising definite responsibility for initiating and recommending appropriate personnel policies and programs. The personnel official's perspective must be such as to enable him to integrate his personnel thinking with over-all administrative thinking of the jurisdiction or agency, as the case may be. The personnel official should appreciate the vitality inherent in a progressive personnel program and its relationship to general administration. The concept of service to line authority must never be overlooked in public personnel management.

Functions of personnel management assigned to one branch of a central staff personnel agency or agency personnel office sometimes duplicate the activity of another branch of the same personnel office. The preparation of replies to inquiries by correspondence clerks assigned to the immediate office of the personnel officer of one agency illustrates such duplication. The correspondence clerks in question prepare answers to routine inquiries from certain selected sources (such as legislative mail). In another branch of the same personnel office, similar inquiries from non-selected sources are answered by a different group of correspondence clerks. It is understandable that the preparation of certain correspondence may require special handling in order that the answer may be prepared in a special style or in order to reduce the time required for answering an inquiry to a minimum. However, competency of all correspondence clerks to perform correspondence duties is assumed.

Duplication of function within a personnel office is usually indefensible. In the case cited above, there is no clear reason why letters requiring special attention cannot be given priority but be prepared in the branch of the personnel office where such inquiries are normally answered. If certain personnel of a branch are not deemed competent to answer such inquiries, the remedy appears to be to strengthen the personnel of the branch, not to duplicate its

activity elsewhere. Duplication not only wastes money but it serves to reduce efficiency of operations.

Within a jurisdiction or an agency, responsibility for personnel management may not be clearly defined. In particular jurisdictions and agencies certain personnel functions traditionally assigned to a central staff personnel agency or agency personnel office are actually administered by officials who are not under the cognizance of personnel officials. Furthermore, the nature of the specific personnel task assigned to one or more agency officials may not be distinctly delineated. Responsibility for personnel action is often delegated with vagueness. In areas of overlapping jurisdiction, there is often administrative confusion and duplication of effort. In a sphere of personnel management requiring coordinated action, there is sometimes administrative chaos. Because of a multiplicity of officials independently exercising discretion over personnel affairs in a jurisdiction or an agency, a personnel official occasionally finds himself totally unaware of significant personnel activities.

The responsibility of each sector of a jurisdiction and of an agency for personnel management must be succinctly defined. Each sector must understand the essentiality of reciprocal behaviors and the need for coordinated effort. Each sector should be held strictly accountable at all times for the responsibility entrusted to it, including errors of omission as well as errors of commission. Like any other administrator, a personnel official must know what his responsibilities are before he can act effectively.

A personnel official responsible for one or more functions is occasionally unaware of policy determined by superior authority with respect to such functions. The enthusiasm of top level administrators or the technical nature of the work of individual branches of a personnel office may raise questions of policy which are brought directly to the chief executive or a head of an agency or an administrative officer without reference to the personnel official in charge of the execution of the function. The by-passing of this particular personnel official may be considered a practical move to elicit a final decision "from the top" as quickly as possible. It is fully realized that a determination of personnel policy by the chief executive or head of an agency is the ultimate action in many cases. However, unless the personnel official in charge of the execution of a function is regarded as an integral part of management, he may be disregarded in the decision-making process, and resultantly he may be

unaware of policy formulated. He therefore continues with the responsibility for execution of functions without full knowledge of the rules under which the functions are to be carried out.

A personnel official in charge of the execution of a function must be regarded as a vital link in the chain of command of his agency. He must maintain close contact with his immediate superiors and he must make continuous effort to keep himself informed of all personnel policies with respect to personnel matters under his authority. Only by doing so will he be able to discharge his responsibilities properly.

Examination of personnel operations in field units of central staff personnel agencies and agency personnel offices indicates that the policies and programs of personnel officials in field units are sometimes inconsistent with, and even diametrically opposed to, the personnel policies and programs established by a central personnel office for agency-wide compliance. Divergent standards recently established in field units of one agency with respect to the acceptance of requests from the agency's own personnel for transfer illustrate such action. Personnel officials in field units sometimes have a very limited understanding of the general personnel programs of their agencies.

Personnel administration in field units should be in harmony with general agency patterns. Personnel officials of a central personnel office must continuously furnish information covering agency personnel policies and programs to personnel officials of field units of the agency. Furthermore, personnel officials in the central personnel office must constantly interpret for personnel officials of field units agency policy which affects the operation of such personnel offices. Two-way channels of communication must be maintained in order that personnel operations throughout the agency may be coordinated and consistent.

Some personnel officials in central personnel offices give inadequate attention to instructing personnel officials in field units about consequences of administrative error. Personnel offices in field units, like other personnel offices, effect personnel actions which are occasionally erroneous. Illegal actions may be the cause for claims against the agency. In some instances, important items, such as the effective date of a personnel action, may be carelessly omitted; in other instances, the error on the part of the field unit personnel office indicates an apparent lack of understanding of the personnel

procedure employed. In the transmittal of essential personnel papers to headquarters personnel offices, field units may fail to forward requisite forms. The omission of either pertinent data or specific forms may retard ultimate effectuation of the personnel action desired or, at least, the recording process in the central office. The practice of rectifying administrative action or of returning incomplete or inaccurate forms, with an accompanying letter calling attention to the omission or inconsistency, is not always a satisfactory method in view of the time and costs involved.

Personnel officials of field units must be acquainted with difficulties caused by personnel errors, especially with the consequences arising from the improper execution of personnel functions and action forms. Field units should be fully instructed periodically in personnel procedures, in the preparation of personnel forms, and in the significance of accuracy for same. A frequency list of field personnel offices failing to handle cases in a satisfactory manner may be maintained so that attention may be called to the situation which seems to be characterized by administrative carelessness or inefficiency.

Maximum utilization is not always derived from a personnel staff. The nature of the duties regularly assigned to individual employees of a central staff personnel agency or agency personnel office may not justify the existence of the positions at the grade level established. Thus, in one agency recently, although an assistant personnel officer was fully competent for broad responsibilities, he spent 70% of his time in performing miscellaneous clerical duties as assigned by the personnel officer. The miscellaneous clerical duties were of a most elementary nature such as reporting that certain lights did not operate and checking annual and sick leave lists; the other 30% of his time was devoted to the performance of routine tasks such as the ordering of certain supplies, the keeping of inventory records, the maintaining of lists of agency form numbers, and the checking of civil service time reports. As reflected by job analyses of individual personnel office positions, an excessive degree of oversimplification of duties may prevail in assignments of personnel in numerous personnel offices. The duties of personnel positions have sometimes been so oversimplified that a comparatively large number of employees spend a substantial part of their workday on the most elementary tasks. Such positions offer very little challenge to the abilities of employees and tend to promote rest-

lessness, laziness, and a lack of interest in individual assignments. Often when the need for the performance of simplified tasks falls off, the personnel is then assigned to assemble jackets or to perform other "fill in" tasks of an equally routine nature. This condition may be present in spite of a need for versatile personnel available for spot assignments as peak work loads are approximated in specific sections of an office.

Analysis should be made periodically of the duties and responsibilities of employees of central staff personnel agencies and agency personnel offices. Consideration should be given to obtaining maximum utilization of employee skills. Where appropriate, miscellaneous routine functions which tend to cluster in higher level personnel positions should be reassigned to be performed by lower graded employees. Employees who demonstrate capability should be given additional responsibility as soon as practicable. Any unnecessary positions in personnel offices must be eliminated, preferably upon initiation of the supervisor of the position.

Personnel files, a basic personnel tool, are sometimes maintained in a chaotic condition. The status of personnel jacket files in the transactions branch of one agency personnel office illustrates this confusion. When the original filing system was established in the agency in question, groups of adjacent cabinets were designated for storage of jackets of employees assigned to specific operating divisions of the agency. This localization within the file rooms of various cabinets for individual operating divisions worked well while the cabinets could accommodate the incoming jackets prior to the agency expansion. Subsequently, however, the number of agency personnel sharply increased. The original file arrangements with respect to specific space became outmoded because the individual operating division growth was not proportional to the over-all increase of agency personnel or to the growth of other operating divisions.

Eventually the jackets of certain employees were transferred to another building. The transfer of such jackets, however, did not leave sufficient space for the integration of additional jackets which under the original arrangement remained localized in the file rooms of the original building. Resort was then made to the makeshift method of using the tops of file cabinets as a place to retain jackets for which no cabinet space was available. As the space on the tops of file cabinets became filled, window sills and unused areas of floor

space were utilized for the retention of jackets. Eventually most of the jackets on tops of cabinets were placed in makeshift cardboard boxes; by this manner more jackets could be placed on top of file cabinets in the space available.

In the expansion of the jacket files as described above, the plan of locating consecutive jackets in adjacent files soon was nullified. The place of filing depended upon the availability of space regardless of the area locations in the file room originally set aside for specific operating divisions. Thus, for example, jackets belonging to employees assigned to one operating division were placed on top of file cabinets containing jackets of employees assigned at an earlier period to another field unit. Once the expansion started, no system for integrating the additional jackets with the original locale within the file area was devised.

As a result of foregoing conditions, the arrangement of jackets in the agency produced confusion and inefficiency. It then became a difficult problem to find specific jackets readily, if at all. File clerks found themselves in each other's way, in their attempts to locate jackets and to file additional data. Although the jackets were arranged alphabetically by operating divisions, the fact that the jackets from some operating divisions were not confined to a single area meant that the person seeking a jacket had to check inside of file cabinets, on the top of file cabinets, and on the window sills in as many as four different rooms before finding where the jacket ought to be. In so checking through the alphabet for the jacket of an appointee of a larger operating division, attention had to be directed first to jackets on the file cabinets through a series of two, three, or four rooms and, following the first search, attention then had to be directed to alphabetical notations posted on the sides of makeshift cardboard boxes on top of file cabinets. In some cases, owing to expansion of the makeshift file boxes, the notations on the sides of the cardboard file boxes were incorrect. One file clerk was observed crawling on top of file cabinets, while she was in the process of ascertaining alphabetical notations on specific jackets. In describing the difficulties of finding a jacket it has been assumed up to this point that the jacket has been filed correctly. It is easily understood that a misfiled jacket might never be found.

In another agency recently more than 1500 active jackets were placed on the floor of the file room because of lack of space. Inasmuch as it was practically a physical impossibility to arrange these

jackets in any working order, it became necessary to deny requests from agency officials for specific jackets in this group. The continued inability of a file section to procure jacket material, when called for, nullifies the very purpose of its existence. Personnel jacket files must be arranged conveniently for ready use.

Personnel actions in process of being effected may be unavailable for reconsideration or use for long periods of time. Hence, the existence of a large number of different locations in a central staff personnel agency or agency personnel office where personnel data may be temporarily retained during processing sometimes makes it very difficult to service an individual request for modification of the original request or to ascertain the current status of a personnel action. For example, the processing of an individual request for personnel action involves several steps. At many points in the process, the request may be detained beyond the time normally needed to handle one aspect of the request, sometimes through failure of an operating division to send complete and accurate data, or through the necessity of obtaining approval from other authority in the jurisdiction.

Considering only the last step in processing a request for personnel action, namely, the filing of material in a personnel jacket, in one agency the material may be detained for a period of time ranging from one day to three or four months in one or more of ten places in the file section alone: (1) an alphabetical file in the file section containing jackets awaiting strips from a machine room; (2) an incomplete employment file maintained by the same section, part of the material which relates to jackets originally filed in another section; (3) a file of material retained in the desk drawer of a record clerk until replies to particular correspondence are received; (4) a file maintained in the hallway for retention of unnumbered and wrong numbered material; (5) a file of data involving inconsistencies in names of original appointees retained in the desk of the supervisor of a section; (6) a file containing material to be coded, set up on miscellaneous floors, as space permits; (7) a file of original applications located in the corridor; (8) a file for coding material maintained by the searching unit of the branch; (9) a file maintained by the searching unit for material not identified through a file system; and (10) a file maintained by a file unit containing material which has been sorted but which has not yet been put into jackets.

There is little wonder why it is sometimes practically impossible to check on a request for personnel action while it is in process. The employment in one personnel office of nine individuals as searchers whose primary assignment is to find particular incompleted requests for personnel action is incontroversial evidence of the state of confusion into which personnel processing may fall. The construction and analysis of flow charts and periodic review of processing procedures are positive steps taken to reduce or eliminate such deficiencies.

There is little systematic use of work units to measure work loads of central staff personnel agencies or agency personnel offices. In many offices personnel statistics are maintained but little attempt is made to measure regularly the volume of work at key points in personnel procedures for planning purposes. For example, the keeping of production statistics, individually or collectively, reveals periods of declination and peak loads in the work of individual branches. In a few personnel offices, as many as fifteen different unit measurements have been devised and are used to record the volume and flow of work. Many of these work units thus set up are being profitably continued on a regular basis for the purpose of providing subsequent significant information. Greater use of the concept of work units in personnel administration should be made. Significant work units related to the work flow of each branch of a central staff personnel agency or agency personnel office should be set up and periodically studied as a guide for analysis of changing work loads and for subsequent administrative use such as reassignment of personnel, budgeting, etc.

The work environment for some employees of personnel offices is detrimental to their personal well-being and individual efficiency. This condition, where it exists, is partially a reflection of the attitude of a few agency heads toward personnel management. Improper lighting, unsanitary rest rooms, and poor ventilation characterize the physical conditions of work for some personnel office employees. A practice of sporadic emptying of the contents of wastebaskets often promotes the multiplication of vermin in a room or building housing personnel operations. The work environment forced upon many public employees constitutes a disgrace and should not be tolerated. The negative effect of such a work environment upon the efficiency of employees is observable by employees and supervisors alike.

Periodically, in every personnel office, the physical conditions of work should be re-examined. Any unfavorable conditions which cannot be promptly rectified by the personnel officials should be brought to the attention of top management. If necessary, the head of the agency must use the influence of his office to establish and maintain a favorable work situation.

Personnel procedures carried on in personnel offices are sometimes cumbersome and may involve unnecessary work. For example, in one agency, (1) exclusive of operations designed to prepare a flexoline strip for an index system containing the names of agency personnel, (2) exclusive of the temporary filing made necessary by the physical movement of file material from branch to branch, and (3) assuming that the file material as received by the records branch from the employment branch is complete, a procedure set up in the personnel office required that one set of original appointment papers be carried through the following twenty-one steps, prior to the actual filing of the material:

(1) checked for completeness	("A" Unit)
(2) sorted by operating division	("A" Unit)
(3) alphabetized	("A" Unit)
(4) recorded in a control book	("A" Unit)
(5) stamped	("A" Unit)
(6) alphabetized	("B" Unit)
(7) checked against previous correspondence	("B" Unit)
(8) stamped	("B" Unit)
(9) tied into bundles and dated	("B" Unit)
(10) checked against flexoline system for previous employment	("C" Unit)
(11) stored in coding file	("C" Unit)
(12) translated on special coding form	("D" Unit)
(13) checked by code checker	("D" Unit)
(14) arranged chronologically	("B" Unit)
(15) checked for accuracy	("B" Unit)
(16) placed in jacket	("B" Unit)
(17) alphabetized	("C" Unit)
(18) checked to compare label with strip	("C" Unit)
(19) classified by operating division	("E" Unit)
(20) alphabetized	("E" Unit)
(21) checked for accuracy	("E" Unit)

Attention is particularly invited to the practice of making numerous physical rearrangements of the material in the above process. In the instance of the receipt of a complete set of original appointment material, the "A" Unit initially alphabetized incoming appointment papers by operating divisions. The "B" Unit subsequently alphabetized the same data. The "C" Unit stored the material to be coded by date. Upon the receipt of the coded material in a jacket from the "B" Unit, the "C" Unit alphabetized the data before placing the jacket in the file. When consideration is given to the number of original appointments in the agency, the amount of time involved in carrying on the single process of rearranging the material becomes excessive. In the instance of the receipt of an incomplete set of original appointment papers, additional alphabetizing and numericalizing of the same data were necessary.

Personnel procedures must be precise, pertinent, and streamlined. With reference to the filing procedure described above, for example, the processing of material for file should be re-examined and rearranged wherever possible in order that the material may be jacketed and filed in a minimum of time; the objective of any revision of the process of preparing material for file is to provide, as expeditiously as possible, for (1) the placing of material into individual jackets and (2) the filing of the jackets. Extraneous steps in any personnel procedure should be eliminated. Since a procedure, effective at one time, may subsequently become outmoded merely because of a change of rules, the validity of personnel procedures can be maintained only by periodic analysis of office operations.

The practice of obtaining information from sources outside an agency for the purpose of answering an inquiry of an individual applicant may require the use of an excessive amount of time. Some of the letters received by a central staff personnel agency or agency personnel office concern a variety of questions some of which are outside the range of responsibility of the agency or office. It is the practice for some personnel officials to seek an answer, nevertheless, through whatever contacts they may develop and to prepare what seems to be an appropriate reply after such contacts have been made. Telephoning or even initiating further correspondence in these cases may necessitate communication with other governmental agencies and local institutions within or outside of the city which consumes countless hours of time. In a few personnel offices, clerks may make

as many as ten telephone calls to sources outside of the agency to ascertain information to answer an individual inquiry which originally should have been directed to another agency.

In the instance of repetitive inquiries from applicants seeking personnel information which normally is available outside of the agency or office, personnel officials may already have the answer and courteous practice may suggest that a simple and factual reply be given. Otherwise, it is recommended that the inquirer be advised where the information may be obtained and told to contact the original source.

Functional assignments within a personnel office are sometimes ignored by personnel office staff. For example, a specific function such as the administering of a promotion program may be given to an employment branch. Nevertheless, inquiries seeking information about the promotion program may be routed to a different branch of the personnel office for answering. As a matter of fact, successive inquiries which raise similar questions about the promotion program may be forwarded to one of two or three different branches for reply, instead of to the branch designated the responsibility. Unfortunately, the nature of the reply to these similar questions may vary. Infrequently, replies to inquiries may be prepared by a branch of a personnel office having no direct jurisdiction over the subject matter involved; such replies may be sent from the personnel office without clearing the specific branch immediately concerned. Not only is there occasionally a definite lack of systematization in the routing of correspondence for reply, but there often is also a significant lack of standardization in the preparation of routine replies by the several branches on the same subject. In order that correct answers may be prepared by the appropriate personnel officials, functional responsibility within the personnel office must be continously recognized.

Excessive time is sometimes consumed in furnishing answers to personnel inquiries.—In the instance of an inquiry raising a routine personnel question, two to four weeks may pass before a reply is forthcoming from some personnel offices. Miscellaneous letters, however, may involve two or more routine questions about an agency personnel policy or program; the time involved in preparing a reply in such cases may be at least double the above estimate. One reason for delay may be lack of staff; another, however, is the fact that clerks in some personnel offices proceed to prepare an

original paragraph or paragraphs to each routine inquiry without reference to previously prepared answers to the same or similar inquiry.

A system may be set up in personnel offices under which optional standardized sentence or paragraph answers are available for use as answers to routine inquiries. To initiate this system, an analysis may be made to determine the range of routine inquiries received in the personnel office. A well-planned sentence or paragraph is then prepared to answer each such inquiry; the prepared answers are classified according to their nature; each prepared reply is then numbered and arranged in numerical sequence; master mimeographed lists of the numbered sentences and paragraphs are made available for each personnel official who handles inquiries and for each employee who may type such replies. Under one arrangement a personnel clerk, upon analyzing the inquiry, makes a notation on the correspondence of the numbers of the sentences and paragraphs which constitute a correct reply. Typing the answer to such inquiries therefore involves simply the copying of the appropriate numbered paragraphs from the master mimeograph list. This method usually saves considerable staff time and results in the expediting of replies.

Often personnel officials fail to keep chief executives, agency heads, and other top officials of their jurisdictions and agencies adequately and currently informed about their personnel problems and progress. Little or no consideration may be given to the preparation of an annual or monthly report or other résumé of personnel office activity or difficulty. An attitude occasionally prevails among personnel officials that, unless the chief executive, head of an agency, or other responsible official actually seeks specific data, the personnel official should not bother him with personnel information.

Periodic progress reports, as well as reports on special problems, should be prepared for submission to appropriate authority. The preparation of progress reports, for example, serves as a helpful self-check upon the development of the personnel program. Well-prepared annual or semi-annual reports not only serve as information material for higher authority but offer an opportunity for the presentation of problems faced and solutions proposed or effected during a period of time. Keeping superior authority, through the chain of command, constantly informed of personnel developments, by

conferences, memoranda, and other means, is an accepted practice in progressive personnel management.

Personnel officials often have little knowledge of personnel programs of other agencies in the same jurisdiction. Because of preoccupancy with their own agency problems, lack of administrative facility, indifference, or otherwise, such officials sometimes proceed to treat each type of personnel problem which arises in their own agency as unique. They seem oblivious of the fact that personnel problems which they face are often similar or identical to problems of personnel officials in other agencies operating under the same basic personnel laws and regulations. Furthermore, coordination among agency personnel offices in the same unit of government may be the exception, rather than the rule.

Personnel officials should maintain active liaison with their counterparts in other agencies in the same jurisdiction. Liaison may be formal or informal, and may be directed not only toward obtaining general personnel information but also toward interagency cooperation with respect to personnel activity. One of the most effective methods for liaison purposes is the establishment of an official organization of personnel officials of the same jurisdiction. The organization may operate on a functional basis, with membership open to training officers or safety officers or others, or it may be limited to agency personnel officers. One pattern of interagency cooperation is typified by the Federal Personnel Council, an interdepartmental advisory committee composed of personnel officers of federal agencies and of representatives of the U. S. Civil Service Commission and of the U. S. Bureau of the Budget; an employee scroll, entitled *Federal Creed of Service* (Figure 26, Appendix), is an illustration of the result of joint cooperation through the Council in an area of common personnel interest.

There has been comparatively little effort made by personnel officials to foster employee participation in personnel management. Such participation means that employees of an agency are afforded a positive opportunity, through effective communication channels, to participate in the formulation of personnel policies and practices. While there is evidence of increasing employee participation in a limited number of federal agencies and in a few state and local units, in the majority of jurisdictions there is little or no attention given to such participation.

The human relations approach to personnel management recognizes that group thinking on personnel problems and procedures accelerates common understanding and confidence among members of the group. Employee participation prompts individual employees to cooperate most wholeheartedly in the subsequent administration of a rule or procedure which has been the product of group consideration. Under a plan of participation, both the time involved in presenting ideas and in receiving responses and the possible delay in effectuating a policy, plan or process may constitute administrative difficulty; on the other hand, an increased number of suggestions, greater and more rapid acceptance of agency policies, and improved supervisory relationships usually result.

On a broad basis, employee participation may involve participation by all employees directly or through elected representatives. However, there is no "standard plan" for employee participation; each agency should develop its own approach, including specific communication channels to be used, to meet the needs of the local environment. Where suggestions offered under a plan of employee participation are given careful and prompt attention and where both management and employees give full support to the plan, the effectiveness of public personnel management is enhanced.

Problems of Personnel Officials

Personnel officials have excellent opportunities to contribute to the missions of their agencies. At the same time, however, the role of personnel officials is often beset with difficult administrative problems which stimulate their intellect and challenge their ingenuity. These problems are not necessarily new nor unique nor exclusive either with the personnel official in private enterprise or with the personnel official in government. The extent and significance of these individual problems, however, vary between government and industry, as well as within government and industry. The purpose of this section is to enumerate a series of such problems facing personnel officials today and to indicate briefly some methods which are being utilized to solve them.

How to keep informed of changing basic policy.—The personnel official operates within an area of broad policy established ultimately by representatives of the people. Broad policy for personnel officials is implemented usually by executive action of certain specific staff agencies of the jurisdiction and often by decisions of an agency's

chief administrator. Policy enunciated by one agency may have a tremendous impact upon the policy and program of another agency. Ascertaining basic personnel policy at any one time thus requires the personnel official to keep constantly informed of developments simultaneously on a series of fronts.

In order to keep the personnel official properly informed of basic policy, effective channels of communication must be maintained. Means must be established whereby pertinent laws, executive orders, directives, memoranda, reports, etc., are transmitted to the personnel official without delay. In some instances, it is necessary for the personnel official personally to read the verbatim text of such changes. In other instances, synopses of important changes are regularly made by staff assistants for the information of, and study by, the personnel official. The conference technique and the informal executive luncheon are other ways employed to obtain information. Furthermore, maintaining constant familiarity with changing basic policy often offers the personnel official an opportunity to take the initiative to suggest a particular plan or a point of view prior to the making of subsequent basic policy by superior authority.

How to reduce constant demands upon the time of the personnel official.—Demands to talk personally with the personnel official often come from sources external to his agency, such as legislative officials, interest groups, community leaders, and personnel of offices outside his agency, and from internal sources such as staff members of his agency and personnel of offices within his agency. Because every government executive is a servant of the people, members of the public at large often believe they have a right to deal with him in person. The danger of circumscribing these demands is the possible loss of essential information or loss of reaction toward a policy or program which the government executive may need to know.

To reduce constant demands upon his time, the personnel official delegates authority to subordinates to act for him. Staff assistants often screen requests upon his time with the point of view of routing demands which are not of top level importance to subordinates for handling. In some instances, routing of requests is made to subordinate officials for comment before transmittal of the original request to the personnel official for his attention. Careful staff work saves executive time through the preparation of related data in such a way that the executive can make a rather rapid

decision in light of all the facts succinctly indicated. When the personnel official believes he must personally talk with specific individuals, a system of scheduled interviews, with a limited allotment of time for each caller, is always a time-saver.

How to maintain effective communication within his own organization.—Organizationally, a personnel office is composed of a series of levels of officialdom. At every level the individual employee must be fully familiar with the policy and programs of the personnel official. In turn, only through effective communication can the personnel official know explicitly the answers to such questions as the extent his influence is felt within his office and the percentage of faithful administration his orders receive. Internal channels of communication within the organization must be constantly kept open horizontally and vertically, upward as well as downward.

Media of communication particularly suited to transmitting information downward through the personnel organization include periodic releases, bulletin board material, official memoranda, directives, chain supervisory conferences, and group meetings. Employees often send their ideas and comments upward through supervisory and group meetings, contributions to personnel office bulletins and individual memoranda. Equally as essential as the type of media, and in many instances more essential, are facilities for transmission of all pertinent data throughout the personnel office as speedily as possible. A sharp deterrent to an effective communication system is evidenced when employees continually learn of key developments of their organization from outside sources. The personnel official must always bear in mind that the broader the understanding within his organization, the higher the morale and the greater the efficiency.

How to delegate authority effectively.—Delegation of authority is an essential aspect of the personnel official's relationship with his subordinates. Proper delegation not only relieves the personnel official of the necessity of personally carrying out various tasks but builds personnel officials for tomorrow. Frequently, however, because of such factors as legal restrictions, incompetence, lack of clear policy, diverse administrative standards and tradition, the personnel official cannot or does not delegate authority properly.

If effective delegation is to take place, the personnel official needs confidence in his aids and a genuine desire to divorce himself from details. Basic, therefore, is selection by the personnel official of

assistants capable of accepting responsibility. Effective delegation requires that the scope and extent of authority to be delegated be carefully delineated. Effective internal communication processes convey to appropriate echelons of the organization standards of delegation and thereby prevent confusion with respect to the lines of authority in the organization. Policy is made clear to all. Uniformity of administrative standards on as broad a base as possible within the organization tends to reduce the need for top level decision in individual matters. Legal impediments to desirable delegation are often re-examined by superior authority with the objective of reconsidering, where necessary, the particular framework under which administration operates.

How to measure effectiveness of his operations.—In contrast to monetary profit as an accepted criterion of effectiveness in private industry, the personnel office as a dispenser of service has no simple yardstick for use. The usual functions of public personnel management defy precise measurement. The conscientious personnel official, therefore, has no ready tool for application.

The difficulties surrounding efforts to apply measurement techniques to public personnel management have not constituted an insurmountable barrier to their development. Progress has been made in analyzing factors to be utilized in making objective appraisals of specific personnel operations. The creation of work units, accumulation of data over a period of time, introduction of the comparison approach, modification of scales and schedules, and the application of statistical procedures indicate a few of the significant steps in the process of establishing measurements of effectiveness in personnel work. Such measurement processes are being further refined and improved. As measurement techniques become available, they permit the personnel official to assess without bias the validity of his operations.

How to sell his program to his customers.—The customers of a personnel office are made up of many types of individuals: employees, supervisors, applicants, and administrative officials of an agency making up a large part of the "business." Success of any government program depends upon acceptance by the rank and file for whom the program is intended. In terms of acceptance, it is not enough that a legislature or chief executive determine the outlines of a program; it is too much when publicity agents propagandize a specific personnel plan for the purpose of seeking to con-

vince the customers with half truths that the personnel program or plan is needed or is desirable. The happy medium appears to exist when the personnel officer, acting within granted discretion, interprets his program to his customers through an objective point of view.

Selling a program to gain acceptance necessary for voluntary compliance is a challenge to a personnel official. Lacking a standardized formula, he must plan his approach to meet prevailing conditions. Participation by the personnel official in broad administrative processes of the agency, his use of accepted educational methods (including the forum and the formal address), careful attention at the specific points where the individual customer has contacts with the organization—all may be employed with success. A personnel program is not automatically sold through the issuance of generalized personnel office releases to agency bulletins or by the use of an agency procedures manual or employee handbooks; rather, the problem becomes one of personalizing—contact by contact—the significance of the program to the customers for whom the program is intended. The most essential element in selling a personnel program is effective performance.

How to impress upon his superior his views and recommendations.—The majority of personnel officials are physically located apart from their immediate superiors in their agencies. Complexities of administrative structure as well as geographical distance tend to remove the personnel official from the area of effective influence in top agency management. Often it appears that the personnel official, particularly of a field unit of an agency, is erroneously regarded as devoid of any suggestions to improve and strengthen agency-wide operations. As a matter of fact, in individual jurisdictions, personnel officials lack the opportunity to recommend effectually to superior authority on matters of personnel management.

In order to impress his thoughts upon superior authority in the agency, the personnel official may seek to make frequent visits to his immediate superior. The personnel official may develop operating acquaintances in whom the personnel official has confidence and to whom he may frankly turn as may be desirable. A two-way system of agency communication provides an excellent channel for the personnel official. Top management which makes basic decisions without ascertaining the attitude of the components of the organization invites difficulty in administration. Transmis-

sion of views and recommendations by the personnel official in an orderly and frank manner through the chain of command becomes a matter of administrative importance.

How to maintain administrative objectivity in the face of interest groups.—The influence of interest groups upon the personnel official may be a significant factor in the exercise of administrative discretion. Accurate appraisal of the demands of interest groups, in terms of the public welfare, is frequently a difficult task for the personnel official, especially if a minority is extremely vocal. Subtle methods sometimes utilized and the dire conclusions occasionally predicted by interest groups focus attention on the need for forthrightness of thought and objectivity of decision by the personnel official.

There is opportunity for interest group participation at many points in the personnel formulation process. Steps must be taken, however, to insulate the personnel official from personal adverse action an interest group may seek to take. The maintenance of a merit system with safeguards against personal recrimination, the availability of non-partisan research and of consultative facilities for the personnel official, effective communication, and the use by him of methods to assess opinion are methods utilized to insure desired administrative objectivity.

How to keep informed of professional progress.—Routine demands upon the personnel official frequently monopolize his time and prevent his own professional development. Pressure of his daily work usually takes precedence over his desire to keep abreast of current changes in his field. Assuming he has the time, he is often geographically removed from facilities for professional development such as the professional library, the graduate school, and the local chapter of a personnel or management society. Furthermore, when he does have the time, the volume of professional literature is such that it may be difficult for him to distinguish the significant data from all the information available.

To keep informed of professional progress, the personnel official relies upon a variety of sources for data. These sources include professional books and magazines, attendance at executive luncheons, conferences and meetings of professional societies, and use of specially prepared analyses by staff assistants. In very exceptional cases the personnel official may take a leave of absence for formal professional study or temporary assignment in industry. The need

of the personnel official to retain familiarity with current trends and changes in his profession, if he is to progress himself, cannot be overestimated.

How to attract, develop, and retain competent personnel for his own office.—Regardless of the soundness of an organizational structure, the success or failure of any government program depends directly upon the competency of its personnel. A series of factors often accentuate the personnel problem in the personnel office. Some of these factors involve time-consuming recruitment methods, inadequacies of pay, unfavorable working conditions, lack of opportunity for advancement, political influence, inadequate supervision, and instability of employment. In some jurisdictions, combinations of these factors not only stymie efforts of the personnel official to select capable assistants; they often induce mediocrity throughout his whole organization.

To obtain sufficient competent personnel for a personnel office, steps have been taken outside and inside of a jurisdiction. Universities have established programs of public and personnel administration training. Industry has collaborated to exchange ideas of industrial personnel management with government officials. Many government jurisdictions seek to enhance the status of the public servant, not only through the adoption of a human relations philosophy toward personnel in general, but through the enactment of specific legislation designed to foster improvement in this respect. Thus, in many instances, recruiting methods for personnel positions have been streamlined, pay has been increased, working conditions have been re-examined and improved, policies of promoting from within have been adopted, political influence has diminished or been eliminated, supervision has been improved, and efforts have been made to stabilize employment in personnel offices.

It is not contended that the foregoing problems constitute the ten most outstanding administrative difficulties facing the personnel official today. For each problem mentioned, the successful formula has not yet been fully established. To summarize the problems presented, however, serves to spotlight specific administrative areas and to induce further analysis. Only through ultimate solution of such problems will the personnel official be able to fulfill most effectually the essental role he inevitably plays in public administration.

Conspectus

As the role of government expands in our complex society, there is an increasing comprehension of the essentiality of public personnel management. Democratic ideals and programs rely upon an effective body of public employees for their fruition. A government which is defective in its personnel management cannot discharge its responsibilities properly to its citizens.

Public personnel management translates the individual's work efforts into concerted group action through the medium of the organization of government; public personnel management transforms an individual's aspirations into collective behavior for the common welfare. In order to fulfill its appropriate function in government administration, public personnel management needs the sympathetic understanding and active support of each of the three departments of government—legislative, executive, and judicial—as well as of the citizenry of the jurisdiction. Obtaining this understanding and support is a critical challenge to public personnel management.

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U. S. Civil Service Commission, *A Bibliography of Public Personnel Administration Literature,* with supplements, Washington, 1951, 1952.

U. S. Civil Service Commission, *Facts About Government Work and Workers,* Washington, 1952.

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Questions and Problems

CHAPTER I

1. Why should the personnel program be of vital concern to the administrator of an agency?

2. What are the comparative values of the formal and of the informal organizations of an agency?

3. Since the employees of an agency are individuals, can all personnel problems be solved on an individual basis?

4. What chief similarities and differences do you observe between functions of personnel management in government, as compared with personnel management functions in industry?

5. Prepare an organization chart for a personnel office in an agency having a total of approximately 3000 employees. On the chart indicate: (1) the exact functions to be carried out by each branch of the personnel office, (2) the type of skills required in the performance of these functions, and (3) the approximate number of employees needed by each branch of the personnel office to carry out the functions effectively.

CHAPTER II

1. What advantages and disadvantages may characterize employee participation in the process of position evaluation?

2. In a selected agency having a classification program, obtain from the personnel office the official position titles of a group of employees and compare these titles with the organization titles of the same personnel. What differences, if any, do you note? Is there any significance in these differences?

3. What obstacles do you see to the establishment of an effective classification program in the local government of your community?

4. Is it administratively more desirable to establish a classification plan for an agency (1) at the time the agency is created and before most personnel are selected or (2) some time after the agency is created and after nearly all employees have reported for duty?

5. What are basic differences between a position classification plan in government and a job analysis program in industry?

Chapter III

1. Should salaries of public employees be related directly to changes in the cost-of-living index?

2. Contrast the process of establishing wage rates for skilled tradesmen in a local unit of government with the process of fixing wage rates for the same type of employees in industry.

3. In your immediate geographical area, select six occupations common to all jurisdictions in the area (such as clerk, typist, etc.), ascertain the entrance rate of salary for each of these positions in each jurisdiction and note any significant monetary differences. What personnel problems may arise because of these differences? What offsets may overcome problems in a jurisdiction having lower entrance rates?

4. Should all public employees in a particular jurisdiction be granted the same amount of vacation leave per year or should the amount of vacation depend upon such factors as length of service and amount of physical strain or emotional stress involved in individual types of positions?

5. Supervisors sometimes believe, rightly or wrongly, that a reduction in the number of employees under their supervision will result in a reduction of supervisory salaries. What practical incentives might be set up in order that supervisors who may hold such beliefs will promptly take steps to reduce staff, when necessary?

Chapter IV

1. Prepare a plan to coordinate recruiting efforts of federal, state and local governments to obtain 300 qualified stenographers at entrance rate salary levels for duty in federal, state and local agencies located in the New England area.

2. Evaluate the advantages and disadvantages inherent in the use of the following methods of stimulating applications for public employment: newspaper announcements, personal contacts, appeals to present employees for applications of their friends, academic placement offices, interest groups, community social and civic organizations and television programs.

3. Develop a "follow-up" form to ascertain the current availability of a group of applicants who applied for employment at an earlier time when suitable vacancies did not exist.

4. Should employees who have once passed competitive entrance tests for public employment be subsequently given appropriate tests periodically, on a voluntary or involuntary basis, to determine their continued competency for assignment?

5. What procedures may be adopted by an agency personnel office to insure that an employee holding a probational appointment in the

agency proves his fitness for an absolute appointment prior to the completion of his probationary period?

Chapter V

1. From your observations, what subjects should be included in a training plan designed to improve the effectiveness of employees of a personnel office?

2. Find out what training methods are presently being employed in a government agency in your community. What evidence available suggests that the training you have observed is effective?

3. Under what circumstances, if any, do you believe a government agency should pay the tuition of an employee who requests permission to pursue, on a full-time basis for an academic year, a formal university program related to the employee's work?

4. What criteria may be used to determine whether a government agency should arrange with an educational institution to offer a training course for government employees, in preference to the agency's conducting such a course with its own facilities and staff?

5. What short-range and long-range effects does a period of national emergency have upon training programs in the public service?

Chapter VI

1. How does the use of efficiency ratings in government compare with the use of such ratings in industry?

2. To what extent should the efficiency rating of a previous rating period be introduced by a supervisor in the process of (1) determining the current rating of an employee and (2) discussing with the employee his current rating?

3. In what practical ways may a supervisor keep his employees continuously informed of their effectiveness?

4. Is it feasible in the public service to establish a direct relationship between an individual's efficiency rating and his rate of pay such that a higher salary would be immediately paid to employees who rank at the top of the group while a decrease in salary would be sustained by employees who rank at the bottom of the group?

5. Construct a performance rating form suitable for use in evaluating the guard force of an agency.

Chapter VII

1. What steps may be taken to keep supervisors and employees aware of the grievance procedures of an agency without placing undue emphasis on the negative results of such procedures?

2. Should government funds be expended to buy equipment for an athletic group which is part of the official recreation program of an agency?

3. Is it proper for a government agency to provide staff and facilities to collect and transmit to private organizations periodic payments from employees who belong to privately operated insurance or group hospitalization plans?

4. How can an effective employee relations program assist in the promotion of the human relations approach in public personnel management?

5. Under what circumstances, if any, should a counselor in an agency personnel office refer a personal problem of an employee to a community social agency, with or without the employee's consent?

Chapter VIII

1. Why is the health of public employees becoming of increasing concern to management?

2. Prepare a plan designed to orient new employees in an agency in the essentials of safety consciousness.

3. What private and public organizations in your community may be contacted to assist in a program of accident prevention in local units of government?

4. What is the relationship between age and the frequency and seriousness of on-the-job accidents?

5. What provisions for compensation for injury sustained in the performance of duty exist for employees of your local government? How does your local situation compare with the provisions of compensation legislation applicable to federal employees?

Chapter IX

1. Why has the citizenry a right to expect a high standard of conduct on the part of all public employees?

2. Since public employee organizations usually do not utilize the strike weapon, how do such organizations seek to make their programs effective?

3. Why do agencies often place limitations on outside employment of their employees as long as the outside employment does not occur during the normal agency work week?

4. Should a representative of an employee organization automatically be appointed a member of a panel to hear an employee appeal from a disciplinary action?

5. If an employee is guilty of a serious offense in one jurisdiction, should he be automatically barred from employment in another jurisdiction for a specified period of time?

Chapter X

1. In the planning and execution of broad agency programs, what consideration is given to seasonal peaks in manpower which may be available through transfer from other agencies of the same jurisdiction?

2. If an employee is separated for cause, under what circumstances, if any, should he be permitted subsequent reemployment in the agency or jurisdiction?

3. Prepare an outplacement program designed to make available elsewhere in the jurisdiction a group of 45 typists and messengers at intermediate pay grades whose services in their present agency are no longer needed.

4. Does the citizens' concern for public employees extend to the establishment of a system of severance pay for "permanent" employees who are about to be involuntarily separated?

5. What arrangements have been developed among government jurisdictions in your geographical area whereby the records of employees whose services are no longer needed in one jurisdiction may be appropriately considered by other jurisdictions?

Chapter XI

1. What provisions have been established for retirement of state employees in your state?

2. Does a jurisdiction have responsibility to provide additional annuity for its retired employees during periods of high living costs?

3. What obstacles do you see to a consolidation of all pension plans for public employees in one jurisdiction into a unified system?

4. Should public employees be permitted to withdraw their retirement deductions at any time after they leave public employment but before they become eligible for retirement?

5. Compute the retirement benefits of a member of the Federal Civil Service Retirement System who is married, age 65, with 32 years of covered service and whose highest five year average salary is $6250. How do these benefits compare with those enjoyed by a member of the Federal Social Security System in the same set of circumstances?

Chapter XII

1. Why must a personnel official give periodic consideration to the question of reorganization of the structure and functions of his office?

2. Explain, with reference to specific personnel functions, the extent to which personnel management is usually decentralized within individual field activities of an agency.

3. What criteria may be used to measure the effectiveness of a personnel program in an agency? Evaluate the validity of such criteria.

4. Four professional magazines in the field of personnel management are: Public Personnel Review, Personnel, Personnel Journal and Personnel Administration. Identify the publisher of each magazine and evaluate each magazine with respect to (1) general coverage of topics, (2) level of government and/or type of industry usually featured, (3) type of articles generally included and (4) usefulness of the magazine for public personnel management.

5. Analyze five problems which frequently arise out of the relationship between the central personnel office and field unit personnel offices of the same agency.

APPENDIX

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PERSONNEL ACTION REQUEST FORM, CITY AND COUNTY OF DENVER, COLORADO

1. EFFECTIVE DATE:	**PERSONNEL ACTION**	2. SEQUENCE NO
INSTRUCTIONS: REFER TO THE MANUAL FOR DETAILED INSTRUCTIONS	(ACTIONS AFFECTING EMPLOYES)	3 AGENCY

APPOINTMENTS	SEPARATIONS	TRANSFERS	PAY CHANGES	
4. REGULAR APPOINTMENT	8. RESIGNATON	11. BETWEEN APPRO.	16. MERIT INCREASES	20 RETURN FROM LEAVE WITHOUT PAY OVER 15 DAYS
		12. BETWEEN CLASSES OF THE SAME GRADE	17. OTHER INCREASES IN PAY	21 SUSPENSION a b
5. LIMITED APPOINTMENT	9. LAY-OFF	13. TO A HIGHER GRADE		
6 INTERMITTENT APP'T.	10-1. UNSATISFACTORY SERVICE	14. TO A LOWER GRADE	18 DECREASES IN PAY	22 CHANGE IN PAY BASE
7. CHANGE OF STATUS	10 2 DISMISSAL	15. REMAIN IN SAME CLASS-Reassignment	19 LEAVE WITHOUT PAY OVER 15 DAYS	23 OTHER

ITEM		PRESENT STATUS		PROPOSED STATUS
CLASS TITLE	24		31	
PERMANENT POSITION (ENTER NUMBER)	25		32	
TEMPORARY POSITION (CHECK)	26		33	
PAY RATE--PAY GRADE AND PAY STEP	27		34	
APPROPRIATION--ORGANIZATION UNIT	28		35	
HOURS OF WORK (If other than standard)	29		36	
EMPLOYE STATUS	30.	REGULAR ☐ LIMITED ☐ INTERMITTENT ☐	37	REGULAR ☐ LIMITED ☐ INTERMITTENT ☐

38. NAME OF EMPLOYE:
LAST FIRST INITIAL

39. USE THIS BOX ONLY WITH CASES 4, 5, 6 AND 11
ADDRESS
PREVIOUSLY EMPLOYED. YES ☐ NO ☐ DOUBTFUL ☐
PHONE
MALE ☐ FEMALE ☐ AGE

40. REMARKS:

41. USE THIS BOX ONLY WITH CASES 8, 9, 10-1, 10-2 AND 11
UNUSED LEAVE:
VACATION _____DAYS
SICK _____DAYS
COMPENSATORY._____HOURS

43
SIGNATURE OF INITIATING OFFICER DATE

42 USE THIS BOX ONLY WITH CASE 11

PAYROLL DEDUCTIONS IN FORCE	AMOUNT
BLUE CROSS	
CREDIT UNION	
HEALTH & ACCIDENT INSURANCE	
LIFE INSURANCE	
RETIREMENT	
AUDITOR'S PAYROLL NUMBER	
WITHHOLDING NO OF DEPENDENTS	

CHARITY DEDUCTION
YES ☐ NO ☐
NAME OF CHARITY:
BALANCE DUE $_____
1st. DEDUCTION DATE
2nd. DEDUCTION DATE

44.
SIGNATURE OF APPROVING OFFICER DATE

45 USE THIS BOX WITH CASE 11 ONLY
SIGNATURE OF RECEIVING OFFICER DATE

FOR PERSONNEL DIVISION USE ONLY

A.	B.	C	D.

ACTION APPROVED ☐
ACTION DISAPPROVED ☐
FOR THE PERSONNEL OFFICER

DISTRIBUTION OF COPIES

BLUE - BUDGET & PERSONNEL GOLDENROD - AUDITOR WHITE - EMPLOYE PINK - AGENCY AUTHORIZATION GREEN - AGENCY FILE

EMPLOYEE ROSTER CARD, COUNTY OF WAYNE, MICHIGAN

Last Name	First	Middle	Date of Birth	Ret. Syst. No.	Sex

	Date							
First Employed	Hours	Regular Work Weeks (Date and Number of Hours)					Method of Entry	Vet.

Effective Date(s)	Actions Taken	POSITION TITLES	Dept. & Div.	Maint. Value	Rates ( )

CS-330—1918—5M—2-45 ROSTER CARD Civil Service Commission—County of Wayne

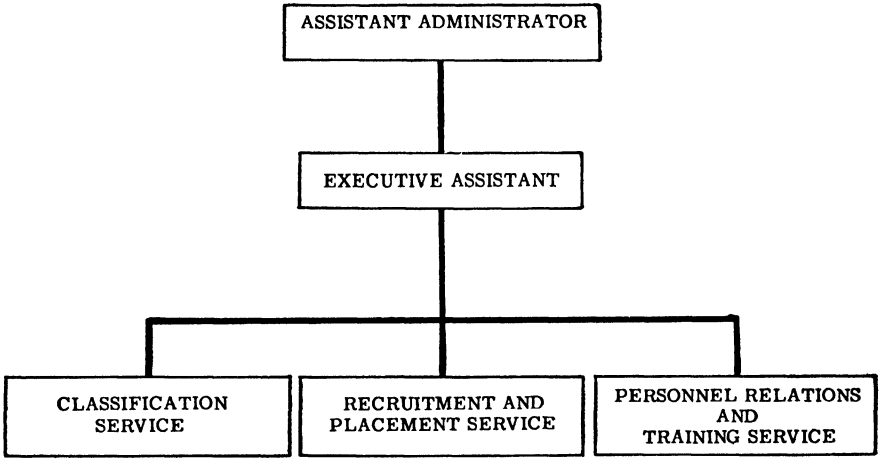
Effective Date(s)	Actions Taken	POSITION TITLES	Dept & Div.	Maint. Value	Rates ( )

Education and Training	School	College	Degree	Graduate Credits	Degree	Voc. Sch., Bus. Col., Other

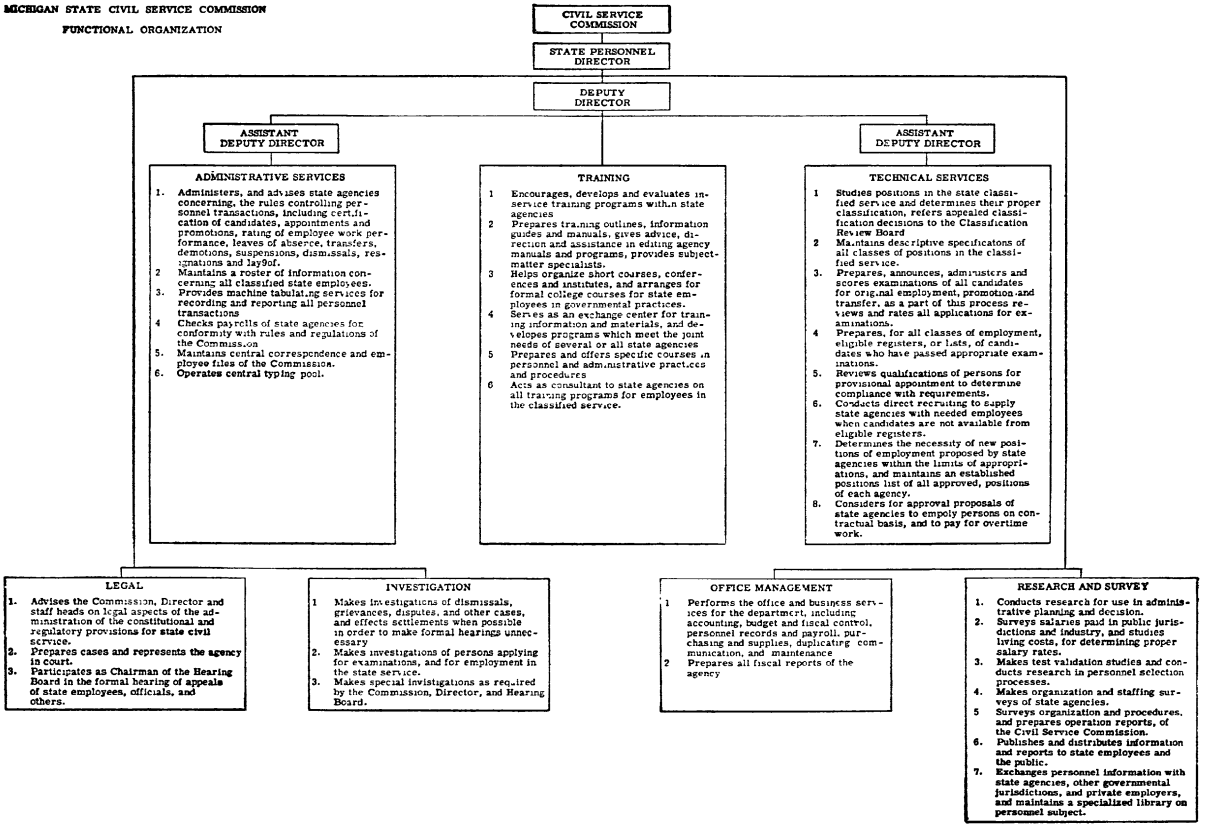
Service Ratings from Service Record

FUNCTIONAL ORGANIZATION CHART OF AN AGENCY PERSONNEL OFFICE, U. S. VETERANS ADMINISTRATION

OFFICE OF THE ASSISTANT ADMINISTRATOR FOR PERSONNEL



FUNCTIONAL ORGANIZATION CHART OF A CENTRAL STAFF PERSONNEL AGENCY, STATE OF MICHIGAN



CS-108

STATE OF ILLINOIS
CLASSIFICATION QUESTIONNAIRE

1. Name_____ (Last) (First) (Middle)

2. Place of Work or Headquarters_____ (Give Exact Location)

3. Department_____

4. Division, Section, Or Other Unit of Dept_____

5. Payroll Title of Position_____

6. Usual or Working Title of Position_____

7. Regular daily hours of work: From_____ to_____ Hours per week_____ Days off_____

8. Under the provisions of the State Civil Service Law, is your present position exempt_____, certified_____, subject to examination_____, or under 30 day permit_____?

9. If your job is part time, seasonal, intermittent, for a limited term, or otherwise broken, please explain_____

10. **Describe below in detail the work you do. Use your own words, and make your description so clear that any one reading it can understand exactly what you do. Either by using hours, days, fractions, or percentages show how your whole working time is used. If you are temporarily filling a position other than your regular one, indicate your present work and also your regular work. Fill in and attach additional sheets if necessary to record all duties performed.**

TIME	WORK

11. Give name and title of person (or persons) who is your immediate superior_____

(Do not write below this line)

(32730—10M Sets—6-51)

12. List any equipment operated or used by you in doing your work _____

13. Describe fully in what detail your assignments are made to you, stating what form (such as—penciled lay-out, roughdraft, etc.) your work is in when it comes to you, what decisions have already been made for you, what decisions are left to you _____

14 Summarize your work as you understand it _____

15. Who checks or reviews your work? _____
How is the review made? _____

16. Give the names and titles of employees under your supervision If you supervise an entire unit, simply give the name of such unit and the number of employees supervised _____

I certify that I have read the instructions, that the entries made above are my own and to the best of my knowledge are accurate and complete.

Date _____ *Signed* _____
(Employee)

PART II. TO BE FILLED IN BY THE IMMEDIATE SUPERIOR

17. Are the above statements of the employee accurate and complete? (Indicate any inaccuracies or incomplete items) _____

18. Give your idea of the essential nature of the work and responsibilities of the position and the supervision and attention it requires _____

19 Indicate the qualifications which you think should be required in filling a future vacancy in this position. Keep the position itself in mind, rather than the qualifications of the individual who now occupies it

A. Education and Special Training: Years and kind _____
B. Experience: Years and kind _____
C. Licenses or certificates required _____
D. What knowledges, abilities, skills, and physical qualifications should incumbent possess? _____

20. If the position requires any typing or shorthand fill out the following

	Incidental or Important	% of Time Spent by Employee	Standard Commercial Course Essential to Do the Work?
Typing:			
Shorthand.			

Date _____ Signed _____
(Certification of Immediate Superior)

(TO BE FILLED IN BY THE DEPARTMENT HEAD)

21. Comment on the above statements of the employee and the supervisor. Indicate any inaccuracies _____

Date _____ Signed _____
(Certification of Department Head)

Standard Form No. 75
February 1946

UNITED STATES CIVIL SERVICE COMMISSION

POSITION DESCRIPTION

1. Check one: Dept'l ☐ Field ☐

2. Official headquarters:

3. Reason for submission:
(a) If this position replaces another (i. e., a change of duties in an existing position), identify such position by title, allocation (service, series, grade), and position number

(b) Other (specify)

4. Agency position No.

5. C. S. C. certification No.

6. Date of certification

7. Date received from C. S. C.

8. CLASSIFICATION ACTION

ALLOCATION BY	CLASS TITLE OF POSITION	CLASS			INITIALS	DATE
		Service	Series	Grade		
a. Civil Service Commission						
b. Department, agency, or establishment						
c. Bureau						
d. Field office						
e. Recommended by initiating office						

9. Organizational title of position *(if any)*

10. Name of employee *(If vacancy, specify V-1, 2, 3, or 4)*

11. Department, agency, or establishment

a. First subdivision

b. Second subdivision

c. Third subdivision

d. Fourth subdivision

e. Fifth subdivision

12. This is a complete and accurate description of the duties and responsibilities of my position

(Signature of employee) (Date)

13. This is a complete and accurate description of the duties and responsibilities of this position

(Signature of immediate supervisor) (Date)

Title

14. Certification by head of bureau, division, field office, or designated representative

(Signature) (Date)

Title

15. Certification by department, agency, or establishment

(Signature) (Date)

Title:

16 Description of duties and responsibilities (See Guide to Position Classifiers, Employees, and Supervisors for the Preparation of Position Descriptions, Standard Form No 75A)

If more space is required, use the other side and additional pages size 8 x 10½

GENERAL SCHEDULE

	Periodic Step Increase							Longevity Step Increase		
GRADE	a	b	c	d	e	f	g	x	y	z
1	2500	2580	2660	2740	2820	2900	2980	3060	3140	3220
2	2750	2820	2910	2990	3070	3150	3230	3310	3390	3470
3	2950	3030	3110	3190	3270	3350	3430	3510	3590	3670
4	3175	3255	3335	3415	3495	3575	3655	3735	3815	3895
5	3410	3535	3660	3785	3910	4035	4160	4285	4410	4535
6	3795	3920	4045	4170	4295	4420	4545	4670	4795	4920
7	4205	4330	4455	4580	4705	4830	4955	5080	5205	5330
8	4620	4745	4870	4995	5120	5245	5370	5495	5620	5745
9	5060	5185	5310	5435	5560	5685	5810	5935	6060	6185
10	5500	5625	5750	5875	6000	6125	6250	5375	6500	6625
11	5940	6140	6340	6540	6740	6940				
12	7040	7240	7440	7640	7840	8040				
13	8360	8560	8760	8960	9160	9360				
14	9600	9800	10,000	10,200	10,400	10,600				
15	10,800	11,050	11,300	11,550	11,800					
16	12,000	12,200	12,400	12,600	12,800					
17	13,000	13,200	13,400	13,600	13,800					
18	14,800									

CRAFTS, PROTECTIVE and CUSTODIAL SCHEDULE

	Periodic Step Increase							Longevity Step Increase		
GRADE	a	b	c	d	e	f	g	x	y	z
1	1810	1870	1930	1990	2050	2110	2170	2230	2290	2350
2	2420	2490	2560	2630	2700	2770	2840	2910	2980	3050
3	2552	2632	2712	2792	2872	2952	3032	3112	3192	3272
4	2750	2830	2910	2990	3070	3150	3230	3310	3390	3470
5	2974	3054	3134	3214	3294	3374	3454	3534	3614	3694
6	3200	3280	3360	3440	3520	3600	3680	3760	3840	3920
7	3435	3535	3635	3735	3835	3935	4035	4135	4235	4335
8	3740	3865	3990	4115	4240	4365	4490	4615	4740	4865
9	4150	4275	4400	4525	4650	4775	4900	5025	5150	5275
10	4565	4690	4815	4940	5065	5190	5315	5440	5565	5690

Current as of Jan. 1, 1953.

COMPENSATION SCHEDULE (PORTION) OF A LARGE CITY, CITY OF NEW ORLEANS, LOUISIANA

Class Code No.	Class of Position	Monthly Salary Minimum	Monthly Salary Maximum	Amount of Steps
0420	Accountant I	$250.00	$350.00	$15.00
0421	Accountant II	325.00	450.00	20.00
0410	Account Clerk	180.00	240.00	10.00
0411	Account Clerk-Calculator	180.00	240.00	10.00
0027	Administrative Assistant	325.00	450.00	20.00
8011	Airport Manager	300.00	425.00	15.00
8005	Airport Ramp Supervisor	170.00	250.00	10.00
8420	Animal Curator	250.00	350.00	15.00
1512	Aquarium Attendant	150.00	200.00	10.00
4250	Architect	325.00	450.00	20.00
6621	Archivist	200.00	275.00	10.00
8010	Assistant Airport Manager	225.00	300.00	10.00
7121	Assistant Detective Chief	325.00	400.00	15.00
7145	Assistant Identification Supervisor	325.00	400.00	15.00
6125	Assistant Recreation Director	450.00	600.00	25.00
7350	Assistant Supervisor of Communications	325.00	400.00	15.00
7116	Assistant Supervisor of Precincts	325.00	400.00	15.00
7129	Assistant Traffic Supervisor	325.00	400.00	15.00
1920	Automotive Equipment Supervisor	250.00	350.00	15.00
1910	Automotive Mechanic	200.00	250.00	10.00
1909	Automotive Mechanic Apprentice	150.00	190.00	5.00*
1911	Automotive Mechanic Foreman	250.00	350.00	15.00
2010	Auto Upholsterer	170.00	220.00	10.00
8018	Aviation Administrative Assistant	450.00	600.00	25.00
0013	Bill Distributor	130.00	170.00	5.00*
1950	Blacksmith	200.00	250.00	10.00
2080	Bookbinder	170.00	220.00	10.00
0115	Bookkeeping Machine Operator	170.00	220.00	10.00
6065	Boys Home Superintendent	350.00	500.00	20.00
6064	Boys Home Supervisor	250.00	350.00	15.00
1830	Brickmason	200.00	250.00	10.00
1831	Brickmason Foreman	250.00	350.00	15.00
1829	Brickmason Helper	150.00	190.00	5.00*
2035	Broom Maker	170.00	220.00	10.00
1870	Building Construction Estimator	325.00	450.00	20.00
2210	Building Inspector I	250.00	300.00	10.00
2211	Building Inspector II	325.00	450.00	20.00
2420	Building Maintenance Supervisor I	200.00	275.00	10.00
2421	Building Maintenance Supervisor II	250.00	350.00	15.00
2422	Building Maintenance Supervisor III	400.00	550.00	20.00
4244	Building Plan Examiner I	250.00	350.00	15.00
4245	Building Plan Examiner II	325.00	450.00	20.00
0310	Buyer	250.00	350.00	15.00

*A two-step merit increase is approved whenever funds are available.

GENERAL ANNOUNCEMENT (PORTION),
STATE OF NEW YORK

HERE ARE THE STEPS LEADING TO A PERMANENT APPOINTMENT IN THE NEW YORK STATE CIVIL SERVICE

1 You learn about an examination



from your newspaper or the radio, your school or college, your library or post-office, the local office of the State Employment Service, from one of the offices of the State Department of Civil Service, or some other source. If you are interested. . .

2 You get an application blank

from the Civil Service Department or the State Employment Service office in your community, or possibly from your school. You may write for it to the Civil Service Department, which will also send you a detailed announcement. Be specific about *which* examination you want to apply for. If you think you can meet the qualifications which appear on the announcement. . .

3 You file your application

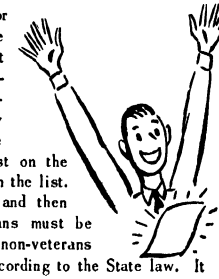


with the Civil Service Department. Fill it out very carefully. Be accurate. Your statements are subject to investigation. Have your application notarized and send it *with your examination fee* (which is required by law) to the Civil Service Department. If you meet the qualifications your application will be accepted and. . .

4 You take the examination

at a center near your home. Prepare for it carefully. It's a waste of your time to compete with others who have studied unless you, too, are well prepared. You will be notified when and where to report. The written examination may combine different types of questions. Full instructions will be given. If you pass the written test, your training and experience may be rated. There may be an oral interview, a medical examination, a physical test. The average of these individual marks makes up your final rating. If you pass the examination. . .

5 Your name appears on an eligible list



and you are ready for appointment. The eligible list is sent to the appointing officer of a State department, who may select one of the three names highest on the list, and so on down the list. Disabled veterans and then non-disabled veterans must be appointed before non-veterans may be reached, according to the State law. It may be some time before your name is reached. If you are appointed. . .

6 You serve a probationary period

during which your performance on the job is closely observed. If you are found satisfactory during this trial period. . .

7 Your appointment is made permanent

and you take your place in the career civil service of New York State. You are expected to give loyal and devoted service to the people of New York, whom you serve. In return, certain important advantages are yours.

NEW YORK STATE DEPARTMENT OF CIVIL SERVICE

COMMISSION
J. EDWARD CONWAY, President
LOUISE C. GERRY
ALEXANDER A. FALK

OFFICES
Albany — State Office Building
New York — 270 Broadway
Buffalo — State Office Building

SPECIFIC ANNOUNCEMENT (PORTION),
FEDERAL GOVERNMENT

Announcement No. 317
Issued: December 11, 1951
No Closing Date

* * * * * * * * * * * * *

Announcing

an examination for

SHORTHAND REPORTER

$3,795 to $5,060 a Year

(Grades GS–6 to GS–9)

* *

Apply to

The U. S. Civil Service Commission

Washington 25, D. C.

Announcement No. 317

for

Shorthand Reporter

**

Persons who attained eligibility under Announcement No. 268 for Shorthand Reporter need not apply for this new examination since their eligibility will be continued on the new registers established (see "Registers" on page 7).

Locations of Positions

Departmental and field positions in various Federal agencies in Washington, D. C., Alexandria, Va., Arlington County, Va., and Montgomery and Prince Georges Counties, Md., will be filled from this examination.

Description of Work

Shorthand reporters appointed to these positions will make and transcribe verbatim records of conferences, hearings, interviews, speeches, and lectures. The degree of difficulty of the duties will vary in accordance with the grade of the position.

Written Test Required

Competitors will be required to take an examination consisting of dictation for 5 minutes at 175 words a minute. One hour will be allowed for the transcription of the exercise.

Any system of making notes, including the use of shorthand-writing machines or machines which *noiselessly* record the voice of the shorthand reporter, is acceptable, provided the notes, tapes, recording disks, etc.,

are given to the Commission's examiner after they have been transcribed. The use of typewriters for making notes is not permitted because the noise of the machines would interfere with the dictation. Recording systems requiring the use of individual microphones for dictators or conference members may not be used since the duties of a shorthand reporter require that notes be made when such microphones are not available.

The transcription must be made on a *typewriter furnished by the competitor.* Any competitor who wishes to use an electric typewriter in the examination should, in advance of the examination date, contact the Secretary of the Board of United States Civil Service Examiners at the place where he has been scheduled to be examined in order to determine whether there are available electric outlets in the examination room.

Ratings Required.—A competitor's rating will be his score made on the dictation test rated on a scale of 100. Competitors who do not have veteran preference must make a rating of at least 70; competitors entitled to 5-point preference, a rating of at least 65, not counting preference credit; and competitors entitled to 10-point preference, a rating of at least 60, not counting preference credit.

Each competitor will be rated for the grades or salary levels which he will accept and for which he is qualified. In no case will an applicant be given a rating in any grade for which the compensation is less than the minimum acceptable salary as stated in his application.

Time and Place of Examination.—The examination will be held at a limited number

of places. Every effort will be made to give it at points as convenient to competitors as facilities will permit; however, it may be necessary for some competitors to travel a considerable distance to be examined. Persons who are aware that they cannot take dictation at the required speed, which is indicated above, should not file applications for competition in this examination. They will thus avoid subjecting themselves to needless expense and loss of time. Applicants who are to be admitted to the examination will receive admission cards stating specifically the time and place of examination.

Experience Requirements

For Grade GS–6: There are no experience requirements for this grade of position.

For Grades GS–7, 8, 9: Competitors for positions at these grades must have had at least the amount of experience shown in the table below. This experience must have been in progressively responsible work as a court reporter or hearing stenographer, or in some other position the principal duty of which was to take verbatim records of proceedings involving difficult and varied vocabulary.

Experience Requirement Table

Grade of Position	*Length of Experience Required*
GS–7	1 year
GS–8	2 years
GS–9	3 years

For grades 7, 8, and 9 at least 6 months of the required experience must have been of a

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STANDARD FORM 57—NOV. 1947
U. S. CIVIL SERVICE COMMISSION

APPLICATION FOR FEDERAL EMPLOYMENT

INSTRUCTIONS: In order to prevent delay in consideration of your application, answer every question on this form clearly and completely. Type-write or print in INK. In applying for a specific United States Civil Service examination, read the examination announcement carefully and follow all directions. If you are applying for a WRITTEN examination, follow the instructions on the admission card regarding disposition of this application. If you are applying for an UNWRITTEN examination, mail this application to the office named in the announcement. Be sure to mail to the same office *any other forms required* by the announcement. Notify the office with which you file this application of any change in your address.

APPLICATION NO

1 NAME OF EXAMINATION OR KIND OF POSITION APPLIED FOR

2. OPTION(S) (*if mentioned in examination announcement*)

3 PLACE OF EMPLOYMENT APPLIED FOR (*City and State*) | 4. DATE OF THIS APPLICATION

ANNOUNCEMENT

5. MR. MRS. MISS (*First name*) (*Middle*) (*Maiden, if any*) (*Last*)

6. (A) STREET AND NUMBER OR R. D. NUMBER

(B) CITY OR POST OFFICE (*including postal zone*) AND STATE

7. LEGAL OR VOTING RESIDENCE (*State*) | 8. (A) OFFICE PHONE | (B) HOME PHONE

9 DATE OF BIRTH (*month, day, year*) | 10. ☐ MARRIED ☐ SINGLE

11. PLACE OF BIRTH (*city and State; if born outside U. S., name city and country*)

12. ☐ MALE ☐ FEMALE | 13. (A) HEIGHT WITHOUT SHOES. ..... FEET ..... INCHES | (B) WEIGHT. ..... POUNDS

14. (A) HAVE YOU EVER BEEN EMPLOYED BY THE FEDERAL GOVERNMENT? ☐ YES ☐ NO
(B) IF SO, GIVE LAST GRADE AND DATE OF LAST CHANGE IN GRADE

DO NOT WRITE IN THIS BLOCK
For Use of Civil Service Commission Only

☐ APPOR. ☐ NON APPOR.	MATERIAL ☐ SUBMITTED ☐ RETURNED	ENTERED REGISTER

NOTATIONS. | APP. REVIEW. APPROVED:

OPTION	GRADE	EARNED RATING	PREFERENCE	AUGM RATING
			☐ 5 POINTS (TENT.)	
			☐ 10 POINTS	
			☐ WIFE OR WIDOW	
			☐ DISAL.	
			☐ BEING INVESTIGATED	
INITIALS AND DATE				

15. (A) WHAT IS THE LOWEST ENTRANCE SALARY YOU WILL ACCEPT? $..... PER YEAR.
You will not be considered for any position with a lower entrance salary.
(B) CHECK IF YOU WILL ACCEPT SHORT-TERM APPOINTMENT IF OFFERED, FOR.
☐ 1 TO 3 MONTHS ☐ 3 TO 6 MONTHS ☐ 6 TO 12 MONTHS
NOTE. *Acceptance or refusal of a temporary short-term appointment will not affect your opportunity to obtain a probational appointment.*
(C) IF YOU ARE WILLING TO TRAVEL, SPECIFY.
☐ OCCASIONALLY ☐ FREQUENTLY ☐ CONSTANTLY

(D) CHECK IF YOU WILL ACCEPT APPOINTMENT, IF OFFERED.
☐ IN WASHINGTON, D. C. ☐ ANYWHERE IN THE UNITED STATES
☐ OUTSIDE THE UNITED STATES
(E) IF YOU WILL ACCEPT APPOINTMENT IN CERTAIN LOCATIONS ONLY, GIVE ACCEPTABLE LOCATIONS.

16. EXPERIENCE. It is important for you to furnish all information requested below in sufficient detail to enable the Civil Service Commission and the appointing officers of agencies to give you full credit in determining your qualifications. Use a separate block for each position. Start with your present position and work back, explaining clearly the principal tasks which you performed in each position, accounting for all periods of unemployment. Experience gained more than 15 years ago which is not pertinent to the work for which you are applying may be summarized in one or more of the blocks. If your duties changed materially while working for the same employer, use a separate block to describe each position. You may include any pertinent religious, civic, welfare, or organizational activity which you have performed, either with or without compensation, showing the number of hours per week and weeks per year in which you were engaged in such activity. Military experience should be described in the spaces below in its proper sequence.

(*a*) If you were ever employed in any position under a name different from that shown in Item 5 of this application, give under "Description of your work" for each position, the name used.

(*b*) If you have never been employed or are now unemployed, indicate that fact in the space provided below for "Present Position."

① PRESENT POSITION

DATES OF EMPLOYMENT (*month, year*) FROM ..... TO PRESENT TIME | EXACT TITLE OF YOUR PRESENT POSITION | CLASSIFICATION GRADE (*if in Federal Service*) | SALARY OR EARNINGS STARTING, $ ..... PER PRESENT, $ ..... PER

PLACE OF EMPLOYMENT (*city and State*) | NAME AND TITLE OF IMMEDIATE SUPERVISOR

NAME AND ADDRESS OF EMPLOYER (*firm, organization, or person; if Federal, name department, bureau or establishment, and division*) | KIND OF BUSINESS OR ORGANIZATION (*e. g., wholesale silk, insurance agency, manufacture of locks, etc.*)

NUMBER AND KIND OF EMPLOYEES SUPERVISED BY YOU | REASON FOR DESIRING TO CHANGE EMPLOYMENT

DESCRIPTION OF YOUR WORK

(CONTINUED ON NEXT PAGE)

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16. CONTINUED

(2) DATES OF EMPLOYMENT (*month, year*) FROM: TO:	EXACT TITLE OF YOUR POSITION	CLASSIFICATION GRADE (*if in Federal service*)	SALARY OR EARNINGS: STARTING $ PER FINAL $ PER
PLACE OF EMPLOYMENT (*city and State*)		NAME AND TITLE OF IMMEDIATE SUPERVISOR	
NAME AND ADDRESS OF EMPLOYER (*firm, organization, or person; if Federal, name department, bureau or establishment, and division*)		KIND OF BUSINESS OR ORGANIZATION (*e. g., wholesale silk, insurance agency, manufacture of locks, etc.*)	
NUMBER AND KIND OF EMPLOYEES SUPERVISED BY YOU		REASON FOR LEAVING	
DESCRIPTION OF YOUR WORK			

(3) DATES OF EMPLOYMENT (*month, year*) FROM TO	EXACT TITLE OF YOUR POSITION	CLASSIFICATION GRADE (*if in Federal service*)	SALARY OR EARNINGS STARTING $ PER FINAL $ PER
PLACE OF EMPLOYMENT (*city and State*)		NAME AND TITLE OF IMMEDIATE SUPERVISOR	
NAME AND ADDRESS OF EMPLOYER (*firm, organization, or person; if Federal, name department, bureau or establishment, and division*)		KIND OF BUSINESS OR ORGANIZATION (*e. g., wholesale silk, insurance agency, manufacture of locks, etc.*)	
NUMBER AND KIND OF EMPLOYEES SUPERVISED BY YOU		REASON FOR LEAVING	
DESCRIPTION OF YOUR WORK			

(4) DATES OF EMPLOYMENT (*month, year*) FROM TO:	EXACT TITLE OF YOUR POSITION	CLASSIFICATION GRADE (*if in Federal service*)	SALARY OR EARNINGS: STARTING $ PER FINAL $ PER
PLACE OF EMPLOYMENT (*city and State*)		NAME AND TITLE OF IMMEDIATE SUPERVISOR	
NAME AND ADDRESS OF EMPLOYER (*firm, organization, or person; if Federal, name department, bureau or establishment, and division*)		KIND OF BUSINESS OR ORGANIZATION (*e. g., wholesale silk, insurance agency, manufacture of locks, etc.*)	
NUMBER AND KIND OF EMPLOYEES SUPERVISED BY YOU		REASON FOR LEAVING	
DESCRIPTION OF YOUR WORK			

⑤ DATES OF EMPLOYMENT (*month, year*) FROM: TO:	EXACT TITLE OF YOUR POSITION	CLASSIFICATION GRADE (*if in Federal service*)	SALARY OR EARNINGS. STARTING $ PER FINAL $ PER
PLACE OF EMPLOYMENT (*city and State*)		NAME AND TITLE OF IMMEDIATE SUPERVISOR	
NAME AND ADDRESS OF EMPLOYER (*firm, organization, or person, if Federal, name department, bureau or establishment, and division*)		KIND OF BUSINESS OR ORGANIZATION (*e. g., wholesale silk, insurance agency, manufacture of locks, etc.*)	
NUMBER AND KIND OF EMPLOYEES SUPERVISED BY YOU		REASON FOR LEAVING	

DESCRIPTION OF YOUR WORK

If more space is required, use a continuation sheet (Standard Form No. 58) or a sheet of paper the same size as this page. Write on each sheet your name, address, date of birth, and examination title. Attach to inside of this application

17. MILITARY TRAINING In the space below, describe any training received in the Armed Services (not already listed under Item 16) that would assist appointing officers in placing you most effectively. Indicate actual amount of training received, such as hours per week. Detailed information regarding any special service schools you attended is especially important. (Extra pages may be used to give full descriptions.)

DATES FROM	DATES TO	LOCATION	DESCRIPTION OF TRAINING

18. EDUCATION (*Circle highest grade completed*)

1 2 3 4 5 6 7 8 9 10 11 12

MARK (X) THE APPROPRIATE BOX TO INDICATE SATISFACTORY COMPLETION OF

☐ ELEMENTARY SCHOOL ☐ JUNIOR HIGH SCHOOL ☐ SENIOR HIGH SCHOOL

(A) GIVE NAME AND LOCATION OF LAST HIGH SCHOOL ATTENDED

(B) SUBJECTS STUDIED IN HIGH SCHOOL WHICH APPLY TO POSITION DESIRED

(C) NAME AND LOCATION OF COLLEGE OR UNIVERSITY	MAJOR AND SPECIALTY	DATES ATTENDED FROM	DATES ATTENDED TO	YEARS COMPLETED DAY	YEARS COMPLETED NIGHT	DEGREES CONFERRED TITLE	DEGREES CONFERRED DATE	SEMESTER HOURS CREDIT

(D) LIST YOUR CHIEF UNDERGRADUATE COLLEGE SUBJECTS	SEMESTER HOURS	LIST YOUR CHIEF GRADUATE COLLEGE SUBJECTS	SEMESTER HOURS

(E) OTHER TRAINING (SUCH AS VOCATIONAL BUSINESS, STUDY COURSES GIVEN THROUGH THE ARMED FORCES INSTITUTE (*show name and location of school*) OR "IN SERVICE TRAINING" IN PUBLIC OR PRIVATE EMPLOYMENT

SUBJECTS STUDIED	DATES ATTENDED FROM	DATES ATTENDED TO	YEARS COMPLETED DAY	YEARS COMPLETED NIGHT

19. INDICATE YOUR KNOWLEDGE OF FOREIGN LANGUAGES

	READING EXC	READING GOOD	READING FAIR	SPEAKING EXC	SPEAKING GOOD	SPEAKING FAIR	UNDERSTANDING EXC	UNDERSTANDING GOOD	UNDERSTANDING FAIR

20. IF YOU HAVE TRAVELED OR RESIDED IN ANY FOREIGN COUNTRIES INDICATE (1) NAMES OF COUNTRIES (2) DATES AND LENGTH OF TIME SPENT THERE, AND (3) REASON OR PURPOSE (*e. g., military service, business, education, recreation*)

21. LIST ANY SPECIAL SKILLS YOU POSSESS AND MACHINES AND EQUIPMENT YOU CAN USE SUCH AS OPERATION OF SHORT-WAVE RADIO MULTILITH COMPTOMETER, KEY-PUNCH, TURRET LATHE, SCIENTIFIC OR PROFESSIONAL DEVICES

APPROXIMATE NUMBER OF WORDS PER MINUTE IN TYPING ..... SHORTHAND .....

22 ARE YOU NOW OR HAVE YOU EVER BEEN A LICENSED OR CERTIFIED MEMBER OF ANY TRADE OR PROFESSION (*such as pilot, electrician, radio operator, teacher, lawyer, CPA, etc*)?

☐ YES ☐ NO GIVE KIND OF LICENSE AND STATE.

FIRST LICENSE OR CERTIFICATE (YEAR)

LATEST LICENSE OR CERTIFICATE (YEAR)

23 GIVE ANY SPECIAL QUALIFICATIONS NOT COVERED ELSEWHERE IN YOUR APPLICATION SUCH AS:
(A) YOUR MORE IMPORTANT PUBLICATIONS (*do not submit copies unless requested*)
(B) YOUR PATENTS OR INVENTIONS
(C) PUBLIC SPEAKING AND PUBLIC RELATIONS EXPERIENCE
(D) MEMBERSHIP IN PROFESSIONAL OR SCIENTIFIC SOCIETIES, ETC.
(E) HONORS AND FELLOWSHIPS RECEIVED.

16—53216-1

24. REFERENCES List three persons living in the United States or Territories of the United States who are NOT related to you and who have definite knowledge of your qualifications and fitness for the position for which you are applying. Do not repeat names of supervisors listed under Item 16 (EXPERIENCE).

FULL NAME	PRESENT BUSINESS OR HOME ADDRESS (*Give complete current address, including street and number*)	BUSINESS OR OCCUPATION
1.		
2.		
3.		

INDICATE "YES" OR "NO" ANSWER BY PLACING "X" IN PROPER COLUMN	YES	NO
25 MAY INQUIRY BE MADE OF YOUR PRESENT EMPLOYER REGARDING YOUR CHARACTER QUALIFICATIONS, ETC.?		
26 ARE YOU A CITIZEN OF OR DO YOU OWE ALLEGIANCE TO THE UNITED STATES?		
27 ARE YOU NOW OR HAVE YOU EVER BEEN A MEMBER OF THE COMMUNIST PARTY U S A OR ANY COMMUNIST ORGANIZATION?		
28 ARE YOU NOW, OR HAVE YOU EVER BEEN, A MEMBER OF A FASCIST ORGANIZATION?		
29 ARE YOU NOW OR HAVE YOU EVER BEEN A MEMBER OF ANY ORGANIZATION ASSOCIATION MOVEMENT GROUP OR COMBINATION OF PERSONS WHICH ADVOCATES THE OVERTHROW OF OUR CONSTITUTIONAL FORM OF GOVERNMENT OR OF AN ORGANIZATION, ASSOCIATION MOVEMENT GROUP OR COMBINATION OF PERSONS WHICH HAS ADOPTED A POLICY OF ADVOCATING OR APPROVING THE COMMISSION OF ACTS OF FORCE OR VIOLENCE TO DENY OTHER PERSONS THEIR RIGHTS UNDER THE CONSTITUTION OF THE UNITED STATES OR OF SEEKING TO ALTER THE FORM OF GOVERNMENT OF THE UNITED STATES BY UNCONSTITUTIONAL MEANS?		
If your answer to question 27, 28, or 29 above is "yes," state in Item 39 the names of all such organizations, associations, movements, groups, or combination of persons and dates of membership Give complete details of your activities therein and make any explanation you desire regarding your membership or activities therein		
30 SINCE YOUR 16TH BIRTHDAY HAVE YOU EVER BEEN ARRESTED INDICTED OR SUMMONED INTO COURT AS A DEFENDANT IN A CRIMINAL PROCEEDING, OR CONVICTED FINED OR IMPRISONED OR PLACED ON PROBATION OR HAVE YOU EVER BEEN ORDERED TO DEPOSIT BAIL OR COLLATERAL FOR THE VIOLATION OF ANY LAW POLICE REGULATION OR ORDINANCE (EXCLUDING MINOR TRAFFIC VIOLATIONS FOR WHICH A FINE OR FORFEITURE OF $25 OR LESS WAS IMPOSED)? *If your answer is "Yes," list all such cases under Item 39 below Give in each case (1) the date, (2) the nature of the offense or violation, (3) the name and location of the court, (4) the penalty imposed, if any, or other disposition of the case If appointed, your fingerprints will be taken*		
31 HAVE YOU EVER BEEN DISCHARGED OR FORCED TO RESIGN, FOR MISCONDUCT OR UNSATISFACTORY SERVICE FROM ANY POSITION? *If your answer is "Yes," give in Item 39 the name and address of employer, date, and reason in each case*		
32 HAVE YOU EVER BEEN BARRED BY THE U S CIVIL SERVICE COMMISSION FROM TAKING EXAMINATIONS OR ACCEPTING CIVIL SERVICE APPOINTMENTS? *If your answer is "Yes," give dates of and reasons for such debarment in Item 39*		
33. HAVE YOU ANY PHYSICAL HANDICAP, DISEASE OR OTHER DISABILITY WHICH SHOULD BE CONSIDERED IN ASSIGNING YOU TO WORK? *If your answer is "Yes," give complete details in Item 39 so that consideration can be given to your physical fitness for the job*		
34 DO YOU RECEIVE AN ANNUITY FROM THE UNITED STATES OR DISTRICT OF COLUMBIA GOVERNMENT UNDER ANY RETIREMENT ACT OR ANY PENSION OR OTHER COMPENSATION FOR MILITARY OR NAVAL SERVICE? *If your answer is "Yes," give complete details in Item 39*		

INDICATE "YES" OR "NO" ANSWER BY PLACING "X" IN PROPER COLUMN	YES	NO
35 ARE YOU AN OFFICIAL OR EMPLOYEE OF ANY STATE TERRITORY COUNTY, OR MUNICIPALITY? *If your answer is "Yes," give details in Item 39*		
36 DOES THE UNITED STATES GOVERNMENT EMPLOY IN A CIVILIAN CAPACITY ANY RELATIVE OF YOURS (BY BLOOD OR MARRIAGE) WITH WHOM YOU LIVE OR HAVE LIVED WITHIN THE PAST 24 MONTHS? *If your answer is "Yes," show in Item 39 for EACH such relative (1) full name, (2) present address; (3) relationship; (4) Department or Agency by which employed, and (5) kind of appointment*		

SPECIAL INSTRUCTIONS FOR CLAIMING VETERAN PREFERENCE

A. If you are claiming preference as a PEACETIME VETERAN who has been awarded a campaign badge or service ribbon, or as a DISABLED VETERAN, or as the WIFE OF A DISABLED VETERAN, or as the WIDOW OF A WAR OR CAMPAIGN VETERAN, attach Veteran Preference Claim, CSC Form 14, together with proof specified therein

B If you are a WAR-TIME VETERAN not claiming disability preference, you should NOT submit your discharge with this application. Preference will be tentatively credited to you and if appointed, you will be required to submit to the appointing officer prior to entry on duty, official evidence of separation from active service in the armed forces of the United States in time of war

	YES	NO
37 (A) WERE YOU EVER IN THE UNITED STATES MILITARY OR NAVAL SERVICE DURING TIME OF WAR?		
(B) IS THE WORD "HONORABLE" OR THE WORD "SATISFACTORY" USED IN YOUR DISCHARGE OR SEPARATION PAPERS TO SHOW THE TYPE OF YOUR DISCHARGE OR SEPARATION?		
(C) WAS SERVICE PERFORMED ON AN ACTIVE FULL TIME BASIS WITH FULL MILITARY PAY AND ALLOWANCES?		

(D)

DATE OF ENTRY OR ENTRIES INTO SERVICE	DATE OF SEPARATION OR SEPARATIONS
BRANCH OF SERVICE (*Army, Navy, Marine Corps, Coast Guard, etc*)	SERIAL NO (*if none, give grade or rating at time of separation*)

	YES	NO
38 (A) IF YOU SERVED IN THE UNITED STATES MILITARY OR NAVAL SERVICE DURING PEACETIME ONLY DID YOU PARTICIPATE IN A CAMPAIGN OR EXPEDITION AND RECEIVE A CAMPAIGN BADGE OR SERVICE RIBBON?		
(B) ARE YOU A DISABLED VETERAN? *If so, and you have not listed your disability in answer to Item 33, explain in Item 39 below*		
(C) ARE YOU A VETERAN'S WIDOW WHO HAS NOT REMARRIED?		
(D) ARE YOU THE WIFE OF A VETERAN WHO HAS A SERVICE-CONNECTED DISABILITY WHICH DISQUALIFIES HIM FOR CIVIL SERVICE APPOINTMENT?		

THIS SPACE FOR USE OF APPOINTING OFFICER ONLY

The information contained in the answers to Question 37 above has been verified by comparison with the discharge certificate on ....., 19.....

.....
Agency: Title

39 SPACE FOR DETAILED ANSWERS TO OTHER QUESTIONS (*indicate item numbers to which answers apply*)

ITEM NO		ITEM NO	

If more space is required, use paper the same size as this page. Write on each sheet your name, address, date of birth, and examination title. Attach to inside of this application.

Before signing this application check back over it to make sure that you have answered ALL questions correctly.

I CERTIFY that the statements made by me in this application are true, complete, and correct to the best of my knowledge and belief, and are made in good faith.

False statement on this application is punishable by Law (U. S. Code, Title 18, Section 80).

SIGNATURE OF APPLICANT .....

(Sign your name in INK (one given name, initial or initials, and surname). If female, prefix Miss or Mrs. and if married use your own given name as "Mrs. Mary L. Doe")

U. S. GOVERNMENT PRINTING OFFICE 16—63940-1

CITY OF SAINT LOUIS, MISSOURI
DEPARTMENT OF PERSONNEL

APPLICATION FOR EXAMINATION

Form P D 60

Read the examination announcement and be sure that you have complied with all the requirements.

Fill out this application on the typewriter or in ink. Complete items 1 through 23.

This application constitutes a part of the examination If the application is incomplete it will be conditioned until completed, and the delay may affect your standing on the eligible list.

All statements are subject to investigation and verification.

Accepted applications are subject to later rejection if they do not show the qualifications called for by the examination announcement If the application is later rejected, notice to that effect will be sent.

This application must be accompanied by P. D. 60 a, b, c, cards properly filled out with stamp attached.

1. Title of Examination as on Announcement (Print) .....

2. Name in Full..... (Print—(State whether Mr., Mrs. or Miss)) First Middle Last

3. Address ..... Number Street City Zone

4. Height .....ft. ... in. Weight ..... lbs Res. Phone..... Bus. Phone .....

5. Date of Birth ..... (Mo., Day, Yr.) Age at Present..... years and ..... months old.

6. Marital Status: Single ☐ Married ☐ Widowed ☐ Separated ☐ Divorced ☐ 7 Sex: Male ☐ Female ☐ (check one) (check one)

8. Where were you born? ..... City State or Country

9. Are you a citizen of the United States? ..... Yes or No

(If not a native born citizen, you must be able to present your naturalization papers.)

10. How long have you continuously lived in the City of St. Louis immediately prior to filing this application? ..... Years Months

11. Have you any objection to the Department of Personnel making inquiry of your present employer regarding your character, qualifications, etc? ..... Yes No

12. Have you ever been discharged or forced to resign? ..... Yes No.

If so, give name and address of employers, date of your discharge or forced resignation, and the reason therefor on a separate sheet and attach hereto.

13. Have you ever been affected with any ailment or are you physically handicapped in any way? ..... Yes No

(If "yes", give name of ailment below and state details on an attached sheet)

14. Have you ever been fingerprinted by any police authority or arrested, indicted, convicted, fined, imprisoned, or placed on probation, or have you ever been ordered to deposit collateral for alleged breach or violation of any law, police regulations or ordinance except minor traffic violations? ..... Yes No

If so, answer a, b, c, d, e, and f of question number 14. Failure to answer this question correctly will cause you to be barred from the examination List all the rest without any exception, giving in each case the following information:

(a) the date (1st) ..... (2nd) ..... (3rd) .....

(b) your age at the time (1st) ..... (2nd) ..... (3rd) .....

(c) the place (1st) ..... 2nd) ..... (3rd) .....

(d) the location of the Court (1st) ..... 2nd) ..... (3rd) .....

(e) the nature of the offense (1st) ..... 2nd) ..... (3rd) .....

(f) the penalty, or other disposition (1st) ..... 2nd) ..... (3rd) .....

15. Have you at any time advised, advocated or taught or been a member of or affiliated with any group, society, association, or organization which advises, advocates or teaches the overthrow by force or violence of the Government of the United States of America? ..... Yes No

16. Are you a veteran of World War II? Yes ..... No ..... If answer is yes, complete the following:
Branch of Service (check) Army ..... Coast Guard .....
Marine Corps ..... Navy .....
Dates of Service: Entered ..... Discharged .....

17. Have you ever been employed by City of St. Louis? Yes..... No.....

18. Have you at any time taken an examination given by the Dept. of Personnel for a position in the St. Louis City Service?
Yes No

19 If the bulletin requires the applicant to possess any license or certificate, what is the name of the Licensing Board and the name and number of the license or certificate issued?

..... (License or Certificate) ..... (Number)

..... (Licensing Board)

20. CERTIFICATE OF APPLICANT: (Read carefully before signing.) I certify that all answers and statements herein contained are true to the best of my knowledge and belief. I understand that any misstatement of material facts will subject me to disqualification or dismissal.

Signature ..... (Sign in Full)

21. Name of Applicant—(Print) Last First Middle

Do not fill in the following:

Date Accepted ..... Date Rejected ..... Conditioned for .....

22. EDUCATION.

Circle last grade of school completed	Name and location of school	Date of Leaving	Did you graduate?
1 2 3 4 5 6 7 8 9 10 11 12			

Names of Colleges or Universities Attended	Dates of Attendance	Semester Hours	Degree and Year	Major Subjects and Hours

Business, Correspondence or other Courses Taken	City in which Located	Date of Attendance	Full or Part Time	Certificates Received	Subjects Taken

Additional training, scholastic honors, membership in professional societies, etc.

23. EXPERIENCE. List below a complete statement of your work, history, listing your most recent employment first. Be complete, as your experience rating will be based on this information.

1.-Dates of employment 2. Length of employment 3. Monthly salary	1. Present name and address of firm 2. Name of supervisor	1. Position held 2. State specifically what work you did 3. Number directly supervised, if any	Reason for Leaving
1. From ... Mo. ... Year To ... Mo. ... Year 2. ... yrs. ... mo. 3. $ ... to $ ...	Present 1. ... 2. ...	1. ... 2. ... 3. ...	
1. From ... Mo. ... Year To ... Mo. ... Year 2. ... yrs. ... mo. 3. $ ... to $ ...	1. ... 2. ...	1. ... 2. ... 3. ...	
1. From ... Mo. ... Year To ... Mo. ... Year 2. ... yrs. ... mo 3. $ ... to $ ...	1. ... 2. ...	1. ... 2. ... 3. ...	
1. From ... Mo. ... Year To ... Mo. ... Year 2. ... yrs. ... mo 3. $ ... to $	1. ... 2. ...	1. ... 2. ... 3. ...	
1. From ... Mo. ... Year To ... Mo. ... Year 2. ... yrs. ... mo 3. $ ... to $ ...	1. ... 2. ...	1. ... 2. ... 3. ...	
1. From ... Mo. ... Year To ... Mo. ... Year 2. ... yrs. ... mo. 3. $ ... to $ ...	1. ... 2. ...	1. ... 2. ... 3. ...	

If more space is needed, fill out a blank sheet and attach. Return Applications to: Department of Personnel, room 235 Municipal Courts Bldg, Saint Louis (3), Missouri

PHS-1254-1(OP)1

FEDERAL SECURITY AGENCY
Public Health Service
Washington 25, D. C.

BUDGET BUREAU NO. 68-R410
APPROVAL EXPIRES 6/1/51

Confidential Statement regarding applicant for appointment as Administrative Trainee in a Training Course in Public Health Service Administration

Name of Applicant:

Please answer the questions by underlining the adjective you think most appropriate. In selecting the adjective to underline, please compare the applicant to a representative group of individuals of a similar professional level. In such a group, the distribution would be about as follows: outstanding, 7%; good, 24%; fair, 38%; mediocre, 24%; and poor, 7%.

1. Do you consider the administrative background and training of this applicant to be outstanding, good, fair, mediocre, poor?
COMMENT:

2. Do you consider the administrative ability and competence of this applicant to be outstanding, good, fair, mediocre, poor?
COMMENT:

3 From your knowledge of the applicant do you consider to be qualified for an administrative career?
COMMENT:

4. Is the applicant's ability to work with and get along with other people outstanding, good, fair, mediocre, poor?
COMMENT:

5. Is the applicant's industry and conscientiousness outstanding, good, fair, mediocre, poor?
COMMENT:

6. Do you feel that this applicant has any defects or handicaps (personality, emotional, physical, etc.) which in your judgment might limit effectiveness in work as an administrator?
COMMENT:

7. Assuming that you had an opening for a person of this applicant's experience and qualifications, would you be willing to employ this applicant: YES. NO. (Please underline one)

If yes, in what capacity?

If no, please give reasons.

8. How long have you known the applicant?

9. What is or has been the applicant's professional relationship to you?

_____

Signature

This information is confidential and for use only in the Office of the Surgeon General.

EMPLOYEE EFFICIENCY REPORT, STATE OF LOUISIANA

_____ (Name of Agency)	NAME OF EMPLOYEE
	CLASS OF POSITION AGENCY
EMPLOYEE EFFICIENCY REPORT	RATING PERIOD From To

PART I

LIST THE INDIVIDUAL DUTIES PERFORMED BY EMPLOYEE IN INDICATED COLUMN. ASSIGN PERCENTAGE WEIGHTS IN THOSE DUTIES IN SECOND COLUMN. RATE EFFICIENCY OF EMPLOYEE'S WORK ON BASIS OF THE STANDARD. SHOW EARNED RATING IN LAST COLUMN. (RATING TIMES PERCENTAGE WEIGHT)

INDIVIDUAL DUTIES	PERCENT WEIGHT	RATING SCALE UNS (0)	FAIR (5)	S (10)	VG (15)	EX (20)	EARNED RATING
1.							
2.							
3.							
4.							
5.							
6.							
7.							
8.							
9.							
10.							

THIS EMPLOYEE'S RATING FOR PART I IS _____ NUMERICAL RATING

PART II

RATE EMPLOYEE ON ALL CHARACTERISTICS AS IN PART I SHOW EARNED RATING

	PERCENT WEIGHT	RATING SCALE UNS (0)	FAIR (5)	S (10)	VG (15)	EX (20)	EARNED RATING
1. ADAPTABILITY	20						
2. COOPERATIVENESS	20						
3. DEPENDABILITY	20						
4. INITIATIVE	20						
5. TACT	20						

THIS EMPLOYEE'S EFFICIENCY RATING FOR PART II IS _____ NUMERICAL RATING

THIS EMPLOYEE'S FINAL EFFICIENCY RATING FOR THIS PERIOD IS _____ NUMERICAL RATING

_____ Signature of Employee

_____ Signature of Rater

_____ Signature of Reviewing Rater

NUMERICAL EQUIVALENTS. Numerical equivalents are assigned to the adjectives in the rating scale. These numerical equivalents are to be used as an administrative tool in reaching the final rating. They are: Unsatisfactory, 0; Fair, 5; Satisfactory, 10; Very Good, 15 and Excellent, 20.

EARNED RATING. The earned rating for each duty is obtained by multiplication of the numerical equivalent for the adjective in the rating scale by the percentage weight assigned, expressed in decimal form.

FINAL RATING FOR PART I. A total of all the earned ratings given on Part I will indicate the numerical rating for that section. This numerical rating is to be converted to an adjectival rating by means of the conversion table that appears below.

FINAL RATING. The sum of the earned ratings given on each of the five characteristics will indicate the final rating on Part II. This numerical rating is to be converted to an adjective by means of the conversion table.

FINAL COMBINED RATING. Part I has a value of 70% of the final rating. Part II has a value of 30% of the final rating. To determine the final rating multiply .70 times the numerical rating on Part I. . . .multiply .30 times the numerical rating on Part II . . . . add the two sums together. This is the final numerical rating and is to be converted to a numerical rating by means of the conversion table.

CONVERSION TABLE

For Conversion of Numerical Ratings to Adjectival Ratings

Numerical Ratings	from	18.00	through	20.00	will	be	shown	as	EXCELLENT
"	"	14.00	"	17.99	"	"	"	"	VERY GOOD
"	"	09.00	"	13.99	"	"	"	"	SATISFACTORY
"	"	05.00	"	08.99	"	"	"	"	FAIR
"	"	0.00	"	04.99	"	"	"	"	UNSATISFACTORY

CITY OF KANSAS CITY, MISSOURI
PERSONNEL DEPARTMENT
EMPLOYEE SERVICE RATING RECORD
FORM I

NAME OF EMPLOYEE _____ RATING PERIOD FROM _____ TO _____

CLASSIFICATION _____ TOTAL SCORE _____ GRADE _____

DEPARTMENT

DIVISION

	0 60	 70	 80	 90	 100
1. ATTENDANCE	CAN'T BE DEPENDED ON; OFF WORK TOO MUCH	OFF WORK FOR MINOR EXCUSES	ABSENT FREQUENTLY	ABSENT ONLY OCCASIONALLY	SELDOM ABSENT
2. PROMPTNESS IN REPORTING FOR WORK AND CONSCIENTIOUSNESS IN USE OF WORKING TIME	TARDY NEARLY EVERY DAY; DOES NOT SETTLE DOWN TO WORK PROMPTLY; WASTES TIME: QUITS AHEAD OF TIME	OFTEN TARDY; OFTEN SLOW IN GETTING STARTED IN THE MORNING; "CLOCK WATCHER"	TARDY FAIRLY OFTEN; WASTES CONSIDERABLE TIME, SLOW IN BEGINNING WORK IN THE MORNING	USUALLY ON TIME; USUALLY GOES TO WORK PROMPTLY AND STAYS AT IT; VERY CONSCIENTIOUS IN USE OF WORKING TIME	RARELY IF EVER LATE. ALWAYS BEGINS WORK PROMPTLY; STAYS ON THE JOB ALL DAY; IS NOT A "CLOCK WATCHER"
3. APPEARANCE APPROPRIATE TO JOB	UNSATISFACTORY	OFTEN NEGLECTFUL OF PERSONAL APPEARANCE	SOMETIMES FAILS TO DRESS APPROPRIATELY	PRESENTS FAVORABLE APPEARANCE HABITUALLY	ALWAYS EXCEPTIONALLY NEAT, CLEAN AND APPROPRIATELY DRESSED
4. ALERTNESS: ABILITY TO UNDERSTAND DIRECTIONS	CARRIES OUT ONLY SIMPLE DIRECTIONS; NEEDS CONSTANT SUPERVISION	DOES NOT ALWAYS GET THE POINT; OFTEN MISUNDERSTANDS OR BUNGLES ORDERS	ALERT ENOUGH FOR PRESENT POSITION; AS A RULE ABLE TO FOLLOW SIMPLE INSTRUCTIONS	THINKS QUICKLY AND CLEARLY; CARRIES OUT ORDERS WITH LITTLE SUPERVISION	EXCEPTIONALLY KEEN AND QUICK; REQUIRES ADDITIONAL INFORMATION ON ONLY THE MOST COMPLEX ORDERS
5. KNOWLEDGE AND TRAINING FOR THE JOB	EXHIBITS POOR TRAINING FOR THE JOB	EXHIBITS LIMITED TRAINING AND EXPERIENCE FOR THIS TYPE OF WORK	FAIR TRAINING FOR THE JOB, OR HAS ACQUIRED FAIR KNOWLEDGE THROUGH EXPERIENCE AND STUDY	HAS GOOD TRAINING AND EXPERIENCE FOR ALL ELEMENTS OF THE JOB; KNOWS THE JOB WELL	EXHIBITS EXCELLENT KNOWLEDGE AND SUPERIOR TRAINING FOR ALL ELEMENTS OF THE JOB
6. QUALITY OF WORK	CARELESS; MANY ERRORS, WORK SLIPSHOD	WORK OFTEN INACCURATE, WORK LACKS COMPLETENESS	WORK FAIRLY THOROUGH AND COMPLETE	USUALLY WORK IS ACCURATE, NEAT, THOROUGH AND COMPLETE	WORK EXCEPTIONALLY ACCURATE, NEAT, THOROUGH AND COMPLETE IN ALL DETAILS
7. VOLUME OF WORK	INSUFFICIENT PRODUCTION	LIMITED OUTPUT OF WORK; DOESN'T DO FAIR SHARE OF WORK	FAIR OUTPUT OF WORK	RAPID WORKER; HIGH OUTPUT OF WORK	TURNS OUT UNUSUALLY LARGE VOLUME OF WORK
8. WORK ATTITUDE	DEFINITELY NOT INTERESTED IN THE WORK	INDIFFERENT	PASSIVE INTEREST IN THE WORK; LIKES SOME PHASES OF THE WORK	DEFINITE INTEREST IN THE WORK	ENTHUSIASTIC, WHOLEHEARTED INTEREST IN HIS WORK; STAYS OVERTIME

1410-061 (1 of 2)

	0 60	 70	 80	 90	 100
9. INITIATIVE AND RESOURCEFULNESS	HAS LITTLE INITIATIVE, LACKS RESOURCEFULNESS	INITIATIVE WEAK; A SLOW STARTER; LITTLE RESOURCEFULNESS	SOME INITIATIVE; OCCASIONALLY ADDS A NEW METHOD OR IDEA; HAS FAIR DEGREE OF RESOURCEFULNESS	DEFINITELY PROGRESSIVE; APPLIES CREATIVE INTELLIGENCE TO WORK; HAS RESOURCEFULNESS TO MARKED DEGREE, GENERALLY FINDS SOLUTION IN EMERGENCIES	HIGHLY DEVELOPED INITIATIVE; DYNAMIC SELF STARTER; APPLIES CREATIVE INTELLIGENCE TO HIGH DEGREE; HIGHLY DEVELOPED RESOURCEFULNESS; ALWAYS FINDS SOLUTION IN DIFFICULT SITUATIONS
10. EMOTIONAL STABILITY ABILITY TO GET ALONG WITH FELLOW WORKERS AND THE PUBLIC	TEMPERAMENTAL; UNREASONABLE; ANTAGONIZES; TOO BLUNT OR OUTSPOKEN	TEMPERAMENT OFTEN A HANDICAP; DIFFICULT TO GET ALONG WITH, GETS UPSET EASILY	FAIR ADJUSTMENT TO ENVIRONMENT USUALLY CONSIDERATE, NORMAL SELF-RESTRAINT	ABOVE AVERAGE STABILITY; GOOD SELF CONTROL; REASONABLE, CONSIDERATE, GETS ALONG WITH FELLOW WORKERS	EXCEPTIONAL EMOTIONAL STABILITY OUTSTANDING RELATIONS WITH FELLOW EMPLOYEES
11. JUDGMENT	LACKING IN MOST CASES	JUDGMENT OFTEN POOR; TENDS TO IMPULSIVENESS	AS A RULE USES GOOD JUDGMENT AND ACTS PROMPTLY	SHOWS GOOD JUDGMENT	EXCEPTIONALLY SOUND JUDGMENT
12. CAPACITY TO DEVELOP AND SELF-IMPROVEMENT	GIVES EVIDENCE OF LITTLE CAPACITY, LITTLE OR NO EFFORT TO IMPROVE	FUTURE DEVELOPMENT VERY DOUBTFUL; MAKES LIMITED EFFORT TO IMPROVE	MODERATE DEVELOPMENT PREDICTABLE; REASONABLY ALERT FOR IMPROVEMENT	HAS POSSIBILITIES FOR GOOD FUTURE; ALERT FOR MEANS OF IMPROVEMENT	SHOWS EXCELLENT POSSIBILITIES FOR DEVELOPMENT; AGGRESSIVELY SEEKS MEANS OF SELF-IMPROVEMENT
13. DEPENDABILITY	UNDEPENDABLE	NOT ALWAYS DEPENDABLE	AS A RULE DEPENDABLE	NEARLY ALWAYS CAN BE RELIED ON	VERY DEPENDABLE

HOW TO MARK THE SERVICE RATING: AFTER EACH OF THE ABOVE TRAITS THERE IS A LINE DRAWN WITH DESCRIPTIVE PHRASES PLACED ALONG IT AND ABOVE THE LINE A NUMERICAL RATING. EACH OF THE PHRASES DESCRIBES THE AMOUNT OR DEGREE OF THAT TRAIT REPRESENTED BY THE PORTION OF THE LINE ABOVE THE PHRASE. PLACE A CHECK MARK AT THE PLACE ON THE LINE WHICH YOU BELIEVE SHOWS THE DEGREE TO WHICH THE PERSON BEING RATED HAS THE PARTICULAR TRAIT

GENERAL REPORT

(PLEASE CHECK THE STATEMENT THAT BEST DESCRIBES THIS EMPLOYEE IN RELATION TO OTHER EMPLOYEES IN THE CITY SERVICE. DO NOT ANSWER THIS QUESTION UNTIL YOU HAVE COMPLETED THE ABOVE.)

1. AN EXCEPTIONAL EMPLOYEE; ONE OF THE BEST IN HIS LINE OF WORK IN THE OPINION OF THE COMMITTEE_____
2. STANDS OUT AS A CLEARLY SUPERIOR EMPLOYEE ABOVE THE AVERAGE_____
3. A SATISFACTORY EMPLOYEE_____
4. QUITE FREQUENTLY FAILS TO PERFORM IN A SATISFACTORY MANNER_____
5. DEFINITELY UNSUITED TO THIS ORGANIZATION, OR AT LEAST TO THE WORK HE IS DOING_____

SIGNATURE AND TITLE OF COMMITTEE CHAIRMAN_____

SIGNATURE OF DEPARTMENT HEAD_____

SIGNATURE OF EMPLOYEE_____

DATE_____

REVISED 2-6-48

1610-061 (1 of 2)

NAVY BENEFICIAL SUGGESTIONS

ARE

IDEAS TO BUILD A BETTER NAVY IN LESS TIME

AND AT LESS COST TO THE TAXPAYER

NAVEXOS-3276 (5-51)

INSTRUCTIONS TO SUGGESTER: *(See additional information on back of this sheet)*

1. *Complete all information requested.*
2. *Describe your suggestion completely - tell what it will do - where it can be used - how it can be installed.*
3. *Use additional sheets of paper and include drawings or pictures as necessary.*
4. *Place suggestion in the suggestion box or mail it to the suggestion committee.*

TITLE OR SUBJECT OF SUGGESTION	DATE SUBMITTED

I SUGGEST:

THIS SUGGESTION WILL APPLY IN *(Give shop, office or other location)*

I BELIEVE THIS SUGGESTION WILL

☐ SAVE TIME ☐ SAVE MATERIAL ☐ SAVE SPACE ☐ IMPROVE METHODS ☐ IMPROVE SAFETY ☐ SIMPLIFY WORK

OR *(Give other reasons, if any)*

SUGGESTION NO.

I HEREBY AGREE THAT THE USE OF THIS SUGGESTION BY THE UNITED STATES SHALL NOT FORM THE BASIS OF A FURTHER CLAIM OF ANY NATURE UPON THE UNITED STATES BY ME, MY HEIRS, OR ASSIGNS.

SIGNATURE OF SUGGESTER — DATE

SUGGESTION NO.

(DO NOT MARK)

CHECK OR BADGE NO	GRADE OR RATING	SHOP OFFICE OR DEPT.	PHONE NO.

NAME OF SUPERVISOR	PHONE NO.

DO YOU WISH TO HAVE YOUR SUGGESTION IDENTIFIED BY NUMBER ONLY DURING ITS PROCESSING? ☐ YES ☐ NO

(Over)

SUGGESTION ACKNOWLEDGEMENT

DATE _____

TITLE OR SUBJECT OF SUGGESTION _____

THANK YOU FOR YOUR SUGGESTION. IT HAS BEEN ASSIGNED NO. _____ IT WILL BE GIVEN CAREFUL CONSIDERATION AND THE RESULTS OF ITS INVESTIGATION WILL BE REPORTED TO YOU. YOUR INTEREST IN PRESENTING AN IDEA TO BUILD A BETTER NAVY IS APPRECIATED.

_____

EXECUTIVE SECRETARY

TO:

NOTE

Please print your name and address in the space provided at left - keeping within the printed corner marks.

(Continued)

HOW TO SUBMIT A BENEFICIAL SUGGESTION

As a member of the Navy Family you have a voice in its operation -- an opportunity to earn recognition as a constructive thinker and to receive cash awards for useful suggestions. The suggestion form on the back of this sheet is provided to help you tell a complete story about your suggestion. Here are a few additional hints and some of the rules you should know:

1. A suggestion proposes an improvement in our operations by locating a problem and recommending a solution. It may change the way things are done and propose a new method or a new application of an old idea. Merely pointing out a difficulty or shortcoming without providing an answer is not a suggestion. Neither is a proposal in routine maintenance or everyday functions, such as, repairing linoleum, keeping aisles clear, cleaning lights, ordering supplies, etc., unless it proposes a change in the operations or the physical facilities.

2. Suggestions that will change operations in any of the areas shown below are particularly welcome and will receive careful investigation into their local application and Navy-wide usefulness

IMPROVING	COMBINING	ELIMINATING	DEVISING	SAVING
SERVICE TO FLEET	OPERATIONS	UNNECESSARY WORK	NEW TOOLS	MANPOWER
QUALITY OF PRODUCT	PROCEDURES	DUPLICATION	NEW EQUIPMENT	MONEY
METHODS	MATERIALS	OPERATIONS	NEW MACHINES	MATERIAL
PROCEDURES	METHODS	BREAKAGE	NEW METHODS	TIME
TOOLS & MACHINES	RECORDS	WASTE	NEW PROCESSES	SPACE
EQUIPMENT	REPORTS	FIRE, HEALTH & ACCIDENT HAZARDS	NEW APPLICATIONS OF OLD IDEAS	
PROTECTION OF PROPERTY				
SAFETY				
WORKING CONDITIONS				
EMPLOYEE MORALE				
				

3. If you need help in preparing your suggestion, see your supervisor or a member of the suggestion committee.
4. To receive award consideration your suggestion must be submitted in writing -- preferably before adoption or within six months after adoption.
5. Explain your suggestion clearly and completely. Be sure to sign and date it and also indicate whether or not you desire to have it identified by "number only" during its processing.

Your suggestion will receive three award considerations. First, for its local application--if adopted, you will receive an initial award. Second, for its wider application in Navy--an additional award will be granted for Bureau or Navy-wide adoption. Third, for its application elsewhere in the Department of Defense, for which you may receive another additional award.

—THE COMBINED THINKING OF ALL NAVY EMPLOYEES WILL KEEP NAVY STRONG —

SUBMIT YOUR BENEFICIAL SUGGESTION - TODAY!



MUNICIPAL CREDIT UNION

Loan Service at Lowest Rates



To employees of New York City; the City's five Counties; the Board of Education; the Board of Higher Education; the Board of Transportation; the Tri-Boro Bridge, New York City Tunnel and New York City Parkway Authorities and employees of the State of New York employed in the City of New York. Convenient and confidential loans are available at Room 372— Municipal Building, New York City or at Room 207—Bronx County Court House, Bronx, New York.



UP, UP, AND AWAY!



Wake up, make your dreams come true
There is a place on that ship for you!
Just pick out where you want to go
A Municipal Credit Union loan will make it so
No waiting, you get it right away
From $50 to $3,500 with a long time to pay
Everyone needs a change and a rest
Take a real vacation, be at your best
All work no play you're dull as can be
Pep up! travel by air land or sea
Our rates are the lowest, we'll have you know
Look at the chart you'll find here below—





Costs and Monthly Repayment

Schedules of Typical Credits
Total Cost Including Life Insurance

Amount of Loan	For One Year	Monthly Payments
$ 60	$ 1 92	$ 5 16
100	3 84	10 12
300	9 36	25 78
600	18 84	51 57
1000	31 28	85 94

Borrower receives the full amount borrowed, no deductions, no fees, no fines and no discounts. Loans of $300 or less may be had same day of application.
Sums up to $1,500.00 may be borrowed for any useful purpose at the same low rate as set forth above, and may be repaid in 50 months.

Costs and Monthly Repayment of Mortgage Loans
up to $5,000 Including Life Insurance

Amount of Loan	Monthly Payment for Five Years	Monthly Payment for Ten Years	Monthly Payment for Fifteen Years
$3000	$57 60	$32 81	$24 71
3500	67 21	38 12	28 81
4000	76 80	43 79	32 95
5000	96 00	54 74	41 18

To the above must be added Real Estate Taxes and Water Rent.
At the end of the respective periods the mortgage will have been paid in full. In the event of death the loan and mortgage are satisfied by our insurance company.



EMPLOYEE'S NOTICE OF INJURY OR OCCUPATIONAL DISEASE

Federal Employees' Compensation Act of September 7, 1916, as amended

This notice should be submitted to the immediate superior by an injured civil employee of the Federal Government, or by someone on his behalf, within 48 hours after the injury. Notice may be given either personally or by mail. It should be retained by the official superior unless the injury causes disability for work beyond the day or shift when injury occurred, or results in any charge against the Bureau for medical expense, when it should be forwarded to the U. S. DEPARTMENT OF LABOR, Bureau of Employees' Compensation, together with the official superior's report of injury, Form C. A. 2. Before compensation is paid, written claim on Form C. A. 4 must be submitted to the Bureau.

Date of this notice _____, 19____

1. I hereby certify that I am employed as a _____
(Occupation)

at the _____
(Place of employment)

and on _____, _____, 19____, at _____ m.
(Day of week) (Date) (Hour, a. m. or p. m.)

I was injured in the performance of my duties at _____
(Location where injury occurred)

_____

2. Cause of injury _____
(Describe as best you can how and why injury occurred)

_____

_____

_____

_____

_____

3. Nature of injury _____
(Name part of body affected—fractured left leg, bruised right thumb, etc.)

_____

4. Names of witnesses to injury _____

_____

_____

5. If this notice was not given within 48 hours after the injury, explain reason for delay and state name of person to whom notice was first given, and when _____

_____

_____

This injury was not caused by my willful misconduct, intention to bring about the injury or death of myself or of another, nor by my intoxication, and I hereby make claim for compensation and medical treatment to which I may be entitled by reason of the injury sustained by me.

Name _____

Address _____
(Street and number)

_____
(City or town) (State)

C. A. 1
Revised August 1, 1945

U. S. GOVERNMENT PRINTING OFFICE 16—45502-4

PERSONNEL BOARD OF KANSAS CITY, MISSOURI

Employee's Request for Review

The undersigned complainant hereby respectfully requests a review by the Personnel Board of the action of _____;
(Name of officer or authority whose action is complained of)
_____, in_____
(Title) (discharging, reducing in rank or suspending)
the complainant.

The action complained of was taken by said _____
(Name of person complained of)
on the _____ day of _____ 19__ and the effective date of said action was on the _____ day of _____ 19__.

The position held by the complainant at the time of said action was that of _____. The salary or wages paid
(Employee's Classification)
was $_____ per _____.

This request for review is made because the complainant believes the action complained of to have been unjust and wrongful, in that (state reason why review is sought)

Wherefore, complainant requests a review and hearing by the Board in accordance with Section 125, Article V of the City Charter.

Complainant's address is_____ Telephone _____

Date of filing request for review _____

_____
Complainant

Filed with the Director of Personnel on the _____ day of _____ 19__

Notice of the filing of the foregoing request for review was served upon _____on_____19__ by delivering to him a true and exact copy thereof.

_____
Director of Personnel

_____
Secretary, Personnel Board

PRELIMINARY NOTICE

STATE OF NEW JERSEY

Jurisdiction	Department	Division	Bureau

NOTICE OF PRELIMINARY SUSPENSION,FINE,DEMOTION OR REMOVAL AFFECTING A PERMANENT OFFICER OR EMPLOYEE IN THE CLASSIFIED CIVIL SERVICE.

Date

TO: Name of Employee _____ Civil Service Title _____

Street

City or Town

1. Take notice that in accordance with the provisions of Title 11, Revised Statutes, and pending a hearing, you are hereby (suspended) (fined) (demoted) (removed) as of _____ (Hour) _____ (Day) _____ (Date) for a period of _____ (days) (months) for the following reasons:

2. Unless you satisfactorily explain or defend the above charges, final disciplinary action will be taken against you in the form of: ☐ Confirmation or modification of the above disciplinary action. ☐ Suspension for a longer period. ☐ Fine. ☐ Demotion. ☐ Removal. ☐ _____ (Other disciplinary action)

3. If you desire to be heard in your own defense before final action is taken,you are hereby notified that I will grant you a hearing at _____ (Hour) _____ (Day)

_____ (Date) at _____ (Place)

_____
Signature of Appointing Authority or his authorized Agent.

Date Served _____

_____
Title

Notice Served by _____ (Registered Mail or Name of Server) Title

NOTICE TO APPOINTING AUTHORITY: This notice, or comparable notice, must be first served upon a permanent employee in the classified civil service against whom disciplinary action is taken involving: (a) a suspension of more than five days at one time; (b) suspensions totaling more than thirty days in one calendar year; (c) fine; (d) demotion; or (e) removal. In accordance with the provisions of Title 11 of the Revised Statutes, the employee must be given an opportunity to be heard in his own defense before such action can be made final. Copy of this notice, Form CS-31A, must be forwarded forthwith to the Department of Civil Service.

At the conclusion of the hearing, the employee must be served forthwith with Form CS-31B in confirmation of the action taken at the completion of the hearing.

CS-31A (10-50)

TABLE OF OFFENSES AND PENALTIES—U. S. COMMERCE DEPT.

Types of offenses	Range of Penalties (Warnings—Suspensions—Removals—Demotions)					
	First infraction		Second infraction		Third infraction	
	Minimum	Maximum	Minimum	Maximum	Minimum	Maximum
ATTENDANCE:						
1. Unauthorized absence						
a. Unexcused or unauthorized absence on any scheduled day of work (see note 4 below)	Warning	3 days suspension	3 days suspension	5 days suspension	5 days suspension	Removal
b. Abandonment of position for 14 days or more	Removal					
2. Unwarranted absence from job without permission during working hours	Warning	1 day	1 day	5 days	Demotion	Removal
3. Recurring tardiness	Warning	Warning	1 day	3 days	5 days	Removal
4. Excessive absence from work	Warning	2 days	2 days	10 days	Demotion	Removal
SAFETY PRECAUTIONS:						
5. Failure to report accident or injury	Warning	1 day	1 day	3 days	3 days	10 days
6. Violation of administrative regulations where safety of persons or property is not endangered (depending on the nature and consequences of the violation)	1 day	Removal	2 days	Removal	5 days	Removal
7. Violation of administrative regulations where safety of persons or property is endangered thereby	5 days	Removal	10 days	Removal	Removal	
8. Repeated violations of safety rules	5 days	Removal	Removal			
9. Smoking in unauthorized places	1 day	Removal	3 days	Removal	Removal	
10. Operation of Department-owned motor vehicles						
a. Serious violation of traffic laws of any state or political sub-division while operating a Department motor vehicle	Warning	Removal	10 days	Removal	Removal	
b. Use of or authorizing the use of a Department motor vehicle or aircraft for other than official purposes	30 days	Removal	Removal			
ATTENTION TO DUTY:						
11. Loafing—willful idleness, wasting time, or deliberate failure to be at work on the task assigned	1 day	5 days	5 days	10 days	Removal	
12. Sleeping on duty						
a. Where safety of persons or property is not endangered	Warning	5 days	5 days	10 days	Removal	
b. Where safety of persons or property is endangered	5 days	Removal	Removal			
13. Failure to carry out orders—failure or excessive delay in carrying out work assignments or instructions of supervisors	Warning	5 days	5 days	Removal	Removal	
14. Continued incompetence in the performance of work assignments (not correctable by demotion or reassignment of employee to more suitable work)	Warning	Separation (inefficiency)				
PERSONAL CONDUCT:						
15. Intoxication						
a. Reporting for duty or being on duty under the influence of intoxicating liquors	5 days	Removal	10 days	Removal	Removal	
b. Excessive use of intoxicants while off duty with disreputable effects	3 days	10 days	10 days	Removal	Removal	
c. Selling or unwarranted possession of intoxicating liquors on premises occupied by the Department	5 days	Removal	Removal			
16. Gambling—unlawful betting or gambling or promotion thereof on premises occupied by the Department	3 days	Removal	10 days	Removal	Removal	

See notes at end of table.

(16)

TABLE OF OFFENSES AND PENALTIES—Continued

Types of offenses	Range of Penalties (Warnings—Suspensions—Removals—Demotions)					
	First infraction		Second infraction		Third infraction	
	Minimum	Maximum	Minimum	Maximum	Minimum	Maximum
17. Fighting or creating a disturbance among fellow employees	3 days	Removal	5 days	Removal	Removal	
18. Falsehood—intentional mis-statement or concealment of material fact in connection with work, employment, or in any record, report, investigation, or other proceeding	10 days	Removal	Removal			
19. Insubordination—intentional disobedience; assaulting or resisting authority; disrespect, or use of insulting or abusive language	10 days	Removal	Removal			
20. Divulging unclassified information without proper authority	10 days	Removal	15 days suspension	Removal	Removal	
21. Divulging restricted information without proper authority	15 days	Removal	Removal			
22. Divulging confidential, secret or top secret information without proper authority	30 days	Removal	Removal			
23. Unethical use of official authority or information	15 days	Removal	Removal			
24. Immoral or indecent conduct—any improper conduct which violates common decency or morality; or use of obscene language	10 days	Removal	Removal			
25. Theft—actual or attempted theft of government property, tools, or equipment, or the property of other employees	10 days	Removal	Removal			
26. Malicious injury to Government property or property of other employees	10 days	Removal	Removal			
27. Indebtedness which embarrasses the Department	Warning	Warning	3 days	5 days	10 days	Removal
28. Unhygenic personal habits or practices which annoy or jeopardize the health of co-workers	Warning	1 day	3 days	5 days	10 days	Removal
29. Improper political activities	Removal					
30. Engaging in private business activities of prohibited or unethical nature	Warning	Removal	Removal			
31. Notoriously disgraceful conduct (including but not confined to civil court convictions)	Warning	Removal	Removal			
32. Violation of "no-strike" affidavit	Removal					
33. Adverse adjudgment under Employee Loyalty Program	Removal					
34. Misappropriation of funds	Removal					

NOTES:

1. Penalties for disciplinary offenses in general should fall within the ranges indicated herein. However, depending on the severity of the infraction and the past record of the employee, greater or lesser penalties may be imposed. A combination of infractions may be considered jointly and normally will warrant a more severe penalty than a single offense. Demotion should not be overlooked as an intermediate penalty which is less severe than removal.

2. If the maximum penalty is not imposed for a third infraction, such maximum shall be imposed, except in very unusual circumstances, for any subsequent infraction of the offense.

3. The above list does not cover every possible type of offense or disciplinary action. Insofar as practicable, offenses not listed should be punished with comparable severity.

4. Employees absent without permission (A.W.O.L.) will be carried as "absent without leave" and will forfeit pay for the entire period of such absence. (See Section 5.06 of Administrative Order 202-17 amended.) The penalties prescribed above for going A.W.O.L. are in addition to such forfeiture of pay.

5. Warnings normally should be given in writing, specifying the offense, and be dated and signed. A copy should be placed in the employee's personnel folder. If the warning is not given in writing, a record of the verbal warning should be prepared and placed in the folder.

6. See Chapter C2-27 of the Federal Personnel Manual for a list of other offenses of a less common nature and prescribed penalties.

(17)

Form 23 REVISED	COUNTY OF SAN DIEGO DEPARTMENT OF CIVIL SERVICE AND PERSONNEL **SEPARATION FROM DEPARTMENT**	White (Original) to Civil Service Yellow to Civil Service, Thence to Employee Department Retain Green Copy

Name.....Department.....

Title.....Immediate Superior.....

Mailing Address.....Last Day Employed.....

Nature of Separation of Employee Named Above: (Check One)

☐ Resignation from the Classified Service — If less than seven days' notice was given, is such shorter notice approved?..... Yes or No

(Employee must have filled in statement below)

☐ Left Job Without Notice (This will be recorded as an unsatisfactory resignation)

☐ Without notice, failed to return after leave of absence. (This will be recorded as an unsatisfactory resignation)

☐ Appointing authority does not wish to extend leave of absence.

☐ Appointment to Position in Another County Department

☐ Retirement (County Retirement Plan)

☐ Expiration of Temporary Employment (Not applicable if employee resigned before agreed time)

☐ Lay-off for Lack of Work or Funds (See Rule IX, Section 2, of Civil Service Rules)

☐ Death

☐ Replacement of Provisional or Emergency Employee by Certified Eligible

☐ Dismissal as Unsatisfactory During Probation or Temporary Service. Reason:.....

.....

☐ Dismissal of Permanent Employee as Unsatisfactory. (See Rule VIII, Section 3, of Civil Service Rules.)

Date Written Notice Delivered to Employee:.....

Remarks: .....

.....

Separation reported by..... .....
Signature of Appointing Authority — Title — Date

Use Only for

RESIGNATION FROM CLASSIFIED SERVICE

Any Employee wishing to resign from the Classified Service of the County in good standing shall fill in the Resignation Certificate below, giving at least one week's notice to the Appointing Authority unless the latter approved of a shorter notice. An Employee who leaves without giving notice in the foregoing manner may be denied future employment by the County. An Employee who resigns should first be sure what effect the resignation will have upon the conditions of reemployment in case he decides to return to the County service.

I hereby tender my resignation from the Classified Service of San Diego County and certify that it is executed by me freely and voluntarily and not by any reason of threat, force, duress, menace, or undue influence by any person or persons. I desire to discontinue such employment for the following reason(s): (Check those which apply)

☐ Acceptance of Position with a Higher Salary
☐ Acceptance of Position with Better Future
☐ Temporary Nature of Job
☐ Hours or Days of Work Unsatisfactory
☐ Relations with Other Employees or Officers Unsatisfactory
☐ Assigned Duties Undesirable
☐ Work Too Difficult
☐ Personal Health
☐ Family Reasons
☐ Marriage
☐ Returning to School
☐ Leaving San Diego
☐ Other (Explain).....

I desire the Last Day of my Employment to be.....

Employee's Signature.....Date Signed.....

3M 8ETB 11-48 NP

Routing:
Send original to Dept. of Civil Service
Retain copy for your files.

CS 18 a

State of Rhode Island and Providence Plantations

DIVISION OF PERSONNEL

FIRST PROBATIONARY REPORT

Employee's Name _____

Department _____ Division _____

Class Title and No. _____ Date of Original Appointment _____

To Appointing Authority:

This is a report on the work of the above employee during the first two months of the probationary period. Since this period of probation is an intrinsic part of the examination process, you are requested to rate the actual performance of the employee by checking carefully the items below which most adequately appraise the employee's services. Check the line "does not apply" whenever you consider that the item is inappropriate.

This report must be returned to the Department of Civil Service on or before _____

1. PERFORMANCE:

Speed

a. Very rapid . . . . . ( )
b. Satisfactory . . . . . ( )
c. Very slow . . . . . ( )
d. Does not apply . . . . . ( )

Accuracy

a. Highly accurate . . . . . ( )
b. Seldom inaccurate . . . . . ( )
c. Frequently inaccurate . . . . . ( )
d. Does not apply . . . . . ( )

Volume of Work

a. Very high output . . . . . ( )
b. Satisfactory output. . . . . ( )
c. Very low output . . . . . ( )
d. Does not apply . . . . . ( )

Quality of Work

a. Extremely high . . . . . ( )
b. Good . . . . . ( )
c. Poor . . . . . ( )

2. ATTITUDES:

Toward Work

a. Intensely interested . . . ( )
b. Takes proper interest . . . ( )
c. Shows little interest . . . ( )

Toward Other Employees

a. Excellent teamworker . . ( )
b. Good teamworker . . . ( )
c. Uncooperative . . . . ( )
d. Does not apply . . . . ( )

Toward Public (or Patients)

a. Extremely cooperative . . ( )
b. Cooperative . . . . . ( )
c. Indifferent or antagonistic . ( )
d. Does not apply . . . . ( )

3. CHARACTERISTICS AND ABILITIES:

Initiative

a. Considerable . . . . . ( )
b. Sufficient . . . . . ( )
c. Very little . . . . . ( )
d. Does not apply . . . . . ( )

Adaptability

a. Adjusts self rapidly and well . . . . . ( )
b. Makes proper adjustment . . . . . ( )
c. Has difficulty adjusting . . . . . ( )
d. Does not apply . . . . . ( )

Supervisory Ability

a. Very good . . . . . ( )
b. Satisfactory . . . . . ( )
c. Poor . . . . . ( )
d. Does not apply . . . . . ( )

Judgment

a. Excellent . . . . . ( )
b. Good . . . . . ( )
c. Questionable . . . . . ( )
d. Does not apply . . . . . ( )

Dependability

a. Always dependable . . . . . ( )
b. Usually dependable . . . . . ( )
c. Not dependable . . . . . ( )

Attendance and Punctuality

a. Very rarely late or absent with cause . . . . ( )
b. Occasionally late or absent with cause . . . . ( )
c. Frequently late or absent without cause . . . ( )

4. REMARKS: _____

_____

_____

_____

_____

_____
Signature of Appointing Authority

Date _____

_____
Title

Standard Form No. 2801
(Formerly S. F. 101)
Form prescribed by
Comptroller General, U. S.
November 4, 1949
(Gen. Reg. No. 106, Supp. No. 1)

APPLICATION FOR RETIREMENT

CIVIL SERVICE RETIREMENT SYSTEM

To avoid delay in processing claim—1. Read instructions carefully; 2. Complete application in full; 3. Typewrite or print in ink.

CSA

1. NAME (*Last*) (*First*) (*Middle*)
MR.
MRS.
MISS

2. OTHER NAMES UNDER WHICH FORMERLY EMPLOYED

3. DATE OF BIRTH *Month* *Day* *Year*

4. DATE OF FINAL SEPARATION *Month* *Day* *Year*

5. APPROXIMATE NUMBER OF YEARS OF CIVILIAN SERVICE

6. DEPARTMENT OR AGENCY IN WHICH PRESENTLY OR LAST EMPLOYED, INCLUDING BUREAU OR DIVISION

7. LOCATION OF LAST EMPLOYMENT (*City and State*)

8 TITLE OF LAST POSITION

9. ARE YOU MARRIED? ☐ YES ☐ NO
IF SO, GIVE NAME OF WIFE OR HUSBAND

10. GIVE NAME AND DATE OF BIRTH OF EACH UNMARRIED CHILD UNDER AGE 18

NAME OF CHILD	DATE OF BIRTH (*Month, day, year*)

DATE OF BIRTH OF WIFE OR HUSBAND (*Month, day, year*)

DATE AND PLACE OF MARRIAGE

Only applicants for disability retirement will complete item 11

11. (A) WHEN DID YOU BECOME TOTALLY DISABLED? (*Month and year*)

(B) DESCRIBE YOUR DISABILITIES, WHEN AND HOW INCURRED, AND HOW THEY INTERFERE WITH PERFORMANCE OF THE DUTIES OF YOUR POSITION

12. (A) IF YOU HAVE RENDERED ACTIVE SERVICE IN THE ARMY, NAVY, MARINE CORPS, OR COAST GUARD OF THE UNITED STATES, AND YOUR SERVICE WAS TERMINATED UNDER HONORABLE CONDITIONS, COMPLETE THE FOLLOWING SCHEDULE FROM YOUR DISCHARGE

BRANCH OF SERVICE	SERIAL NO.	DATE OF ENTRANCE ON ACTIVE DUTY	DATE OF SEPARATION FROM ACTIVE DUTY	LAST GRADE OR RANK	ORGANIZATION AT DISCHARGE (*Div., Regiment, Co., etc.*)

(B) ARE YOU IN RECEIPT OF OR HAVE YOU APPLIED FOR MILITARY RETIRED PAY? ☐ YES ☐ NO
(*Retired pay does not include pension or compensation*)

13. (A) HAVE YOU EVER RECEIVED OR MADE APPLICATION FOR COMPENSATION UNDER THE UNITED STATES EMPLOYEES' COMPENSATION ACT OF SEPTEMBER 7, 1916? ☐ YES ☐ NO

(B) IF YOUR ANSWER IS YES, STATE THE NUMBER OF YOUR CLAIM AND THE PERIOD FOR WHICH YOU RECEIVED COMPENSATION

CLAIM NO.

FROM *Month* *Day* *Year*

TO *Month* *Day* *Year*

14. (A) IF YOU PREVIOUSLY FILED ANY APPLICATION UNDER THE CIVIL SERVICE RETIREMENT ACT, INDICATE TYPE OF CLAIM.

☐ RETIREMENT ANNUITY
☐ REFUND
☐ SERVICE CREDIT
☐ VOLUNTARY CONTRIBUTIONS

(B) FURNISH CLAIM NUMBER IF KNOWN

(CONTINUED ON NEXT PAGE)

16—84518-2

15. INDICATE BY "X" IN THE APPROPRIATE BOX BELOW THE TYPE OF ANNUITY YOU ELECT TO RECEIVE. NO CHANGE WILL BE PERMITTED AFTER YOUR ANNUITY IS GRANTED. READ CAREFULLY "TYPES OF ANNUITY" ON ATTACHED SHEET.

A. ☐ **LIFE ANNUITY**	This type of annuity is available to all retiring employees.
B. ☐ **REDUCED ANNUITY WITH BENEFIT TO WIDOW OR WIDOWER**	This type of annuity is available only to married employees who have completed 15 years of service and who are eligible for annuity at time of separation, or who are retiring on account of total disability.
C. ☐ **REDUCED ANNUITY WITH BENEFIT TO PERSON NAMED**	This type of annuity is available only to unmarried employees retiring *in good health* who have completed 15 years of service and are eligible for annuity at time of separation. The person named must have an insurable interest in the retiring employee.

IF YOU CHOOSE THIS TYPE OF ANNUITY, FURNISH THE FOLLOWING INFORMATION.

NAME OF PERSON TO RECEIVE BENEFIT (FIRST, MIDDLE, LAST)	RELATIONSHIP	DATE OF BIRTH *(Month, day, year)*

WARNING.—Any intentional false statement in this application or willful misrepresentation relative thereto is a violation of the law punishable by a fine of not more than $10,000 or imprisonment of not more than ten years, or both (52 Stat. 197; U. S. C. 18:80).

NOTICE

1. If not separated, or if separated less than 30 days, submit your application to the agency or department in which employed.
2. If you have been separated more than 30 days, forward this application direct to the Retirement Division, U. S. Civil Service Commission, Washington 25, D. C.

I hereby certify that all statements made in this application are true to the best of my knowledge and belief.

_____
(SIGNATURE OF APPLICANT)

_____
(NUMBER AND STREET)

_____
(CITY AND ZONE NUMBER)

_____ _____
(DATE) (STATE)

FOR USE OF THE EMPLOYING DEPARTMENT OR AGENCY

(See Chapter R5 of the Federal Personnel Manual for instructions)

PLACE "X" IN APPROPRIATE BOX BELOW.

☐ THE APPLICANT NAMED ABOVE IS NOW SERVING IN A POSITION SUBJECT TO THE RETIREMENT ACT.

☐ INDIVIDUAL RETIREMENT RECORD, STANDARD FORM NO. 2806, AND REGISTER OF SEPARATIONS AND TRANSFERS, STANDARD FORM NO 2807, ARE ATTACHED HERETO.

☐ INDIVIDUAL RETIREMENT RECORD, STANDARD FORM NO. 2806, WAS SENT TO U. S. CIVIL SERVICE COMMISSION ON _____ (DATE) WITH REGISTER OF SEPARATIONS AND TRANSFERS, STANDARD FORM NO. 2807, NO _____

_____
(SIGNATURE)

_____
(OFFICIAL TITLE)

_____ _____
(DATE) (DEPARTMENT OR AGENCY)

U. S. GOVERNMENT PRINTING OFFICE 16—54618-2

SOCIAL SECURITY PAYMENTS

(Payment upon retirement or after death, as provided by the federal social security system, if an employee has had at least a year and one half of work covered by the federal law after 1950).

Average Monthly Wage After 1950	Retirement Benefits		Survivor Benefits			
	Employee's Benefit at Retirement	Retired Employee and Wife	Widow	Widow and One Child	Widow and Two Children	Widow and Three Children
$50.	$27.50	$41.30	$20.70	$41.40	$45.10	$45.00
100.	55.00	80.00	41.30	80.00	80.00	80.10
150.	62.50	93.80	46.90	93.80	120.00	120.00
200.	70.00	105.00	52.50	105.00	140.10	160.20
250.	77.50	116.30	58.20	116.40	155.20	168.80
300.	85.00	127.50	63.80	127.60	168.90	168.90

(Amounts based upon Social Secturity Act Amendments of 1952)

Federal Creed of Service

We as members of the civil service accept our obligation and our opportunity to serve the American people well and in full measure, doing our best to further the free and democratic institutions of our country

425

We believe it is our duty to

Carry out loyally the will of the people as expressed in our laws

Serve the public with fairness, courtesy, integrity, and understanding

Help improve the efficiency, economy, and effectiveness of our work

. . . and thus do our part in performing the great services of the Government

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