

request

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### Request for Data

The following information is requested to provide the NAPA Panel and staff information to establish a base-line of information on personnel policies and problems in the IC agencies included in the study. Please reply to each question on a separate sheet of paper. Any question which requires classified information for reply should be retained until you are advised that the required security clearance has been granted to project staff.

In preparing responses to these questions, please bear in mind that the only general information we have been provided on IC agency personnel systems is the Report to Congress Required by Section 507 of Pubic Law 99-569 and the March 1987 Committee Print "Compilation of Intelligence Laws and Related Laws and Executive Orders of Interest to the National Intelligence Community."

#### ORGANIZATION AND STAFFING

1. Provide a brief statement of the agency mission in the Intelligence Community.
2. Provide a description of the major organizational components of the agency, (or that part of the agency in the Intelligence Community) to the first level below the head of the agency (or reporting component).
3. Provide the authorized civilian personnel strength of the agency (or component) and of the principal subunits described in 2 above. If this civilian personnel strength is augmented by labor hour contract staff or if there are military personnel in the agency, provide data on the percent of the total personnel which are government civilian staff.
- ✓ 4. Provide information on the major civilian occupational or career fields in the agency. This is to include the number of staff in each group, the working environment in the occupation, and the normal risks associated with the duties normally performed in the occupation.
5. Describe the Personnel Office organization and functions in the agency. Please include an organization chart of the personnel office. If there is more than one personnel office in the organization, describe the authority and working relationships between the several offices.
6. Provide information on the delegation of personnel authority to managers within the agency.

#### LEGAL BASIS FOR PERSONNEL PROGRAM

7. Provide citations and brief descriptions of all laws, other than Title V, which authorize the agency civilian personnel program.
8. Provide citations and brief descriptions of authorizing and/or controlling regulations from higher level authority where the IC member is component of a Department or agency.

9. Provide citations of other laws or regulations, external to the agency, which are considered applicable to the personnel program, i.e. FLSA, OSHA, CSRA, Ethics in Government Act, Uniform Selection Guidelines, etc.

#### **MAJOR ISSUES/PROBLEMS IN THE AGENCY PERSONNEL PROGRAM**

10. Identify the current major issue(s) and problem(s) in the agency personnel program. Briefly state the issue/problem and its adverse impact on accomplishment of the Agency mission.
11. Identify, where applicable, any controlling law or regulation or other applicable law and regulation which are considered significant factors in the issue(s) and problem(s) described in 10 above.

#### **STATUTORY CHANGES IN THE AGENCY PERSONNEL PROGRAMS SINCE 1978**

12. Provide the citation and date of any law enacted since 1978 which has significantly impacted the agency personnel program.
13. Describe briefly the personnel problem(s) addressed by law; the nature of the change introduced by the law; and a brief evaluation of the effect of the law on the agency personnel program.

#### **STATUTORY CHANGES REQUESTED SINCE 1978 FOR PERSONNEL PROGRAM BUT NOT SECURED**

14. Describe briefly any unsuccessful legislative efforts initiated since 1978 to secure personnel legislation for IC agencies. Describe the personnel problem(s) addressed by the requested legislation, the nature of the change sought by the legislation, and the date of the effort.
15. Indicate an assessment of the reason(s), if known, for failure of the proposal and whether the legislation is still considered to be needed.

#### **REGULATORY CHANGES IN PERSONNEL PROGRAM REQUESTED FROM HIGHER AUTHORITY SINCE 1978**

16. Provide information on any regulatory change requested by the agency since 1978 to meet personnel problems in the organization.
17. Describe the problem(s) addressed by the requested regulatory change; the regulation affected; the change requested; the year of the request; and whether the change was approved.
18. If the regulatory change was approved, provide a brief evaluation of the effect of the change on the agency personnel program.
19. If the regulatory change was not approved, describe the reasons for disapproval and whether the regulatory change still considered to be needed.

**CHANGES CONSIDERED TO BE NEEDED IN CONTROLLING PERSONNEL LAW AND/OR REGULATION**

20. Describe any changes, not previously discussed, considered as needed in current personnel law or regulation. Discuss the nature of the change needed: the reason the change is considered needed; and the status of the change, i.e. draft, concept paper, idea stage, etc.

**SIGNIFICANT CHANGES MADE IN PERSONNEL PROGRAM WITHIN EXISTING AUTHORITIES**

(The definition of significant change is as provided in the conference report for 1978 Appropriation Act--"departures from current personnel management or compensation structures."

21. Provide information on any significant personnel program change implemented in the agency since 1978 to meet personnel programs in the agency. Please provide:
- a. Nature of change: description.
  - b. Date (year)
  - c. Problem(s) addressed by change.
  - d. Evaluation of the effects of the change.

**SIGNIFICANT CHANGES CONSIDERED NEEDED IN PERSONNEL PROGRAM AND WHICH CAN BE MADE WITHIN EXISTING AUTHORITIES BUT ARE BEING DELAYED BY THE 1978 APPROPRIATION ACT CONFERENCE REPORT LANGUAGE.**

22. Describe needed personnel program changes which are being deferred because of the conference report language. Describe the nature of the change needed; the reason the change is considered needed; and the status of the change, i.e. draft, concept paper, idea stage, etc.

**RECRUITING AND RETAINING PERSONS WITH CRITICAL SKILLS**

23. Indicate if the agency is currently experiencing difficulty, or has experienced difficulty in recent years, recruiting and retaining engineers, computer scientists, mathematicians, or linguists.
24. Indicate if the agency is currently experiencing difficulty, or has experienced difficulty in recent years, recruiting and retaining individuals for any other occupations which are significant to the accomplishment of the agency mission.
25. For each occupation listed in 23 and 24 above provide the following information:
- the number of individuals sought in the agency recruitment program for the occupation in the agency and the number recruited annually.
  - the current vacancy rate for the positions in the agency in the occupation.

### **ADDRESSING THE FUTURE**

- ✓ 26. Describe workforce changes anticipated in the agency ~~in~~ the next 5-10 year. Identify the expected causes of workforce changes—for example because of significantly changed skill needs, major technological changes in how the agency mission is accomplished, major organizational changes which are anticipated, or the anticipated impact of changes in American workforce demographics on the agency workforce.
- ✓ 27. Is there a long range workforce plan for the organization? If so, identify who can be contacted in the agency to review the plan.

### **COMPETITION BETWEEN IC AGENCIES IN PERSONNEL PROGRAMS**

- 28. Identify any area in the agency personnel program where the agency believes it is significantly disadvantaged vis a vis other IC agencies because of different personnel policies.

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## SUGGESTED AGENDA TOPICS

The following topics, together with some points to cover, are suggested for the off-site meeting. It would be helpful to emphasize the differences in agency systems from the typical Title V system. In addition to securing an orientation to each agency's personnel system, our interest is to identify the significant differences from the standard federal system and to identify the major differences between the IC agencies and the rationale for these differences.

### 1. Recruitment programs

Provide an overview of the agency recruitment program.

- areas of greatest competition with the private sector.
- general qualifications sought; what kind of people do you look for.

For hard-to-fill positions, points of interest include:

- salary range offered
- hiring levels; entrance level, experienced, or both.
- nature of special recruitment efforts.
- factors which are of greatest appeal to candidates in recruiting.
- what is the size of the pool from which selections are made.
- any quality assessment of new hires compared to those who decline employment.

### 2. Appointment procedures and requirements

- competitive or excepted appointments
- tests and other selection techniques used
- any validation conducted of selection techniques
- for Title V agencies, discuss significant variations, if any, from OPM's standard requirements.
- security requirements
- impact of security requirements on selection rate

### 3. Job classification program

- position or person based system.
  - outline grade structure in comparison to Class Act system.
  - non-supervisory and supervisory grade structure in (how class system deals with specialized knowledge and skills versus supervisory or management) key occupational areas.
  - description of super-grade SES type program used.
  - numbers of senior level positions. Limitations on numbers imposed.
- Selection process.
- presence of any grade structure problems caused by classification system. Where is more flexibility needed? Why?

4. Compensation practices including use of merit pay.

- describe pay schedule if other than GS.
- process for awarding in-grade pay increases
- if merit pay type system used, describe coverage, the process used, allowable increases, pool limits, etc.
- description of other compensation and reward programs used such as area allowances, special pay rates, hazardous duty pay, over-time policy, awards and other significant financial benefit programs.
- linkage of pay increases to performance appraisal system.
- pay reduction process
- leave and benefits which differ from Title V.

5. Promotion policies and procedures

- main career ladders in agency
- what is the promotion process which is used
- promotion expectations in key occupations
- frequency of movement between career fields; between organizations in agency.
- frequency of lateral entry at higher grades
- use of senior non-supervisory positions.

6. Performance appraisal

- description of the system used with emphasis on what employee attributes are evaluated: traits, task accomplishment, etc.
- describe any current redesign efforts underway
- view of management utility and employee satisfaction with the system.
- special performance appraisal problems caused by the nature of intelligence work.

7. Training and career development

- description of agency training organization and programs
- training in career fields
- training programs to facilitate changing career fields
- supervisory training programs
- SES candidates type training programs/executive development
- resources, staff and dollars, devoted to training programs
- resources increasing or declining

8. Mobility requirements

- how much staff mobility is there
- current mobility requirements
- any special benefits for mobile staff

- any change noted in staff willingness to relocate in recent years
- any special efforts being made to accommodate to two career families.

9. Quality of work life

- impact of security considerations such as cover, professional anonymity.
- any measures of overall staff attitude toward agency.
- any indications of staff satisfaction/dissatisfaction with the current personnel system.
- any indications of supervisory satisfaction/dissatisfaction with the current personnel system.
- indications of significant alcoholism, divorce, suicide problems.

10. Reduction in force procedures

- describe differences from the OPM system
- any problems

11. Adverse action procedures

- describe differences from OPM system
- assessment of current system. Data shows relatively few dismissals. Is this considered a positive factor?

12. Retirement program

- applicability of FERS: estimates of potential impact.
- any special retirement provisions for staff
- average age at retirement in key occupations
- any data as to how soon after eligibility persons retire
- data on percent of staff in key occupations who remain with the agency until retirement.

**13. EEO and affirmative action**

- minority and female representation in the agency workforce
- applicability of USG
- applicability of CSRA Garcia amendment
- discussion of any special recruitment programs for underrepresented.
- any particular affirmative action problems presented by the nature of the intelligence mission.

**14. Turnover**

- what is known about the characteristics of turnover in the agency
- any data available on turnover by occupation: by grade; by length of service
- any recent studies of turnover

**15. Interface with other personnel systems in agency—civilian and military or with other agencies in co-located staff—possibly co-located staff working on the same program**

- discussion of special problems or concerns presented by dual personnel systems in the agency.
- special problems of different systems for staff of two or more agencies working on the same program.

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