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POSITIONS IN SUPERGRADE LEVELS

A REPORT ON EXECUTIVE MANPOWER
IN THE FEDERAL SERVICE

SUBCOMMITTEE ON MANPOWER AND
CIVIL SERVICE OF THE

COMMITTEE ON
POST OFFICE AND CIVIL SERVICE
HOUSE OF REPRESENTATIVES



MARCH 1972

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(B. Benton Bray, Associate Staff Director, Room B-370(b), Rayburn Building—Ext. 2821)

INTRODUCTION

This committee print, which contains information gathered from several sources, is intended to serve the members of the Committee on Post Office and Civil Service in their continuing review of so-called supergrade positions; or positions in grades GS-16, GS-17, and GS-18 of the General Schedule, and their salary equivalents.

The first document is the letter of transmittal to the Congress from the Chairman of the Civil Service Commission in compliance with annual reporting requirements with respect to these higher level positions. Attached with the letter of transmittal are summaries of supergrade actions taken during calendar year 1971. Included is a table showing agency distribution of supergrade positions as of December 31, 1971.

The second document is a reprint of the 1972 Report on Executive Manpower in the Federal Service, prepared by the Civil Service Commission.

The final part of this print cites the applicable provisions of law which authorize the appointment of, and fix the compensation rates for, supergrade positions in the Federal service.

MEMORANDUM

The following information was obtained from a review of the records of the Department of the Interior, Bureau of Land Management, regarding the proposed acquisition of land for the construction of a dam and reservoir in the State of California.

The proposed project is located in the State of California, and the land to be acquired is situated in the County of [County Name]. The land is owned by [Owner Name] and is currently being used for agricultural purposes.

The proposed dam and reservoir are to be constructed on the [River Name] River, and the reservoir is to be used for the storage of water for irrigation and domestic use. The project is being undertaken by the State of California, and the land to be acquired is being offered for sale to the State.

The land to be acquired is situated in the [Township Name] Township, [County Name] County, California. The land is bounded by [Boundary Description] and contains approximately [Area] acres.

The proposed acquisition of land is necessary for the construction of the dam and reservoir, and the land to be acquired is being offered for sale to the State at a price of [Price].

The proposed acquisition of land is being undertaken in accordance with the provisions of the State Land Act, and the land to be acquired is being offered for sale to the State in accordance with the provisions of the Act.

LETTER OF TRANSMITTAL

U.S. CIVIL SERVICE COMMISSION,
Washington, D.C., January 31, 1972.

HON. CARL ALBERT,
Speaker of the House of Representatives,
Washington, D.C.

DEAR MR. SPEAKER: Title 5, section 5114 of the United States Code, places certain annual reporting responsibilities on the Civil Service Commission, and on other departments and agencies with respect to positions in grades GS-16, GS-17, and GS-18. This report concerns actions taken on those positions approved under 5 U.S.C. 5108(a) during the calendar year 1971.

Attached are:

1. A summary of actions taken under the numerical limitations of 5 U.S.C. 5108(a)—quota positions.
2. A summary of actions taken outside the numerical limitations of 5 U.S.C. 5108(a)—nonquota positions.
3. A summary of actions taken regarding hearing examiner positions.

Under separate cover we are forwarding seven volumes of reports pertaining to positions covered by 5 U.S.C. 5108(a), on an agency-by-agency basis.

We shall be happy to answer any questions you may have about the contents of this report.

Sincerely yours,

ROBERT E. HAMPTON, *Chairman.*

Enclosure: (7) volumes.

Summary of actions taken under numerical limitations of 5 U.S.C. 5108(a)— Quota Positions—1971

Total authorized positions as of January 1, 1971.....	2,734
Positions approved by CSC as of January 1, 1971.....	2,645
Positions available for distribution by CSC as of January 1, 1971..	89
Positions allotted January 8, 1971 by Public Law 91-656.....	20
Subtotal.....	109
Positions cancelled by CSC during 1971.....	537
Positions available for distribution during 1971.....	646
Positions approved by CSC during 1971.....	588
Subtotal.....	58
Positions in process of certification or committed as of December 31, 1971..	48
Total available for CSC distribution as of December 31, 1971.....	10

VI

Summary	GS-18	GS-17	GS-16	Total
Positions authorized by law as of Dec. 31, 1971.....	330	689	1,735	12,754
Positions approved by CSC as of Dec. 31, 1971.....	305	677	1,714	2,696
Remaining.....	25	12	21	58
Positions in process or committed as of Dec. 31, 1971.....	21	10	17	48
Remaining Dec. 31, 1971.....	4	2	4	10

¹ Total number established by law cannot exceed 2,754—25 percent may be placed in GS-17, and 12 percent in GS-18. The quota within grades may be lowered or raised as long as it does not exceed 330 in GS-18 and 689 in GS-17, or a total of 2,754.

Summary of actions taken outside the numerical limitations of 5 U.S.C. 5108(a)—nonquota positions—1971

Nonquota positions are professional engineering positions primarily concerned with research and development, and professional positions in the physical and natural sciences and medicine.

Nonquota:

Total approved positions as of January 1, 1971.....	1,340
Positions approved by CSC during 1971.....	317
Total.....	1,657
Positions cancelled by CSC during 1971.....	259
Total positions approved as of December 31, 1971.....	1,398

Summary of actions taken regarding hearing examiner positions—1971

Hearing examiner positions:

Positions authorized as of January 1, 1971.....	249
Total number in use as of December 31, 1971.....	244
Positions remaining as of December 31, 1971.....	5

AGENCY DISTRIBUTION, APPROVED GS SPACES (AS OF DEC. 31, 1971)

Agency	Government-wide quota	Non-quota	Special agency quotas	Hearing examiner authorizations	Public Law 313 type	Other salary systems ¹	Total
CABINET AGENCIES							
Agriculture.....	149	100			25		274
Commerce.....	134	316		3	30	15	498
Defense:							
OSD.....	34	84	170		86		374
AF.....	16	86	79		140		321
Army.....	39	131	96		145		411
Navy.....	20	265	70		161	8	524
HEW.....	203	236			163	48	650
HUD.....	123	3					126
Interior.....	101	115			8		224
Justice.....	160	1	194			51	406
Labor.....	119	2	25	3			149
State.....	29	4				1,025	1,058
Transportation.....	240	128	23	7	21	6	425
Treasury.....	298	2				60	360
OTHER AGENCIES							
ACTION.....	3					64	67
Administrative Conference of the United States.....	2						2
Administrative Office of the United States Courts.....	2		4				6
AID.....	6	10				714	730
American Revolution Bicentennial Commission.....	1						1
AEC.....				1		421	422

See footnotes at end of table, p. viii.

VII

AGENCY DISTRIBUTION, APPROVED GS SPACES (AS OF DEC. 31, 1971)—Continued

Agency	Government-wide quota	Non-quota	Special agency quotas	Hearing examiner authorizations	Public Law 313 type	Other salary systems ¹	Total
OTHER AGENCIES—Continued							
Cabinet Committee on Spanish-Speaking People	1						1
Citizens Advisory Committee on Environmental Quality	1						1
CAB	39			7		5	51
CSC	54		1				55
Commission on Civil Rights	7						7
Cost of Living Council			20				20
Council of Economic Advisers						7	7
Council on Environmental Quality	4						4
District of Columbia Government	42	26	7				75
District of Columbia Redevelopment Land Agency	2						2
Environmental Protection Agency	28	62					90
EEOC	21						21
Executive Office of the President, White House	28	22					50
Export-Import Bank of the United States	15						15
Farm Credit Administration	6					3	9
FCC	31	6		16			53
FDIC						54	54
Federal Field Committee for Development Planning in Alaska							
Federal Home Loan Bank Board	13						13
Federal Labor Relations Council	4						4
FMC	13			6			19
Federal Mediation and Conciliation Service	12						12
FPC	32	2		16			50
FTC	29	4		10			43
Foreign Claims Settlement Commission	1						1
GAO			90				90
GPO						20	20
GSA	73	3					76
Indian Claims Commission	1						1
Inter-American Social Development Institute	4						4
ICC	34			83			117
Library of Congress		7	75		8		90
National Advisory Council on Economic Opportunity	1						1
NASA		298	5		437		740
National Aeronautics and Space Council	1	4				4	9
National Capital Housing Authority	1						1
National Capital Planning Commission	3						3
National Capital Consumer Finance	1						1
National Council on Indian Opportunity	1						1
National Credit Union Administration	6						6
National Foundation on the Arts and Humanities	7						7
National Gallery of Art	2					3	5
NLRB	69			83			152
National Mediation Board	1						1
National Science Foundation						107	107
National Security Agency						120	120
National Security Council	10						10
National Tourism Reservation Review Commission	1						1
Occupational Safety and Health Review Commission			10				10
Office of Consumer Affairs	2						2
OEO	41	3					44
OEP	20	8					28
OMB	75						75
Office of the Vice President							
Overseas Private Investment Corp.						20	20
Panama Canal Company and Canal Zone Government						7	7
President's Commission on American Shipbuilding		1					1
President's Commission on School Finance	1						1
President's Commission on Employment of the Handicapped	2						2
Railroad Retirement Board			9				9
Renegotiation Board	7						7
SEC	29			6			35
Selective Service System	12						12

See footnotes at end of table, p. viii.

VIII

AGENCY DISTRIBUTION, APPROVED GS SPACES (AS OF DEC. 31, 1971)—Continued

Agency	Government-wide quota	Non-quota	Special agency quotas	Hearing examiner authorizations	Public Law 313 type	Other salary systems ¹	Total
OTHER AGENCIES—Continued							
SBA.....	37						37
Smithsonian Institution.....	7	29				7	43
Subversive Activities Control Board.....	1						1
Tariff Commission.....	6						6
Tax Court of the United States.....	2		5				7
TVA.....						37	37
U.S. Arms Control.....	11	2			14		27
U.S. Court of Military Appeals.....	2						2
USIA.....	37					230	267
U.S. Postal Service.....				3		219	222
VA.....	72	6				210	288
Water Resources Council Staff.....	5					4	9
White House Conference on Children and Youth.....	1						1
Total.....	² 2,648	1,966	883	244	1,238	3,469	10,448

¹ Other salary systems—information based on annual report of salary and wage distribution of Federal civilian employees on agency rolls as of June 30, 1971.

² The difference between this number and the number available in the pool of Government-wide quota spaces represents those in process of being shifted from one position to another, or those committed to positions that have not yet been fully established by the Commission.

EXECUTIVE MANPOWER

IN THE

FEDERAL SERVICE

JANUARY 1972



**United States Civil Service Commission
Bureau of Executive Manpower**

(1)

U. S. CIVIL SERVICE COMMISSION

ROBERT J. HAMPTON
Chairman

JAYNE B. SPAIN
Vice Chairman

L. J. ANDOLSEK
Commissioner

BERNARD ROSEN
Executive Director

January 1, 1972

INTRODUCTION

Executive talent is generally recognized as a critical and extremely important resource. Congress wants good program leadership; agency heads want the best managers they can find; and the executives themselves want to work in an environment where they can get the job done and get personal satisfaction doing it.

How does the Federal Government meet these challenges? What kind of a manpower management system does it have? Who is responsible for overseeing the system? And, how does it work? These are some of the issues discussed in this report on executive manpower management activities throughout the Federal service.

Under Executive Order 11315, the Civil Service Commission is responsible to the President for the effective implementation and administration of a Federal executive manpower management program that embraces some two-thirds of all executive positions in the executive branch. This includes the authority to allot executive spaces, classify positions, and approve qualifications. However, the Commission's responsibilities go far beyond these regulatory matters. Under the Executive order, the Commission is obligated to provide advice and assistance to agencies to monitor the system and to do research looking towards improvements in the program. Its research studies during the last few years have led to the development of the legislative proposal now before the Congress on the Federal Executive Service, the publication of guidelines to agencies on executive development activities, the modernization of operating procedures, and much of the information included in this report.

The report is divided into three chapters. The first contains a description of the present executive structure and its historical development. The second takes a look at the ABC's of executives - their attitudes, backgrounds, and characteristics. The last chapter is devoted to the dynamics of staffing executive positions.

The report was prepared by the Division of Executive Manpower Planning and Development within the Bureau of Executive Manpower. Substantial contributions to the report were made by Sally H. Greenberg, John S. Howland, Ann L. Ugelow, staff members, and Edward A. Schroer, Division Director.

The data used comes from studies made by the Bureau, from descriptions of executive positions, from analyses of the records in the Executive Inventory, and from various reports provided by the agencies. All data are as of June 30, 1971, unless otherwise noted.

The data in the Executive Inventory are taken from an 11-page record which each person appointed or promoted to a position at grade 15 or above under the General Schedule, or to one at an equivalent salary level under another pay system, is asked to complete. The record contains both demographic information and background data on experience, education, publications, awards and career interests. Promotions, reassignments, separations and other personnel actions are entered into the inventory periodically. In addition, each executive is given the opportunity to update his record annually. There are inventory records on 35,000 current employees, of which 27,000 are in grade 15 and 8,000 in the upper levels.

Seymour S. Berlin
Seymour S. Berlin
Director
Bureau of Executive Manpower

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I. THE EXECUTIVE MANPOWER STRUCTURE

There are almost 3 million civilian employees in the Federal service working in all 50 states and in some foreign countries. They occupy positions which range over the whole spectrum of job categories, that is, unskilled, skilled trades, clerical, technical, professional, supervisory, administrative, managerial and executive. Some of the categories are strictly defined by job requirements or tradition. Others, like administrative, managerial and executive, are not mutually exclusive and defy easy definition. Many hours have been devoted with only limited success to determining the point at which administrators and managers become executives. The most frequently employed criterion, and the one used in this report, is salary level.

An executive is defined as any full-time employee of the executive branch whose base salary equals or exceeds the beginning salary (\$29,678) of the General Schedule grade 16, regardless of the personnel or pay system involved. Table 1 shows the distribution of executives under the various personnel systems.

TABLE 1. EXECUTIVE POPULATION

<u>Personnel System</u>	<u>Number</u>	<u>Percentage</u>
Executive Schedule (Levels I-V)	595	5%
General Schedule (GS 16-18)	<u>a/ 5,804</u>	53%
Public Law (P.L. 313 Type)	1,244	11%
Other Salary Systems	3,400	31%
Foreign Service	1,924	17%
AEC	428	4%
TVA	39	1%
DMS (VA)	215	2%
Other	<u>794</u>	<u>7%</u>
Total	<u>11,043</u>	<u>100%</u>

a/ This number includes 251 executives in the legislative and judicial branches whose positions are classified in grades 16-18 of the General Schedule.

The number of executives in the Federal Government represents a fairly small percentage of the total workforce: 11,000 of the total full-time employees of nearly three million, or less than one-half of one percent.

The salary costs of executives also represent a small portion of the total personnel costs. Executive Schedule salaries range from \$36,000 for Level V to \$60,000 for Level I. These positions include Departmental Secretaries, Under Secretaries, Directors of Bureaus, Services or Administrations, and Chairmen and Members of Commissions and Committees and are documented in Chapter 53 of Title 5, United States Code.

General Schedule salaries range from \$29,678 for grade 16 to \$36,000 for grade 18. Although Executive Order No. 11637 which increased general schedule pay rates effective January 1972 set higher rates for the top steps of grades 16 and 17 and for grade 18, these basic rates are limited by law to the rate for Level V of the Executive Schedule.

The Public Law positions include certain scientific or professional positions in research and development functions which require the services of specially qualified personnel. Salaries are set by the head of the employing agency at a rate not less than the minimum for grade GS-16 nor more than the maximum for grade GS-18, but except for certain positions primarily in NASA, they must be approved by the Civil Service Commission.

The positions in "other salary systems" are established and paid under laws enacted to meet specific needs. They generally are paid at rates equivalent to the GS 16-18 range.

During the last fiscal year, salary costs for executives accounted for about one-half of one percent of the total personnel costs.

The primary focus of this report is on executive branch General Schedule and Public Law positions and incumbents, who are hereafter referred to as "executives." Those under other salary systems are included in the analyses only as specifically noted.

The Complexity of the Structure

One of the most difficult things for both old and new Government managers to understand is the types, categories, authorities, and limitations to which they must accommodate as they exercise their responsibilities to select and utilize executives. They are faced with a patchwork of constraints that govern the selection, pay, assignment and tenure of executives. They may receive manpower authorizations under a number of different laws and regulations. They may have to manage the compensation of executives under several different pay systems. They usually must consider a variety of career rights when they want to take any actions affecting their key subordinates.

Position Authorities

The present structure has grown up over the years as a series of mutations of the system that applies to all Federal employees from the lowest grade on up. The variety of authorities and the complexity of administering them is well illustrated by tracing the history of the growth of the present authorities. (Table 2)

TABLE 2. GROWTH OF POSITION AUTHORITIES

Year	Public Law 80-313 Type	Govt-wide Quota	Special Authori- zations a/	Non-Quota	GS Subtotal	Overall Total
1947	45					30
1948	50					50
1949	60	400			400	460
1950	90	400			400	490
1951	90	400	11		411	501
1952	90	400	19		419	509
1953	90	400	19		419	509
1954	90	550	19		569	659
1955	120	1,200	59		1,259	1,379
1956	220	1,226	59		1,285	1,505
1957	220	1,226	59		1,285	1,505
1958	737	1,513	168		1,681	2,418
1959	935	1,035	541		1,576	2,511
1960	1,030	1,035	541		1,576	2,606
1961	1,293	1,989	603		2,592	3,885
1962	1,301	2,400	619		3,019	4,320
1963	1,301	2,400	619	195	3,214	4,515
1964	1,301	2,400	868	1,014	4,282	5,583
1965	1,301	2,400	868	1,206	4,474	5,775
1966	1,334	2,577	961	1,420	4,958	6,292
1967	1,334	2,577	961	1,626	5,164	6,498
1968	1,334	2,577	965	1,776	5,318	6,652
1969	1,244	2,727	1,037	1,892	5,656	6,900
1970	1,244	2,734	1,079	1,953	5,766	7,010
1971	1,244	2,754	1,100	1,950	5,804	7,048

a/ The figures in this column take account only of special authorities still existing. During the years many temporary authorities arose and disappeared.

The first major step in the development of the present executive manpower structure was the enactment of Public Law 80-313 in 1947. That law authorized the Secretaries of War and Navy to establish and fix compensation for not more than 30 and 15 positions, respectively, within their departments at not less than \$10,000 or more than \$15,000. The salary range was above the \$10,000 maximum allowable for the then highest grade in the classified service. This authority was significant because it recognized the need for a flexible method of compensating a group of specialists (in this case scientific and/or research professionals) above the existing pay structure of career personnel but less than that paid the political manager.

Two years later the passage of the Classification Act of 1949, extended the existing schedule upward to include three new grades: GS-16, 17, and 18 and outlined the general criteria to be used in placing positions in the "supergrades." A total of 400 positions were authorized with the stipulation that no more than 25 be used for GS-18 positions and 75 for GS-17. It is these original 400 positions and the increases authorized to enlarge that number that became known as the Government-wide quota. As the number of authorized positions was increased, the Congress specified that no more than 25% could be placed in GS-17 and no more than 12% in GS-18.

Over the years, agency requirements for supergrades grew appreciably. Congress responded with increases in the Government-wide quota as well as with special agency authorizations. For example, a specific quota of 372 for the Department of Defense was passed in 1959. Still the pressure continued. Much of it came from agencies with pressing needs in the scientific area. This led to the passage of the nonquota provisions in 1962. Under these provisions, professional positions in the physical or natural sciences and medicine or engineering positions whose primary concern was research and development were exempted from the Government-wide quota restrictions.

Appointment Authorities

In addition to the complexities of the system introduced by the various position authorities described above, Government managers who make decisions on staffing and utilization of executives must also consider whether the position is included under, or excepted from, the competitive service.

Most Federal civilian employees are appointed under the competitive Civil Service System and obtain status after satisfactorily completing a probationary period.

Jobs may be exempt from the career service in one of two ways: either by laws which exempt certain groups of positions or whole personnel systems from the civil service; or through the application of certain Presidentially established rules. Certain agencies have career

merit systems of their own which are similar to the civil service but are exempt from the career civil service. Examples are the Central Intelligence Agency, National Security Agency, Federal Reserve System, Atomic Energy Commission, Tennessee Valley Authority, and Foreign Service. These jobs can be thought of as civil service exempt positions.

In addition, there are "career-exempt positions" within the civil service which are exempted by the law establishing the position or which can be exempted by the Civil Service Commission under its rules. These latter are then placed in one of the "schedules"--A, B, or NEA. (There is a Schedule C but it does not apply to positions above GS-15.)

Table 3 traces the growth of the several appointment authorities.

TABLE 3. GROWTH OF APPOINTMENT AUTHORITIES

Year	Career			Noncareer						Grand Total
	Public Law	CEA LEA	Total	NEA	Sched A	Sched B	PL	Other	Total	
1961	871	1,214	2,085	343	269	4	422	762	1,800	3,885
1962	871	1,519	2,390	411	365	15	430	709	1,930	4,320
1963	871	1,714	2,675	442	394	26	430	548	1,840	4,515
1964	871	2,565	3,436	465	404	24	430	465	2,147	5,583
1965	871	3,117	3,988	449	404	52	430	452	1,787	5,775
1966	904	3,544	4,448	489	418	56	430	451	1,844	6,292
1967	904	3,847	4,751	472	443	30	430	372	1,747	6,498
1968	904	4,004	4,908	459	450	29	430	376	1,744	6,652
1969	814	4,135	4,949	504	428	26	430	563	1,951	6,900
1970	814	4,195	5,009	552	444	19	430	557	2,001	7,010
1971	814	4,313	5,127	595	489	15	430	392	1,921	7,048

Under the authority of Executive Order 10577 of November 22, 1954, jobs may be placed in Schedule A or B by the Civil Service Commission on the recommendation of the agency in which the job is located.

- Schedule A posts are positions not of a confidential or policy-making character for which it is not practicable to hold any kind of examination. Examples are positions of attorneys for which examination is forbidden by law and certain part-time jobs depending on residency in isolated locations.
- Schedule B is for positions not of a confidential or policy-making character for which it is not practicable to hold a competitive examination, but for which a noncompetitive examination to determine qualification is practicable. Examples are tax specialists in the Treasury Department and communications specialists in the Defense Department.

In addition there are a few other positions which by law are paid under the General Schedule but are excepted from the competitive service.

On November 17, 1966, under Executive Order 11315, which established the Executive Assignment System, three other types of appointments for executives were provided for.

- Career Executive Assignments (CEA)--positions in the career service filled through the competitive staffing process.
- Noncareer Executive Assignments (NEA)--positions involving advocacy of Administration programs and support of their controversial aspects or containing confidential assistance or political policy responsibilities not subject to the competitive staffing process; this replaced Schedule C for grades 16, 17, and 18.
- Limited Executive Assignments (LEA)--career type assignments for positions expected to be of a short-term duration or for urgent or unusual staffing needs.

Table 4 relates the 1971 position authority data from Table 2 to the appointing authority data from Table 3.

TABLE 4. POSITION AUTHORITIES BY APPOINTING AUTHORITIES

Appointing Authorities	Govt-Wide Quota	Non-Quota	Spec. Agency Quota	Hearing Exam.	Public Law	Total
<u>Career</u>						
CEA	1,745	1,808	440	249		4,242
LEA	52	19				71
Public Law					814	814
Sub-Total	1,797	1,827	440	249	814	5,127
<u>Noncareer</u>						
NEA	519	36	40			595
Schedule A	366	45	78			489
Schedule B	3	6	6			15
Public Law					430	430
Other	69	36	287			392
Sub-Total	957	123	411		430	1,921
<u>TOTAL</u>						
GS & PL	2,754	1,950	851	249	1,244	7,048

Civil Service Commission Responsibilities

The 1949 Classification Act further provided that only the Civil Service Commission could approve placing positions in grades GS-16 and 17; the Commission, in addition, could recommend that positions be placed in grade GS-18 but such recommendations had to be approved by the President. A 1955 amendment to the Act removed the need for Presidential approval. That amendment also assigned to the Commission the responsibility for approving the qualifications of individuals proposed for most supergrade positions, including positions exempted from competitive civil service requirements. The Commission still retains this classification and qualifications approval authority, but not for all positions. Again these variations complicate the role of the program manager as he makes appointments to his executive team.

Table 5 below shows the distribution of current supergrade and Public Law positions by position authority and Commission responsibility.

TABLE 5. U. S. CIVIL SERVICE COMMISSION RESPONSIBILITIES

Position Authority	C & Q <u>a/</u>	C Only	Q Only	Q & S	Subtotal	No Responsibility	Total
Govt-Wide Quota	2,754				2,754		2,754
Non-quota	1,950				1,950		1,950
Spec. Agency Quota	557	75	79		711	140	851
Hearing Examiner	249				249		249
Subtotal GS	5,510	75	79		5,664	140	5,804
P. L. 313 Type				814	814	430	1,244
TOTAL GS & PL	5,510	75	79	814	6,478	570	7,048

a/ C--classification; Q--qualifications approval; S--salary approval

Agency and Geographic Distribution

Although the supergrade and Public Law positions are located in practically every agency and in every state of the union, nearly three-fourths are in the Washington, D. C. metropolitan area and in sixteen of the larger departments and agencies. The next two tables show the distribution of these positions. Table 6 lists those agencies with more than 100 supergrade and Public Law positions subject to Commission purview. The only cabinet agency not listed is the State Department. State has 1,030 executive positions but 1,000 of these are in the Foreign Service and are not subject to Commission purview. Table 7 shows the geographical distribution of executive positions.

TABLE 6. AGENCIES WITH MORE THAN 100 EXECUTIVES

Agency	GS 16-18	Public Law	Total
Defense	1,138	533	1,671
(OSD)	(284)	(86)	(370)
(AF)	(190)	(140)	(330)
(Army)	(288)	(145)	(433)
(Navy)	(376)	(162)	(538)
NASA	312	437	749
HEW	413	163	576
Commerce	417	29	446
Transportation	396	21	417
Justice	348	-	348
Treasury	298	-	298
Agriculture	243	25	268
Interior	219	8	237
NLRB	<u>a/</u> 142	-	142
Labor	140	-	140
HUD	127	-	127
ICC	<u>b/</u> 119	-	119

a/ 86 are Hearing Examiners.

b/ 83 are Hearing Examiners.

TABLE 7. GEOGRAPHIC DISTRIBUTION OF EXECUTIVE POSITIONS
(As of January 1, 1971)

<u>Geographic Area</u>	<u>Percent of Executive Population</u>
Washington, D. C. Metropolitan Area	75
Field Total	25
Atlanta Region	6
Boston Region	2
Chicago Region	4
Dallas Region	2
Denver Region	1
New York Region	2
Philadelphia Region	3
Seattle Region	1
San Francisco Region	3
St. Louis Region	1

Distribution by Occupation and Function

There are a number of other ways to characterize executive positions. Two of particular interest are by occupational field and job function. The occupational field refers to the broad classification groupings under the General Schedule.

TABLE 8. DISTRIBUTION BY OCCUPATIONAL GROUPING

<u>Occupational Group</u>	<u>Percent of Population</u>
General Schedule Positions	
01 Social Science	4
02 Personnel	2
03 Administration	23
04 Biological Sciences	3
05 Fiscal	4
06 Health and Medicine	3
08 Engineering	11
09 Legal	13
10 Information and Arts	1
11 Business and Industry	2
13 Physical Sciences	13
15 Mathematics and Statistics	3
17 Education	1
21 Transportation	1
All Other Fields	4
Subtotal GS Positions	88
Public Law Positions (Almost all are scientific and engineering positions but are not further classified)	12
TOTAL	100

- The above "occupational" distribution is misleading in one sense. The Administration (03) occupation is shown to encompass 23% of the executives. This categorization is a result of the classification system more than any rational distinction between Administration and other occupations. First of all the 03 category is a very gross grouping of some diverse occupations such as computer people, management analysts, communication specialists, program managers, and general administration. Secondly, in the process of classification the 0301 (General Administration) and 0340 (Program Management) codes are frequently assigned to positions at the top of divisions, or branches, or other groups in which most of the people have some other occupational code. So, while the position is classified in the 0300 series, in fact the incumbent is also, and probably predominately, a professional or other occupational member. The result is probably an overstatement of the number of executives whose training, experience, and performance requirements are limited to general administration.

- Not generally recognized, but shown clearly by the above data, is the fact that 60% of the executives are in the professional fields of--physical science, medical and biological science, engineering, mathematics and statistics, law, education, or social science.

It should not be concluded that there are many "non-managers" at these levels. Many public administrators feel that personnel programs for executives have in the past erroneously included a large number of people who are not really executives, since they neither manage large staffs nor are responsible for determining the direction of major Government programs. The belief is that there are a large number of individual workers and others who supervise small teams (particularly scientists and engineers) and who have jobs and personnel needs so different that they should be excluded from the personnel program for true executives. The bench scientist is a typical example of a highly paid non-executive who does not have line authority over large programs or numbers of people. The high salary of such an official is felt to be almost solely a function of personal qualifications and labor market economics.

The assumption that not all Government executives are truly executives has been tested by soliciting the views of people who hold supergrade and equivalent positions. The executive inventory record which provides information on how top-level staff categorize themselves, was used to determine whether they feel the paramount role of their job is that of a manager, supervisor, or individual worker.

Because it is frequently assumed that there are an especially large number of individual workers among scientific and engineering types, they have been separated from the others in the table below:

TABLE 9. FUNCTIONAL CLASSIFICATION OF SUPERGRADES

	Scientists ^{a/}		Non-Scientists		Total
	%↓	%→	%↓	%→	
Managers	77	38	85	62	82
Supervisors	19	53	11	47	14
Individual Workers	4	42	4	58	4
Total	100	40	100	60	100

^{a/} Consisting of individuals in the following occupational categories:
Physical, biological and medical sciences, mathematics, and engineering.

The proportion of individual workers among supergrades and equivalents is small, 4%, and the difference between scientist and non-scientist in this respect is negligible; in fact 58% of the individual workers are non-scientists--contrary to popular opinion. Most important, though, is that a very large proportion of individuals in both groups consider themselves primarily managers.

Public Issue Involvement

Another pertinent concern is the evolving role of the noncareer executive. It has long been recognized that the very nature of our Government requires that each Administration have the opportunity to appoint some executives without regard to merit processes who do not acquire career status. Prior to 1967 such appointments were made under Schedule C based on the following criteria: positions of a confidential or policy-determining character.

In 1967 when the provisions of Executive Order 11315 became effective, the use of Schedule C for executives was discontinued and replaced by NEA--Noncareer Executive Assignment--positions. The criteria were also revised as follows. NEA positions are ones whose incumbents will:

- (1) Be deeply involved in the advocacy of Administration programs and support of their controversial aspects;
- (2) Participate significantly in the determination of major political policies of the Administration; or
- (3) Serve principally as personal assistant or advisor of a Presidential appointee or other key political figure.

However, the roles of Government are growing and changing and the relationship of the governed to the Government employee is changing. Government is playing a larger role in the lives of citizens and has greater influences on day to day life--population control, pollution, schooling, etc. Citizens are more aware of the role of Government and become involved in a variety of efforts to influence Government. Thus, more and more programs deal with sensitive public issues which in turn are becoming increasingly controversial. New Administrations and new and old administrators are faced with growing advocacy roles in controversial programs. It is becoming clear that not many executive jobs are exclusively administrative or exclusively policy, but rather most are somewhat in between, combining both.

In an attempt to identify the involvement of current executives in jobs which deal with sensitive public issues, a study was conducted by the Civil Service Commission which categorized present executive positions using the following definitions. Table 10 shows the results of that study.

Public Issue Involvement - Involvement in sensitive public issues with a need to carry out duties in accordance with the program philosophy of top agency management. While this is a somewhat broader definition than the one presently applied to NEA and should be clearly differentiated from the latter, its use in the study made it possible to indicate why there is a growing concern over the inadequacy of present appointment authorities.

No Involvement in Public Issues - Involvement with a program of a non-sensitive nature at a level where sensitivity to public issues is not essential. Positions concerned exclusively with internal management of an agency were included here, as were scientists who were concerned with "neutral" types of program activity.

TABLE 10. PUBLIC ISSUE INVOLVEMENT OF SCIENTIFIC AND OTHER TOP LEVEL POSITIONS

	Public Issue Involvement	No Public Issue Involvement	Total
	<u>Percent</u>	<u>Percent</u>	<u>Percent</u>
Scientific and technical positions	37	63	100
Other top-level positions	49	51	100
Total Positions	43	57	100

Note that even in the scientific-type positions, over one-third are involved in "public issue" activities. This compares with almost one-half of the non-scientists.

II. EXECUTIVE ABC'S - ATTITUDES, BACKGROUND, CHARACTERISTICS

Since the executives covered by this report represent a major portion of the executive branch's leadership structure, it is natural that the characteristics of this group continue to be of great interest.

A composite picture of today's Federal executive is a career appointee who is male, 53 years old, and has 26 years of service. He entered the Federal service at grade 5 and received his first supergrade appointment at age 45. He holds a Bachelor's degree which he obtained prior to his entry into the service and has acquired some further education during his employment. He has worked in one or possibly two agencies but has made no move since reaching grade 13. Finally, he will be eligible for retirement in four years.

This thumbnail sketch drawn from the mean and median characteristics reflected in the executive inventory records presents only a limited, static, and often misleading view of the executive. There is no typical or composite executive and therefore it is usually a mistake to generalize about him. He differs in characteristics depending upon when he came into Government service, whether he is a career or noncareer appointee, and according to occupational group. The characteristic data are grouped, therefore, in the following ways: career/noncareer,^{1/} scientists/non-scientists,^{2/} and entry generation. In addition, since the majority of career executives are promoted up through the ranks, the characteristics of the feeder group of GS-15's and equivalent are included for comparison and as an indicator of possible future trends.

Basic Characteristics: Age, Sex, Length of Service, Minority Status, Retirement Eligibility

The first set of Tables (11a, b, c, d, e) shows the distribution for the executive and feeder groups.^{3/} The second set of Tables (12a, b, c) compares the distributions between the executive scientist (physical, biological, health and medicine, mathematics and statistics, and engineering fields) and non-scientist. This comparison is particularly meaningful because this group accounts for about 40% of the executives in the inventory. The last set of Tables (13a, b, c) compares the characteristics of career, Schedules A and B, and noncareer executives.

^{1/} Career for this chapter includes CEA, LEA, and PL's as described on pages 4, 5, and 6. Noncareer for this chapter is broken into two groups: 1) Schedules A and B; and 2) Noncareer which includes only Noncareer Executive Assignees (NEA) as described on page 6.

^{2/} Scientists and non-scientists for this chapter include all supergrades and all Public Law appointees.

^{3/} The data are from the inventory records of 8,000 current executives and 27,000 current employees in the feeder group.

TABLES 11a, b, c, d, and e. BASIC CHARACTERISTICS OF THE EXECUTIVE AND FEEDER GROUP POPULATIONS

TABLE 11a. AGE



TABLE 11b. SEX

	Executives	Feeder Groups
Male:	98.9%	97.5%
Female:	1.1%	2.5%

TABLE 11c. LENGTH OF SERVICE

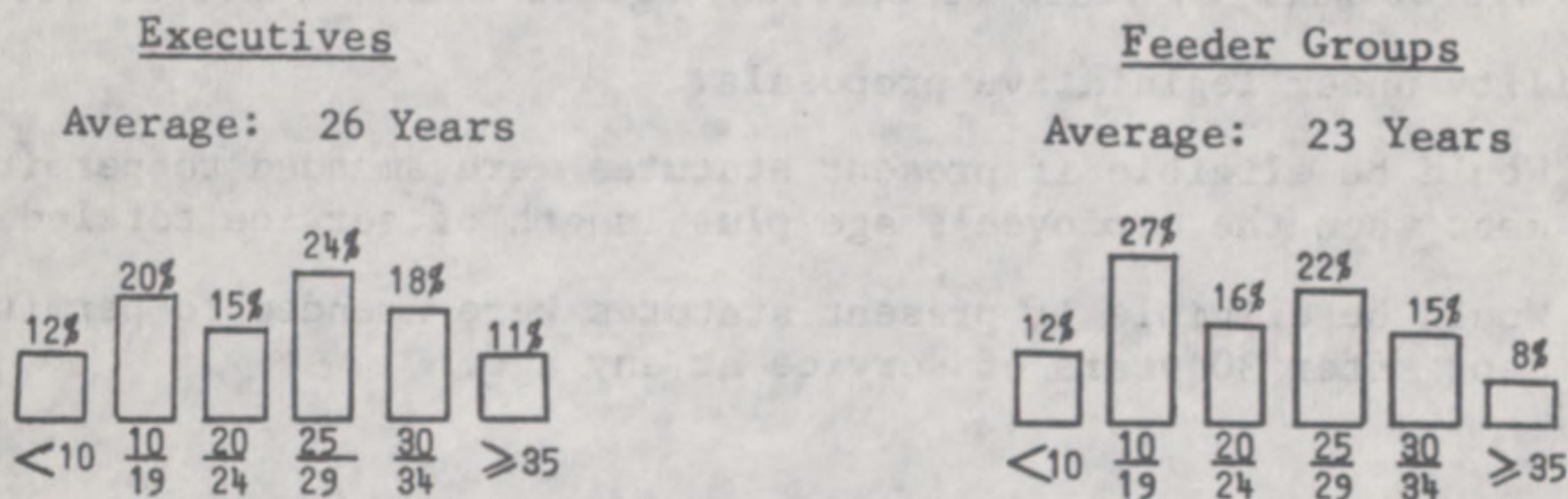
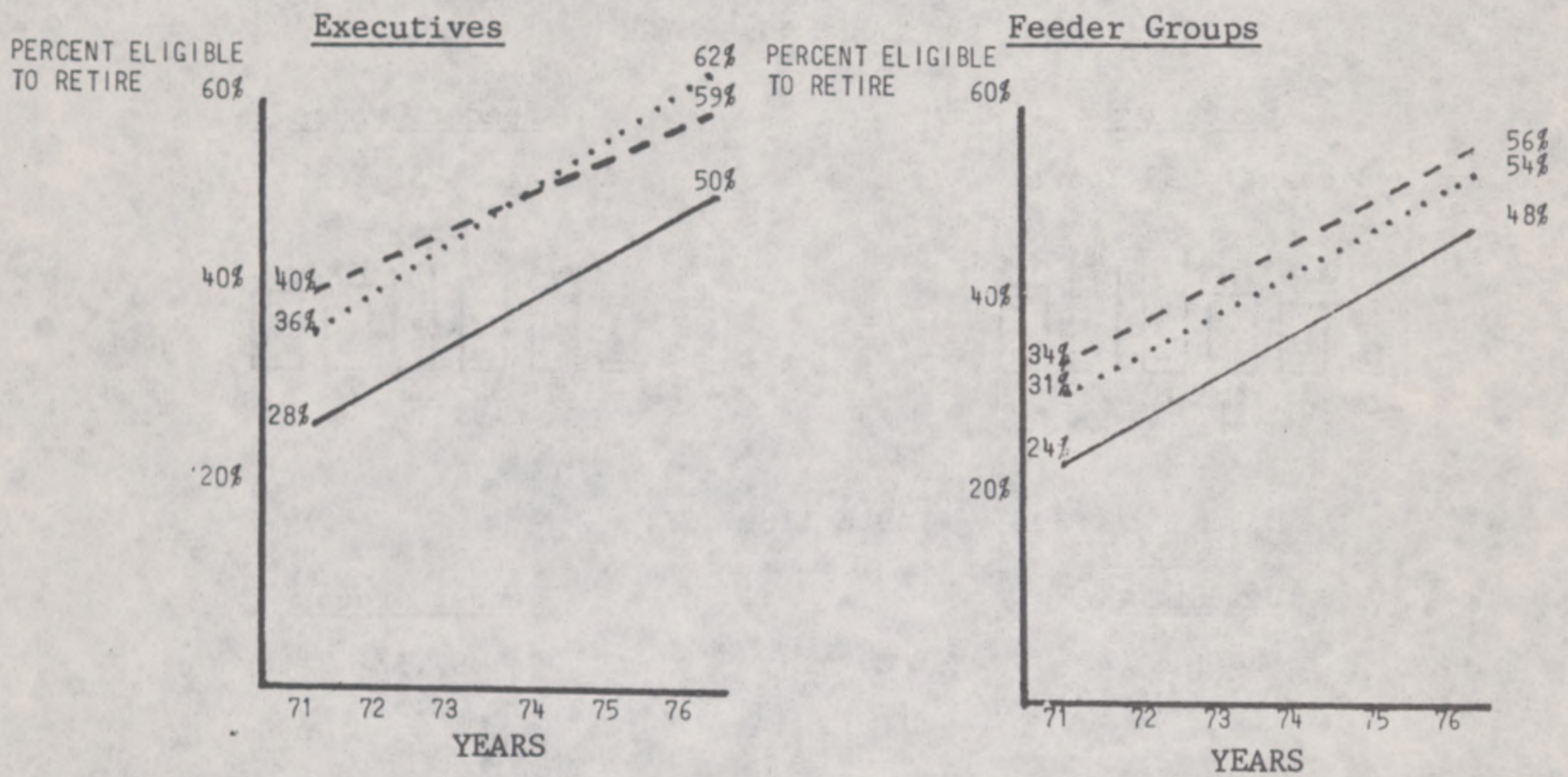


TABLE 11d. MINORITY GROUP EMPLOYMENT a/

	Executives	Feeder Groups
Minority Group Employees:	2.7%	3.6%
Other Employees:	97.3%	96.4%

a/ These data come from the results of a survey of Minority Group Employment in the Federal Government as of May 31, 1971, which were recently released by the Civil Service Commission. Minority group employees are defined as Negroes, Spanish surnameds, American Indians, and Orientals. Information on minority group membership is not included in the Executive Inventory. Thus, reporting in this area is limited to the executive and feeder group populations.

TABLE 11e. RETIREMENT ELIGIBILITY (FIVE YEAR PROJECTION)



— Eligible under present statutes (age 55 with 30 years of service; age 60 with 20 years of service; age 62 with 5 years of service).

Eligibility under legislative proposals:

- Would be eligible if present statutes were amended to permit retirement when the employee's age plus length of service totaled 80.
- Would be eligible if present statutes were amended to permit retirement after 30 years of service at any age.

TABLES 12a, b, AND c. BASIC CHARACTERISTICS OF THE EXECUTIVE POPULATION DISTRIBUTED BY OCCUPATIONAL GROUP

TABLE 12a. AGE

<u>Scientists</u>	<u>Non-Scientists</u>
Average: 52 Years	Average: 53 Years

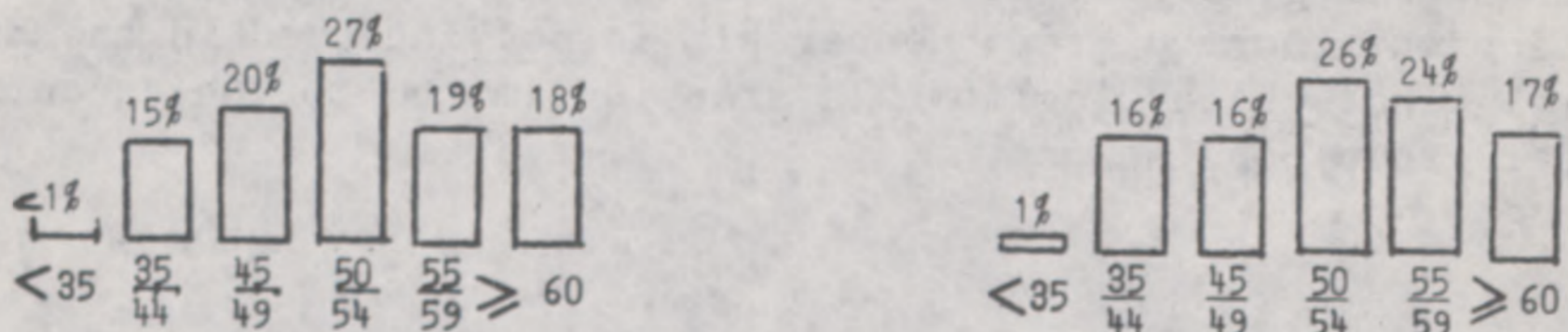


TABLE 12b. LENGTH OF SERVICE

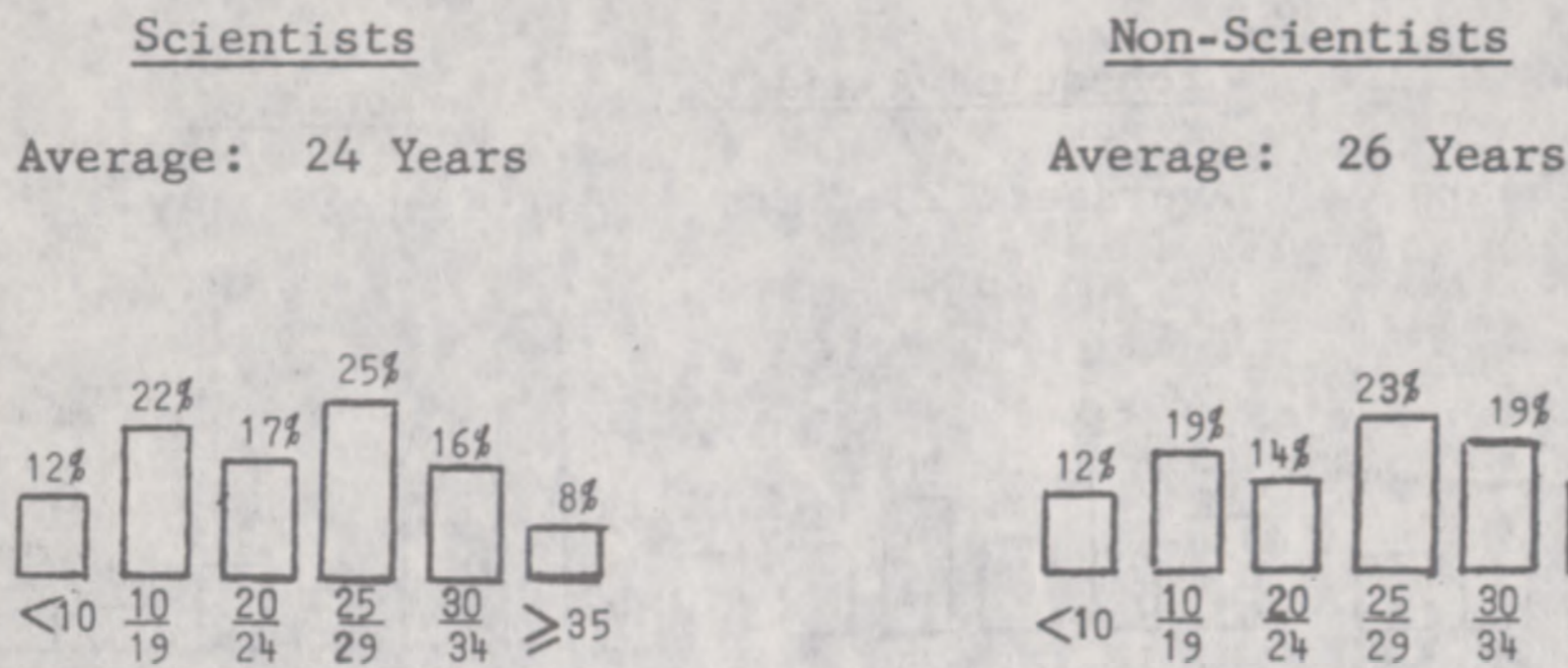


TABLE 12c. RETIREMENT ELIGIBILITY

	<u>Scientists</u>	<u>Non-Scientists</u>
1971	25%	29%
1976	53%	58%
(cumulative)		

TABLES 13a, b, AND c. BASIC CHARACTERISTICS OF THE EXECUTIVE POPULATION BY TYPE OF APPOINTMENT

TABLE 13a. AGE

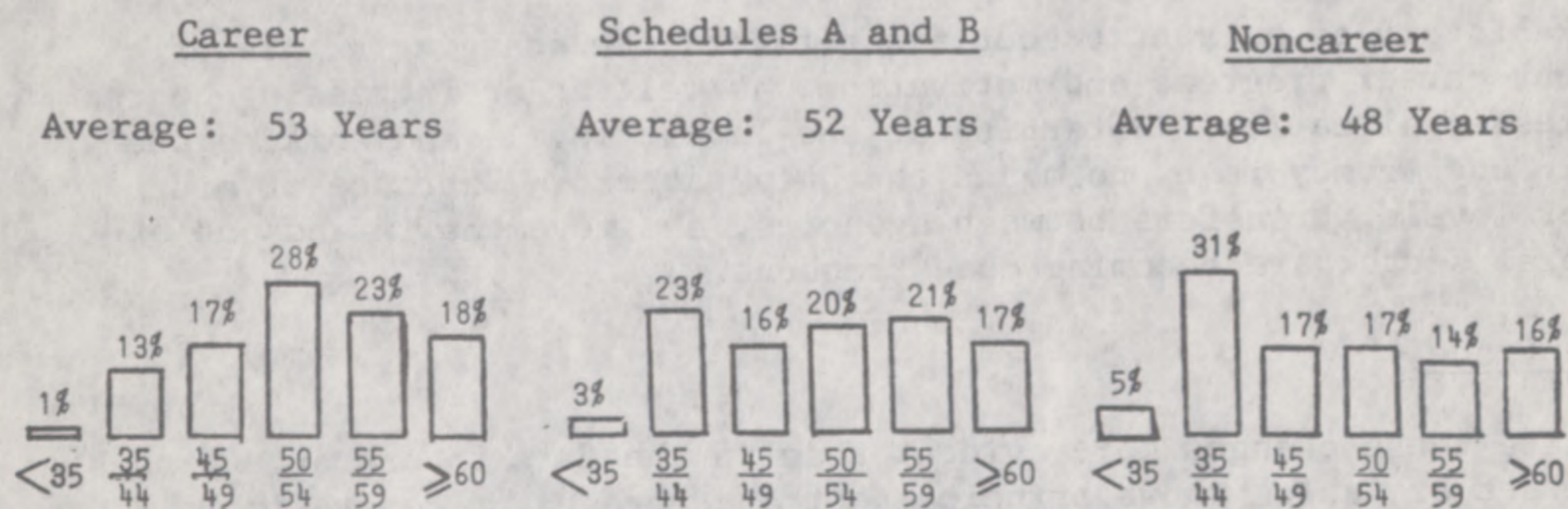


TABLE 13b. LENGTH OF SERVICE

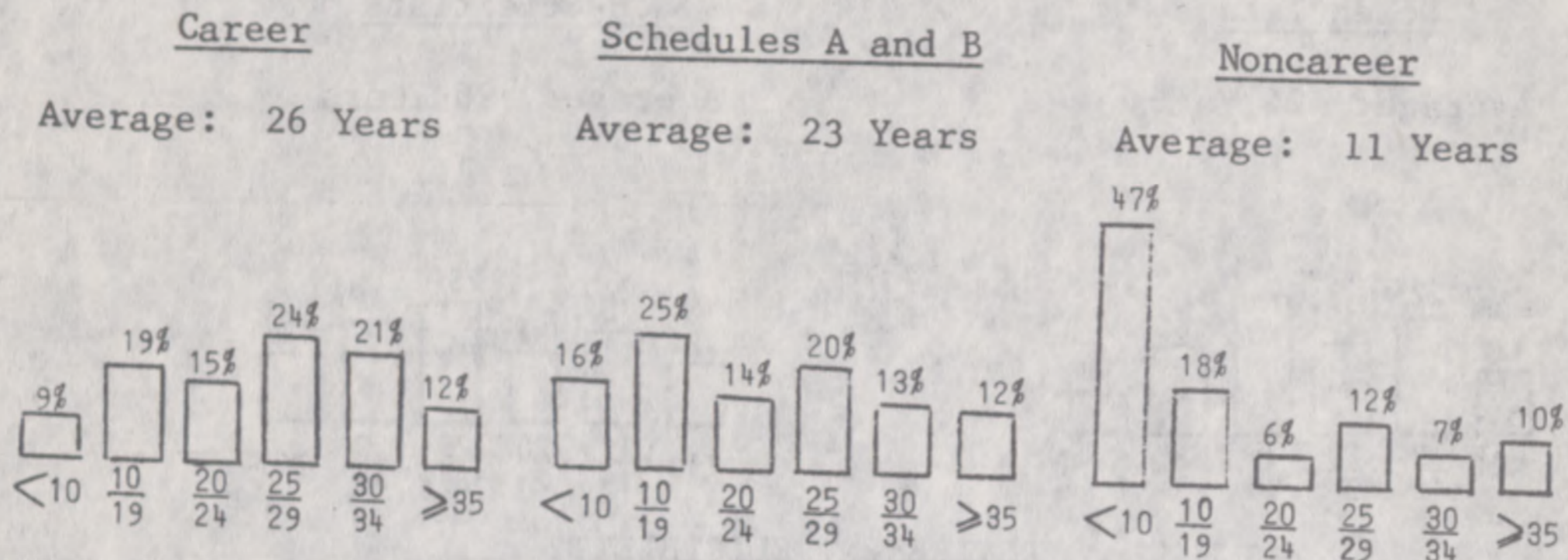


TABLE 13c. RETIREMENT ELIGIBILITY

	Career	Schedules A and B	Noncareer
1971	29%	27%	19%
1976	60%	48%	35%
(cumulative)			

Career History: Entrance Grade, Means of Entry, Reasons for Entry, Age at Appointment to First Executive Position

The work history of current executives reflects the changing nature of Government career progress and motivation, as well as an increasing degree of "professionalization." Starting at the lowest levels and working one's way up in one agency is by no means the only pattern. Entrance at mid and upper levels, transfers between agencies, and movement in and out of the Federal sector are becoming more frequent.

Entrance Grade

Nowhere are these changes more evident than in the data on entrance grades. The next set of tables shows principal entrance grades by generation. Four populations are presented to highlight the variations due to occupation and type of appointment. They are: executives, scientific executives, noncareer executives, and the feeder group. In addition, the first table shows the intake by generation for each of the four populations.

14a. INTAKE BY GENERATION

Generation	Population			
	All Executives	Scientific Executives	Non-Career Executives	Feeder Group
Pre World War II	28%	23%	14%	22%
1942 - 1945	11%	11%	7%	9%
1946 - 1952	29%	32%	12%	31%
1953 - 1960	14%	16%	10%	20%
Since 1961	18%	18%	57%	18%
	100%	100%	100%	100%

14b. EXECUTIVES

Generation ^{a/}	Entrance Grade					Total
	<5	5-8	9-12	13-15	≥16	
Pre World War II	47%	43%	9%	1%	--	100%
1942 - 1945	16%	52%	28%	4%	--	100%
1946 - 1952	7%	44%	36%	13%	# b/	100%
1953 - 1960	2%	23%	34%	37%	4%	100%

14c. SCIENTIFIC EXECUTIVES

Generation ^{a/}	Entrance Grade					Total
	<5	5-8	9-12	13-15	≥16	
Pre World War II	33%	56%	10%	1%	--	100%
1942 - 1945	11%	64%	21%	4%	--	100%
1946 - 1952	3%	39%	40%	18%	# b/	100%
1953 - 1960	1%	9%	36%	50%	4%	100%

14d. NONCAREER EXECUTIVES

Generation ^{a/}	Entrance Grade					Total
	<5	5-8	9-12	13-15	≥16	
Pre World War II	33%	54%	13%	--	--	100%
1942 - 1945	4%	48%	39%	9%	--	100%
1946 - 1952	13%	45%	34%	3%	5%	100%
1953 - 1960	--	18%	27%	49%	6%	100%

14e. FEEDER GROUP

Generation <u>a/</u>	Entrance Grade				Total
	<5	5-8	9-12	13-15	
Pre World War II	52%	41%	6%	1%	100%
1942 - 1945	27%	51%	20%	2%	100%
1946 - 1952	10%	49%	32%	9%	100%
1953 - 1960	3%	41%	38%	28%	100%

a/ Practically all of the current executives who entered during the sixties came in at the senior or executive levels. However, since the "average" executive spends 16 years in grades 11 through 15, those who entered at grades 12 or below during the past decade have not had sufficient time in which to rise to the executive level. For this reason, data on the distribution of the last decade group were not included in these tables.

b/ Less than 1%.

Overall, 17% of the executives in the inventory entered the service below grade 5. However, closer inspection shows that more than three-fourths of those "grade 5 entrants" entered before World War II. Those who entered during the next decade generally did so at the beginning (5/7) or middle (9/12) professional, technical or administrative levels.

Another item of note is that more than half of the executives entered either during the thirties or during the post war period of 1946-1952. Only 11% entered during World War II despite overall expansion of the Federal work force during the war. Even after adjusting for the differences in the time periods, we find that the war years are under-represented. One possible explanation for the small yield of executives is that the bulk of the population which normally would have entered the Federal service during that period were in the armed forces and recruiting had to be focused on short-term and older workers.

Means of Entry

There does not seem to be any magic door for entry into the Federal service that then leads to executive status. Most, that is 76% (excluding members of the Foreign Service and the Department of Medicine and Surgery personnel) were appointed through competitive examination. In addition, more than

two-thirds of those now in noncareer positions originally entered through competitive examination. The entry examinations range from the lower level clerical positions (under GS-5) commonplace for those who entered during the pre-World War II period, through the Senior Level or the Federal Administrative and Management Examinations (GS-13 through 15). The popular recruiting vehicles at the college graduate levels (GS-5 and 7) are the Junior Scientist and Engineer, the Federal Service Entrance Examination (FSEE) and its predecessor the Junior Professional Assistant, and the intern examinations--Junior Management Assistant and the later Management Intern (MI).

The FSEE, the MI, and their predecessor examinations were the chosen route for 10% of the current executives. Since these examining programs were not launched until 1948, very few executives now over age 50 would have had the opportunity to enter via this route.

Reasons for Entering Service

Why do executives enter the service? Is it the lure of being part of the big decisions or is it the offer of comparative security? Each individual who completes an Inventory Form is asked to indicate which of nine statements best describes his reason for initially entering the Federal service. The choices are:

1. Someone in my family worked for the Government and I followed in his footsteps.
2. The idea of working where the important decisions of the day were made appealed to me.
3. It was the best offer I had in terms of location, pay, advancement, and benefits.
4. I was offered an interesting, challenging assignment.
5. I was motivated toward public service.
6. I felt I could be useful in an emergency situation or in accomplishing a specific mission.
7. I wanted to obtain expertise in Federal procedures for use after leaving Government.
8. It offered the best opportunity for pursuing my chosen occupational field.
9. Other.

The next two tables show the principal motivating factors of the executive and feeder group populations. Table 15a shows the distribution by level and age; Table 15b by occupation and type of appointment.

TABLE 15a. PRINCIPAL REASONS FOR ENTERING THE FEDERAL SERVICE
BY LEVEL AND AGE

Motivating Factors	Executives			Feeder Group		
	Total	Age 50 or Older	Under 50	Total	Age 50 or Older	Under 50
4. Challenging Assignments	29%	26%	35%	25%	19%	33%
8. Chosen Occupation	25%	26%	24%	32%	31%	32%
3. Best Offer	14%	16%	8%	18%	21%	16%
5. Public Service	12%	11%	13%	8%	9%	8%
All Others	20%	21%	20%	17%	20%	11%

TABLE 15b. PRINCIPAL REASONS FOR ENTERING THE FEDERAL SERVICE
BY OCCUPATION AND TYPE OF APPOINTMENT

Motivating Factors	Occupation		Type of Appointment		
	Scientists	Non-Scientists	Career	Schedule A/B	Noncareer
4. Challenging Assignments	35%	26%	28%	25%	33%
8. Chosen Occupation	34%	20%	27%	22%	16%
3. Best Offer	11%	15%	16%	13%	10%
5. Public Service	3%	17%	10%	16%	17%
All Others	17%	22%	19%	24%	24%

A review of the responses shows that at the time of entry into the service, the most important motivations among the executives and the feeder group were challenging assignments and good opportunities for pursuing a chosen occupation. This is particularly true of those in the scientific occupations. Nearly 70% of the executive scientists cite one of these factors as a prime reason for their entering the Federal service. On the other hand, only 3% of this group report motivation for public service as the reason. This is in sharp contrast to the non-scientific group where one out of six reports the last as the principal attraction. Furthermore, public service is a greater motivating factor among the noncareer executives than the career. As one might expect, the motivation for seeking Federal employment varies with generation. The under 50 group more frequently cite challenging assignments and less frequently cite best offer as the principal factor than do their counterparts over 50.

Age at Appointment to First Executive Position

Another indicator of changing career patterns is the age at which executives were first appointed or promoted to a "supergrade" or public law position. The next set of tables compares the data for various sub-populations of the executive group.

TABLE 16a. AGE AT APPOINTMENT TO FIRST EXECUTIVE POSITION BY OCCUPATION

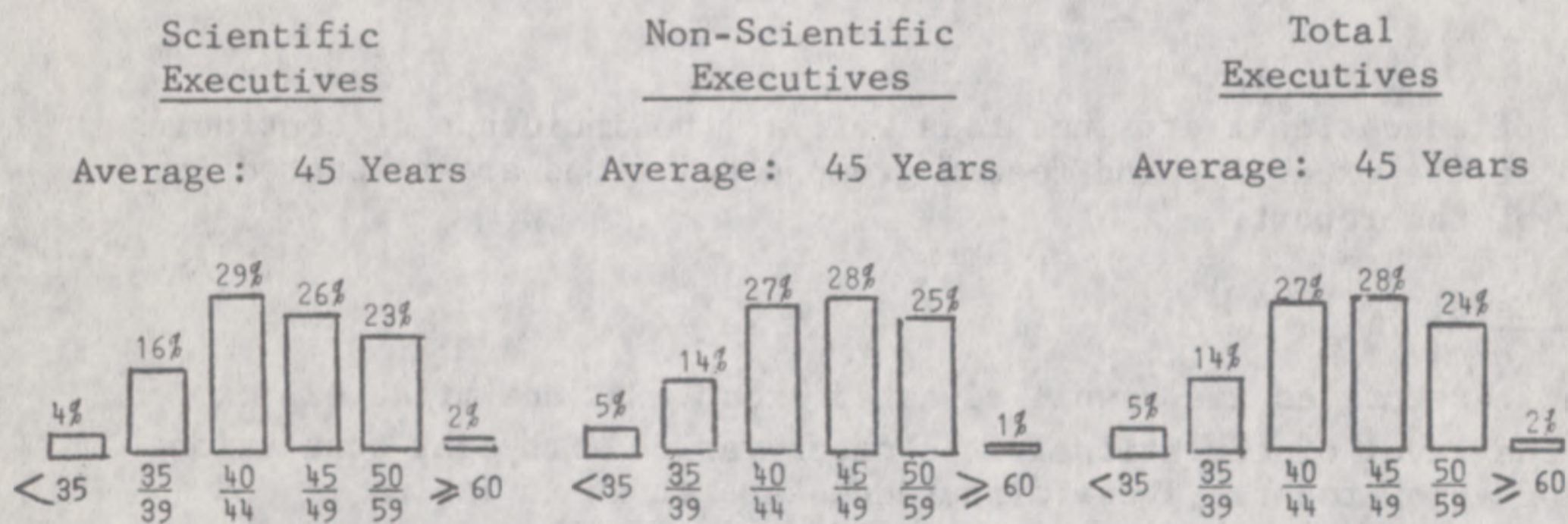
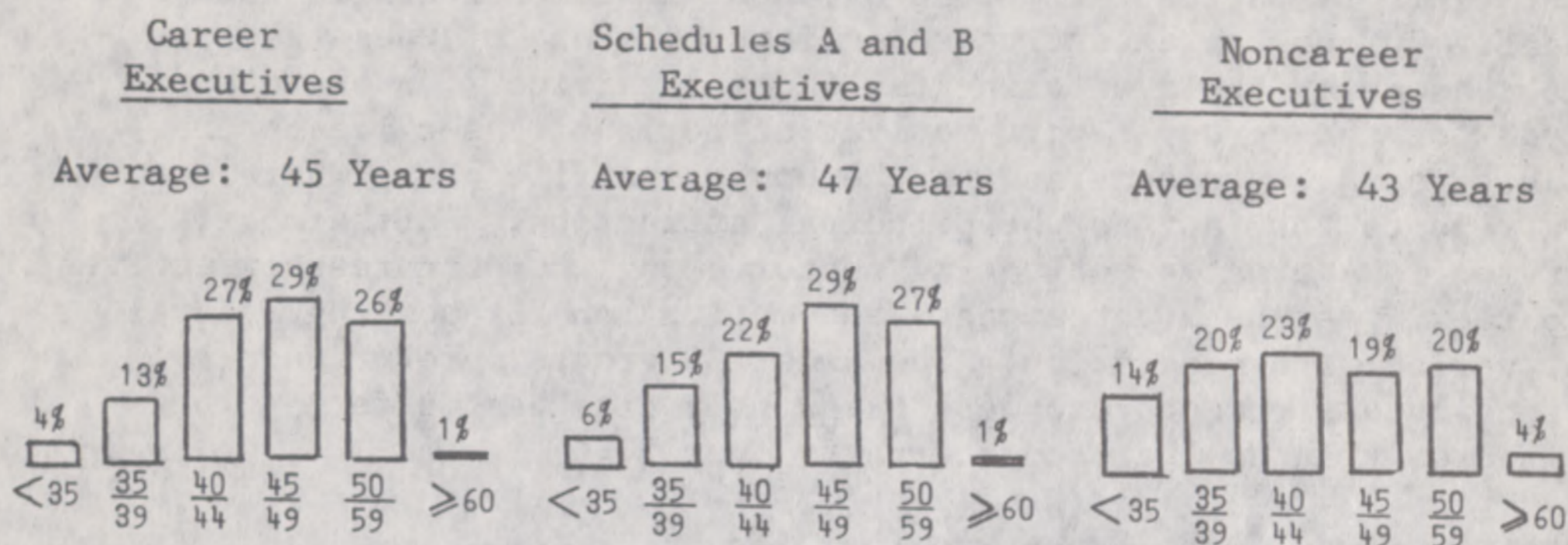


TABLE 16b. AGE AT APPOINTMENT TO FIRST EXECUTIVE POSITION
BY TYPE OF APPOINTMENT



It can be seen from these tables that with respect to age at appointment to an executive position, there are no significant differences between the scientific and non-scientific groups. There are, however, sharp differences between the career and noncareer executives. Those in the latter group are more apt to be under 40 at the time of executive appointment.

Education

The level of educational attainment as well as the incidence of continuing education of the executive and feeder group populations are presented in this part of the report.

Education Level

In general, executives are a well educated group. As one might expect, however, the level of educational attainment varies with age, occupation and type of appointment. These differences are shown in Tables 17 and 18. Table 19 shows the effect of age differences on the educational attainment of the feeder group.

TABLE 17a. EDUCATION LEVEL OF EXECUTIVES UNDER AGE 50 BY TYPE OF APPOINTMENT

	<u>Schedules A and B</u>	<u>Noncareer</u>	<u>Career</u>	<u>All Executives</u>
Less than Bachelors	1%	8%	3%	3%
Bachelors Degree	11%	26%	32%	30%
Masters Degree or Better	88%	66%	65%	67%

TABLE 17b. EDUCATION LEVEL OF EXECUTIVES AGE 50 OR OLDER BY TYPE OF APPOINTMENT

	<u>Schedules A and B</u>	<u>Noncareer</u>	<u>Career</u>	<u>All Executives</u>
Less than Bachelors	8%	11%	13%	12%
Bachelors Degree	20%	28%	36%	34%
Masters Degree or Better	72%	61%	51%	54%

TABLE 18. EDUCATION LEVEL OF EXECUTIVES BY AGE AND OCCUPATION

	<u>Under Age 50</u>		<u>Age 50 or Older</u>	
	<u>Scientists</u>	<u>Non-Scientists</u>	<u>Scientists</u>	<u>Non-Scientists</u>
Less than Bachelors	1%	5%	3%	17%
Bachelors Degree	30%	30%	35%	33%
Masters Degree or Better	69%	65%	62%	50%

TABLE 19. EDUCATION LEVEL OF THE FEEDER GROUP BY AGE

	<u>Under Age 50</u>	<u>Age 50 or Older</u>
Less than Bachelors	7%	18%
Bachelors Degree	37%	33%
Masters Degree or Better	56%	49%

As expected, the factor having the greatest effect on educational attainment is age. For all populations studied, the under 50 group shows a higher percentage of multiple degree holders and a lower percentage of no degree holders than does the age 50 and older group.

Overall, 91% of the executive group have a Bachelors Degree or better. Eight out of nine who do not have the first degree are in the over 50 group. Moreover, 58% of the executives have advanced degrees with 21% reporting doctorates.

The feeder group shows a lower level of educational attainment. Overall, only 86% of this group have a Bachelors Degree or better. Eight out of ten who do not have the first degree are in the over 50 group. Nearly 52% have advanced degrees with 25% reporting doctorates.

Executive scientists show a higher level of educational attainment than do non-scientists. More than 64% of the scientists have advanced degrees with 42% reporting doctorates. In comparison, only 55% of the non-scientists have advanced degrees with only 14% reporting doctorates.

As a group, Schedule A and B appointees show a larger number of advanced degrees than either the noncareer or the career executive groups. Since legal positions are included under Schedule A, it is not surprising that 78% of this group show multiple degrees. Only 11% of this group, however, report having a doctorate. This is comparable to the percentage of non-career executives reporting doctorates but significantly lower than the 26% of career executives who have doctorates.

Educational Attainment During Employment

TABLE 20. EDUCATIONAL ATTAINMENT AFTER ENTERING GOVERNMENT SERVICE

	Completed Bachelors Degree	Completed Some Post Graduate Work	Received Graduate Degree(s) <u>a/</u>
All Executives	4%	31%	17%
Scientists	1%	42%	20%
Non-scientists	4%	27%	16%
Career	3%	37%	20%
Schedules A and B	3%	20%	14%
Noncareer	2%	14%	9%
Feeder Group	4%	32%	14%

a/ Also included in preceding column.

The above data show that more than one-third of the executive and feeder groups have completed significant amounts of education since entering the Federal service.

Career Patterns and Mobility

Thus far, the report has described the characteristics of the executive population grouped according to age, occupation and type of appointment. In this section the focus is shifted and the careers of executives are viewed in terms of what is known about career patterns and mobility. Two studies are reported on. These studies take varying looks at the executive population. They are preliminary efforts and point the way for future research in these areas. Since the studies were done separately, the findings cannot be combined. The apparent overlap results from the perspective taken in each study. Further exploration should result in discovering the underlying common elements.

Career Patterns

In a study of the movement of executives into and out of the Federal service three career patterns typical of large numbers of executives emerged. It was found that the population could be divided into these types, or career patterns:

- The full careerist. This is the executive who either has had no working experience outside the Federal service or who worked in the private sector only in a junior capacity. Three-fifths of executives fit this pattern.
- The in-and-outer. As the label implies, this is the executive who has interrupted his Federal employment one or more times to pursue a career in business, education, or state or local governments. One out of five executives fall in this category.
- The high level entrant. This is the executive who first entered the Federal service at a senior level (GS-13 or equivalent and above) and has since remained in the Federal service. One-fifth of the executives studied had this type career.

While there are many characteristics common to these three career patterns, there are noted differences between them. These are shown in Table 21.

TABLE 21. CHARACTERISTICS OF THREE TYPICAL EXECUTIVE CAREER PATTERNS

<u>Characteristics</u>	<u>Career Patterns</u>		
	<u>Full Career</u>	<u>In-and-Outers</u>	<u>High Level Entrants</u>
	Entered at a low grade level and remained.	Entered at various grade levels but left and returned one or more times.	Entered at GS-13 and above and never left.
Percent of Population in Pattern.	60	20	20
Agencies in Which Larger Numbers than Average are Found	Agriculture, Justice, Labor, GSA, Post Office, Treasury, regulatory agencies.	Labor, HUD, State, Interior, regulatory agencies	AEC, HEW, VA, Army, DOD
Median Level of Education	Bachelors degree	Bachelors and one graduate degree	Graduate work beyond the Masters (or equivalent) degree. More likely to have a Doctoral degree.
Years of Federal Service	Most	-	Least
No. of Agencies Employed in During Federal Career			
1 Agency	44%	24%	76%
2-3 Agencies	37%	55%	18%
4 or more Agencies	19%	21%	6%
No. of Agencies Employed in at Grades GS-13 and above			
1	62%	50%	76%
2 or more	38%	50%	24%
Percent Who Changed Jobs 1 or More Times in Last 5 Years	54	65	66
Professional Activities	Least	-	Most
Publications	Least	-	Most

Mobility Patterns

As with movement in and out of the Federal service, mobility within the Federal service can be looked at. In a study of mobility of executives among agencies it was found that almost 80% fell into one of two patterns. There are the:

- Non-mobiles. This group includes over three-fifths of all executives. They have remained in the same agency since reaching grade GS-13 or equivalent.
- Generalists. A small number of executives (17%) can be considered as mobile generalists; that is, they have held positions of substantial responsibility in three or more different Federal agencies.

The characteristics on which these two groups differ is shown in Table 22.

TABLE 22. CHARACTERISTICS OF GENERALIST AND NON-MOBILE EXECUTIVES

<u>Characteristic</u>	<u>Generalist</u>	<u>Non-Mobile</u>
	Worked in three or more agencies at GS-13 and above.	Worked in same agency from GS-13.
Percent in Population	17	62
Pay Systems	Most likely to be under the General Schedule.	-
Agencies in Which Larger Numbers than Average are Found	OSD, GSA, HUD, Labor, State, and DOT.	Agriculture, Air Force, Army, Commerce, HEW, Interior, Justice, Navy, Treasury, VA, and the regulatory agencies.
Median Level of Education	Bachelors and one graduate degree.	Bachelors degree and some graduate work.
Present Job Function	Tend to be management support or staff planning function.	Tend to be program managers.
Present Occupation	More often in general administration and social science.	More often in science and engineering.
Grade of Entry into the Federal Service	Most often at mid-career levels (GS-12 to 14 or equivalent).	Most often at lower levels (below GS-11 or equivalent).
No. of Agencies Employed in During Federal Career		
1 Agency	-	73%
2-3 Agencies	44%	24%
4 or More Agencies	56%	3%
No. of Times Left Government		
0	70%	86%
1 or more	30%	14%
No. of Times Changed Jobs In Last 5 Years		
0	32%	45%
1	37%	31%
2 or more	31%	24%

<u>Characteristics</u>	<u>Generalist</u>	<u>Non-Mobile</u>
Work Experience	<p>Worked in three or more agencies at GS-13 and above.</p> <p>More often:</p> <ul style="list-style-type: none"> Owned own business or practice Dealt with the legislature Managed a grant-in-aid Dealt with state and local governments Dealt with foreign representatives Dealt with industry Established a new program Managed a geographically dispersed program 	<p>Worked in same agency from GS-13.</p> <p>Less likely:</p> <ul style="list-style-type: none"> Had significant civilian employment overseas Had responsibility for establishing a new program

III. STAFFING: MATCHING THE EXECUTIVE AND THE STRUCTURE

The payoff for an executive manpower program is having the right man, with the right skills, in the right job, at the right time, motivated to do the job. A critical point for accomplishing this is the process of matching individuals and jobs.

There is bound to be considerable controversy over how this is accomplished since there are divergent perspectives over what is important.

- Program managers do not wish to be circumscribed in their freedom to appoint whom they want. On the other hand, there is general agreement that consideration for such important jobs should be as broad and comprehensive as possible.
- Reformers have frequently pleaded for appointment of broad generalists--but program managers seek experts.
- Individuals frequently feel there are not adequate systems to allow them to be considered for promotions or broader appointments.

In general, there is a lack of understanding of the actual dynamics surrounding the executive appointment process. This chapter tries to answer such questions as: What is the nature and frequency of demand for executives? How do executive positions get filled, and by whom?

Referral Process

There are three sources of candidates available to an agency with an executive position to fill: the agency's own employees, employees of other Federal agencies, and persons outside the Government. Agency internal programs or the search and referral process using the Executive Inventory are used to identify qualified candidates in the first two categories. Candidates from outside the Government are located by an Agency Executive Assignment Board.

The search and referral process is a joint effort between the agency and the Commission. An agency representative who is familiar with the demands of the position to be filled as well as with the special needs of the agency develops the data necessary for the Commission to establish the official qualifications standard. Using this standard, Commission and agency personnel begin their search of the inventory. The first stage involves screening the entire inventory by computer for those with experience in pertinent occupational areas. Following this, the team reviews the full inventory record for those identified as potential candidates. During the third stage, the team obtains evaluations of those who appear to be the most qualified for the position to be filled. The Commission approves the qualifications of the candidates who best meet the standard and refers them to the agency.

These candidates are considered by the agency along with those who have been identified through an agency program or by an Executive Assignment Board. If the agency selects a Commission referral, no further Commission action is required before the appointment or promotion can be processed. If, however, the agency selects a candidate from outside the Government or one whose name did not appear on the referral list, then the candidate's qualifications must be approved by the Commission before the action can be effected.

Earlier this year the Commission modernized the mandatory across-the-board requirement for search of the Executive Inventory in filling all career positions. It invited agencies to determine in advance when the search procedure would be useful and when because of the circumstances, such as, when the agency has a preponderance of potential candidates in the occupational area, or when the agency has a well-established executive development plan, it should be waived.

The search process is not generally used when filling noncareer positions. Agencies may, if they wish, use the inventory. In all cases, however, the Commission must approve the qualifications of the candidate selected.

Executive Vacancies

This investigation on how positions are filled starts with an analysis of why the positions became vacant in the first place. Executive vacancies result from two causes: increases in the number of positions and attrition. While it is true that the number of executive positions authorized has increased over the years, growth alone accounts for only a small part of the placement actions. It can be seen from the data on growth of authorities in Table 2 that over the last five years there has been an average annual growth of only 2.5%. It is apparent then that most of the placement actions are caused by attrition (retirements, resignations) and internal movement (transfer, promotion, reassignment). Accordingly, an analysis was made of the reasons why executive positions became vacant during Fiscal Year 1971. These data are shown first by type of appointment in Table 23a and then by grade in table 23b.

TABLE 23a. REASONS FOR EXECUTIVE VACANCIES BY TYPE OF APPOINTMENT
(FISCAL YEAR 1971)

Reason for Vacancy	Career				Noncareer <u>a/</u>		Total	
	CEA		Public Law <u>a/</u>					
<u>Moved Within Federal Government</u>								
		↓		↓		↓		↓
Same Agency <u>b/</u>	250	40%	24	31%	116	42%	390	40%
Promotion	83		9		57		149	
Same Grade	97		13		23		133	
Lower Grade <u>c/</u>	70		2		36		108	
Different Agency	41	7%	9	11%	32	11%	82	9%
Promotion	14		2		20		36	
Same Grade	19		5		11		35	
Lower Grade <u>d/</u>	8		2		1		11	
TOTAL	291	47%	33	42%	148	53%	472	49%
<u>Left Government</u>								
Resigned	40	6%	16	21%	57	21%	113	12%
State/Local Govt.	5		-		2		7	
University	9		6		10		25	
Union/Non-Profit Organ.	-		-		2		2	
Business	18		5		11		34	
Professional	2		-		14		16	
Self-Employed	-		1		2		3	
Unknown/Other	6		4		16		26	
Retired	256	42%	24	31%	53	19%	333	34%
Died	16	3%	1	1%	5	2%	22	2%
Other	14	2%	4	5%	15	5%	33	3%
TOTAL	326	53%	45	58%	130	47%	501	51%
GRAND TOTAL	617	100%	78	100%	278	100%	973	100%

a/ As used throughout this chapter, Public Law does not include NASA Excepted positions. Noncareer includes only GS noncareer positions over which CSC has purview as described on page 8.

b/ The data do not include the 400 odd position reclassification actions that resulted in either reassignment or promotion since in those cases the positions were not vacated.

c/ The data include 83 actions to a position below grade GS-16.

d/ The data include four actions to a position below GS-16.

TABLE 23b. REASONS FOR EXECUTIVE VACANCIES BY GRADE
(FISCAL YEAR 1971)

Reason for Vacancy	GS-16		GS-17		GS-18		Public Law (ungraded)	
<u>Moved Within Federal Government</u>		↓		↓		↓		↓
Same Agency <u>a/</u>	233	41%	90	41%	43	40%	24	31%
Promotion	90		28		22		9	
Same Grade	70		37		13		13	
Lower Grade <u>b/</u>	73		25		8		2	
Different Agency	42	8%	23	10%	8	7%	9	11%
Promotion	21		11		2		2	
Same Grade	13		11		6		5	
Lower Grade <u>c/</u>	8		1		-		2	
TOTAL	275	49%	113	51%	51	47%	33	42%
<u>Left Government</u>								
Resigned	45	8%	34	15%	18	16%	16	21%
State/Local Govt.	-		7		-		-	
University	10		6		3		6	
Union/Non-Profit Organ.	-		1		1		-	
Business	16		9		4		5	
Professional	7		4		5		-	
Self-Employed	1		1		-		1	
Unknown/Other	11		6		5		4	
Retired	215	38%	64	29%	30	28%	24	31%
Died	15	3%	3	1%	3	3%	1	1%
Other	14	2%	8	4%	7	6%	4	5%
TOTAL	289	51%	109	49%	58	53%	45	58%
GRAND TOTAL	564	100%	222	100%	109	100%	78	100%

a/ The data do not include the 400 odd position reclassification actions that resulted in either reassignment or promotion since in those cases the positions were not vacated.

b/ The data include 83 actions to a position below grade GS-16.

c/ The data include four actions to a position below GS-16.

It can be seen from these tables that:

- Of those leaving the Government, the number who retired or died was more than three times the number who resigned.
- The percentage who moved within the Government was greater for non-career than for career executives. It was also greater for career than for public law executives.
- A much greater percentage of noncareer and public law executives resigned than did career executives.
- A much lower percentage of noncareer and a somewhat lower percentage of public law executives retired than did career executives.
- A greater proportion resigned as we move from GS-16 to GS-17 to GS-18 to public law.
- A greater percentage of those leaving public law positions went to other Federal agencies.
- Almost as many who moved within Government did so in the same grade as were promoted, and a large number took lower grade positions. This last point is particularly true for movements within an agency.

How Executive Positions Are Filled

Only over the last few years has there been any attempt to collect data on how executive positions are filled. Such data provide greater insight into the behavior of program managers who appoint executives and of the appointees themselves. It is logical to assume that if a program manager were looking for a highly qualified man to run a part of his operation, he would look first within his organization--and that is borne out by the data. On the other hand, it has been generally assumed that executives don't move from their present job unless there is a promotion--that is not borne out in the data since many placements are lateral moves in grade or moves to lower grades.

The next table shows the source of appointees for executive positions for the 18-month period from January 1, 1970 through June 30, 1971. The data include both general schedule and public law positions.

TABLE 24. HOW EXECUTIVE POSITIONS WERE FILLED--ALL CATEGORIES
(January 1, 1970 - June 30, 1971)

Source	Career				Noncareer		Total	
	CEA		Public Law					
<u>From Within Agency a/</u>	1,203	86%↓	55	45%↓	411	66%	1,669	78% ↓
Promotion	755	54%	22	18%	295	48%	1,072	50%
Downgrading	21		-		9		30	
Reassignment	427		33		107		567	
<u>From Other Agencies</u>	67	5%↓	18	15%↓	39	6%	124	6% ↓
Transfer - Promotion	41		13		33		87	
Transfer - Lateral	22		5		4		31	
Transfer - Downgrade	4		-		2		6	
<u>From Outside Government</u>	120	9%↓	49	40% ↓	170	28%	339	16% ↓
Reinstatement	20		4		1		25	
Initial Selection	100		45		169		314	
TOTAL	1,390	→ 65%	122	→ 6%	620	→ 29%	2,132	100%

a/ The data include position reclassification actions resulting in promotions or reassignments.

The above data show that for the period studied:

- A greater proportion of selectees for career positions (86%) are employees of the agency than are selectees for excepted positions (66%) or public law positions (45%).
- The proportion of positions filled with employees of other agencies is about the same for career and noncareer but much higher for the public law category.
- A greater proportion of public law positions (40%) are filled with persons from outside the Government than are excepted positions (28%) or career positions (9%).
- Only a very small percentage of appointments from outside the Government are reinstatements.

Occupation Groups

Again, the point must be made that generalizing about executives leads to misunderstanding. Federal executives, for the most part, are both specialists and managers--and each occupational speciality tends to be different in terms of source of appointees. This is more clearly illustrated in the next table which shows the source of appointees by occupational speciality for the 12-month period beginning July 1, 1970. The data are limited to general schedule positions.

TABLE 25. HOW GS-16, 17, and 18 POSITIONS WERE FILLED - BY OCCUPATION (FISCAL YEAR 1971)

Occupation	Source of Fill			TOTAL	
	Within Government		Outside Government	N	Z ↓
	Same Agency	Diff. Agency			
% →	% →	% →			
01 Social Science	87	3	10	61	4
02 Personnel	89	7	4	27	2
03 Administration	76	6	18	480	34
0301 Gen'l Admin.	(70)	(8)	(22)	(272)	(19)
0340 Prog. Mgmt.	(83)	(1)	(16)	(145)	(10)
0341 Admin. Off.	(94)	(6)	-	(32)	(2)
0343, 0345 Analysis	(79)	(17)	(4)	(24)	(2)
Other 03's	(72)	(14)	(14)	(7)	(1)
04 Biological Science	91	3	6	65	5
05 Fiscal	92	4	4	69	5
06 Health & Medicine	90	2	8	52	4
08 Engineering	91	1	8	163	11
09 Legal	81	7	12	173	12
10 Information & Arts	50	-	50	12	1
11 Business & Industry	81	8	11	36	2
13 Physical Science	84	6	10	166	12
15 Math & Statistics	81	8	11	37	3
17 Education	63	12	25	16	1
20 Supply	100	-	-	1	# <u>a/</u>
21 Transportation	78	-	22	9	1
Other Occupations	85	5	10	40	3
Totals (Established Positions)	N	1,158	73	176	1,407 100%
	%	82%	5%	13%	100%

a/ less than 1%

The occupation data show that there is wide variation among occupational groups as to the percentage of positions filled from outside the Government and some variation as to the percentage of positions filled from different Government agencies.

Occupational groups with a noticeably higher fill rate from outside Government.

<u>Group</u>	<u>% Filled From Outside Government</u>
Information and Arts	50
Education	25
Transportation	22
General Administration	22
All Administration	18
Program Management	16

Occupational groups with a noticeably higher fill rate from outside the agency, but within Government.

<u>Group</u>	<u>% Filled From Other Government Agencies</u>
Program and Management Analysis	17
Other Administrative	14
Education	12

Occupational groups in which virtually all positions are filled from within Government.

<u>Group</u>	<u>% Filled From Within Government</u>
Supply	100
Administrative Officer	100
Personnel	96
Program and Management Analysis	96
Fiscal	96
Biological Science	94

Occupational groups in which most positions are filled from within the same agency.

<u>Group</u>	<u>% Filled From Within the Same Agency</u>
Supply	100
Administrative Officer	94
Fiscal	92
Engineering	91
Biological Science	91
Health and Medicine	90
Personnel	89

Opportunities for Appointment

There continues to be great misunderstanding about the real opportunities to become an executive. Seven thousand positions sounds like a large number. Moreover, there is a tendency to confuse placement actions with real opportunities for appointment into the executive group. Tables 23, 24, and 25 reflected total numbers of placement actions. Not all placement actions result in an opportunity for someone from outside of the executive group. When a GS-16 position becomes vacant and is filled by the lateral transfer of another GS-16, who is subsequently replaced by a GS-15, that is two placement actions but only one opportunity for someone from outside the executive group. The same kind of thing happens when a GS-17 position is filled by the promotion of a GS-16.

Both total opportunities for appointment and the specific opportunities for individuals qualified for particular occupations are quite limited. It is easy to think that anyone outside the executive group has an opportunity to enter that group whenever the total number of positions is increased or a member of the group leaves and is replaced. In practice, however, an individual with particular occupational qualifications has an opportunity to enter the executive group only when the group of positions for which he is qualified is increased or an incumbent leaves the executive group.

Total Opportunities

The next table demonstrates the difference between real opportunities for appointment to the executive group and placement actions affecting members of the group.

TABLE 26. OPPORTUNITY FOR PLACEMENT IN EXECUTIVE POSITIONS
(FISCAL YEAR 1971)

Reason for Placement Action	Positions				
	General Schedule		GS-Total	Public Law	Total
	Career	Noncareer			
Growth of Position Authorities	27	55	82	-	82
Attrition (resignation, retirement, death)	326	130	456	45	501
Movement to a position below grade GS-16	60	27	87	-	87
Sub-Total Opportunities to enter the executive group	413	212	625	45	670
Other placement actions	571	211	782	59	841
TOTAL PLACEMENT ACTION	984	423	1,407	104	1,511

It can be seen that for fiscal year 1971:

- Only 47% of the placement actions created real opportunities for additions to the executive group.
- Attrition was by far the largest source of real opportunity for appointment to the executive group.

Opportunity and Occupation

The real opportunities that occurred during fiscal year 1971 have been further analyzed by occupation. This is shown in Table 27.

TABLE 27. DISTRIBUTION OF REAL OPPORTUNITIES TO ENTER THE EXECUTIVE GROUP BY OCCUPATION (GENERAL SCHEDULE POSITIONS) (FISCAL YEAR 1971)

OCCUPATION	Reason for Real Opportunity			TOTAL
	Growth (or Decrease)	Attrition	Movement Below GS-16	
01 Social Science	2	16	0	18
02 Personnel	-6	13	0	7
03 Administration	-10	164	29	183
04 Biological Science	5	19	2	26
05 Fiscal	2	26	5	33
06 Health & Medicine	1	19	0	20
08 Engineering	-18	37	16	35
09 Legal	32	61	12	105
10 Information & Arts	0	2	6	8
11 Business & Industry	6	11	1	18
13 Physical Science	16	42	2	60
15 Mathematics & Statistics	-7	17	5	15
17 Education	0	8	2	10
20 Supply	-1	3	0	2
21 Transportation	4	6	2	12
All Others	56 <u>a/</u>	12	5	73
TOTALS	82	456	87	625

a/ Includes positions that were authorized but were in the process of being established or classified at the end of the fiscal year.

It can be seen that:

- The greatest real opportunities were in the Administration (03) group
- Legal (09) and Physical Science (13) were other occupation groups with a great number of real opportunities
- Supply (20), Personnel (02), and Information and Arts (10) showed little real opportunities

How these opportunities relate to the number of executive positions within occupation groups is shown in Table 28. This table compares the total number of General Schedule positions in each occupation group with the number of real opportunities that occurred during fiscal year 1971.

TABLE 28. COMPARISON OF REAL OPPORTUNITIES TO ENTER THE EXECUTIVE GROUP WITH POSITIONS IN THE GENERAL SCHEDULE OCCUPATIONS (FISCAL YEAR 1971)

Occupation	Positions <u>a/</u>		Opportunities <u>b/</u>		
	N	% ↓	N	Percent of Positions	% ↓
01 Social Science	251	5	18	7	3
02 Personnel	121	2	7	6	1
03 Administration	1,407	26	183	13	29
04 Biological Science	184	4	26	14	4
05 Fiscal	274	5	33	12	5
06 Health & Medicine	181	3	20	11	3
08 Engineering	708	13	35	5	6
09 Legal	781	15	105	13	17
10 Information & Arts	62	1	8	13	1
11 Business & Industry	116	2	18	16	3
13 Physical Science	831	15	60	7	10
15 Mathematics & Statistics	157	3	15	10	2
17 Education	59	1	10	17	2
20 Supply	12	# <u>d/</u>	2	17	# <u>d/</u>
21 Transportation	39	1	12	31	2
All Others	219	4	73 <u>c/</u>		12
TOTALS	5,396	100%	625	12%	100%

a/ Average number of General Schedule positions during the year.

b/ Real opportunities as defined in Tables 26 & 27.

c/ Includes positions in process of being established or classified; therefore an entry in next right hand column would be meaningless.

d/ Less than 1%.

It can be seen that for fiscal year 1971:

- Real opportunities were in moderately greater proportion than total representation for the Administration (03) and Legal (09) groups.
- Real opportunities were in significantly lesser proportion than total representation for the Engineering (08) and Physical Science (13) groups.
- The occupation groups with fewest absolute numbers of real opportunities had about the same percent of opportunities as they represented in the total population.

Opportunity and the GS-15 Structure

Table 29 gives an overall picture not only of the GS-15 structure but also of the real opportunities for GS-15's to enter the executive group. The table shows by occupational groups, the distribution of GS 16-18 positions, the distribution of GS-15 positions, and the ratio of GS-15 to "supergrade" positions. It also shows the distribution by occupational group of the GS 16-18 real opportunities that occurred during fiscal year 1971 and the ratio of GS-15 positions to "supergrade" opportunities.

TABLE 29. REAL OPPORTUNITIES FOR EXECUTIVE APPOINTMENT FOR FEEDER GROUP EMPLOYEES
DISTRIBUTED BY OCCUPATIONAL GROUP (FISCAL YEAR 1971)

Occupational Group	Positions in GS 16-18		Positions in GS-15		Ratio of GS-15:GS 16/18		Real Opportunities GS 16-18 (FY 1971)		Ratio of GS-15:GS 16/18 Real Opp.	
	No.	%	No.	%	GS-15:GS 16/18	No.	%	GS-15:GS 16/18 Real Opp.	No.	%
01 Social Science	251	5	1,377	5	5.5:1	18	3	77:1		
02 Personnel	115	2	563	2	4.9:1	7	1	80:1		
03 Administration	1,407	26	5,440	21	3.9:1	183	29	30:1		
04 Biological Sciences	184	4	630	2	3.4:1	26	4	24:1		
05 Fiscal	274	5	1,293	5	4.7:1	33	5	39:1		
06 Health & Medicine	181	3	4,155	16	23.0:1	20	3	208:1		
08 Engineering	708	13	4,870	18	6.9:1	35	6	139:1		
09 Legal	781	15	1,878	7	2.4:1	105	17	18:1		
10 Information & Arts	62	1	345	1	5.6:1	8	1	43:1		
11 Business and Industry	116	2	921	4	7.9:1	18	3	51:1		
13 Physical Science	831	15	2,423	9	2.9:1	60	10	40:1		
15 Mathematics & Statistics	157	3	752	3	4.8:1	15	2	50:1		
17 Education	59	1	273	1	4.6:1	10	2	27:1		
20 Supply	12	# a/	256	1	21.3:1	2	# a/	128:1		
21 Transportation	39	1	354	1	9.1:1	12	2	30:1		
Other Occupations	219	4	969	4	4.4:1	73	12	13:1		
Total Established Positions	5,396	100%	26,499	100%	4.9:1	625	100%	58:1		

a/ Less than 1%.

These data indicate that:

- The average ratio of GS-15 positions to GS 16-18 positions is about 5:1, but there is wide variation between occupational groups. The ratios range from less than 3:1 to 23:1.
- Occupational groups that have a lower than average ratio of GS-15 to GS-16/18 positions are:

Legal	2.4:1
Physical Science	2.9:1
Biological Science	3.4:1
Administration	3.9:1

- Occupational groups that have a higher than average ratio of GS-15 to GS-16/18 positions are:

Health & Medicine	23:1
Supply	21:1
Business & Industry	8:1
Engineering	7:1

- The ratio of GS-15's to real opportunities suggests that GS-15's in the legal, biological sciences, education, administration and transportation groups would have greater opportunity for consideration for executive positions.

APPLICABLE PROVISIONS OF LAW

The act of August 1, 1947, Public Law 80-313, authorized the Secretary of War to establish and fix the compensation for not more than 30 positions, and the Secretary of the Navy, for not more than 15 positions, for research and development functions, relating to the National Defense, military and naval medicine, and any other activities of the War Department or Naval Establishment, which require the services of specially qualified scientific or professional personnel.

The rates of compensation for these positions were required to be not less than \$10,000 per annum, nor more than \$15,000 per annum.

In 1947, the basic salary schedules contained only nine grades under the professional schedule, and 16 grades under the regular schedule. The top rate of compensation was \$10,000.

The 1947 act was followed by a series of laws authorizing other agencies to establish scientific or professional research and development positions which require the services of specially qualified personnel. The positions of such personnel are commonly referred to as the "Public Law 313-type" positions.

While Public Law 80-313 has been repealed, the current provisions of law, in the case of the Department of Defense, are found in 10 U.S.C. 1581, 1582, and, in the case of several other agencies, in 5 U.S.C. 3104.

The Classification Act of 1949, Public Law 81-429, established, for the first time, an 18 grade salary schedule, and section 505 thereof, placed a limit of 300 positions which could be placed in GS-16, 75 positions which could be placed in GS-17, and authorized the President to place not more than 25 in GS-18.

The current provisions limiting the number of positions to be placed in GS-16, GS-17, and GS-18 to ~~2,754~~ or "quota positions" are found in 5 U.S.C. 5108. The same provision authorizes an unlimited number of professional engineering research and development positions and professional positions in the physical and natural sciences and medicine, or "nonquota positions".

The major provisions of law authorizing positions to be placed in the top levels, and the provisions relating to the reporting requirements, are set forth below.

SECTIONS OF TITLE 5, UNITED STATES CODE

§ 3104. Employment of specially qualified scientific and professional personnel.

(a) The head of an agency named below may establish scientific or professional positions to carry out the research and development functions of his agency which require the services of specially qualified personnel within the following limits:

- (1) Department of the Interior—not more than 8.
- (2) Department of Agriculture—not more than 20.
- (3) Department of Health, Education, and Welfare—not more than 13.
- (4) Department of Commerce—not more than 30, of which at least 5 are for the United States Patent Office in its examining and related activities.
- (5) Repealed. (Pub. L. 91-375, § 6(c) (5), Aug. 12, 1970, 84 Stat. 776.)
- (6) United States Arms Control and Disarmament Agency—not more than 14.
- (7) Library of Congress—not more than 8.
- (8) National Aeronautics and Space Administration—not more than 12.

(b) When a general appropriation statute authorizes an agency named by this section to establish and fix the pay of scientific or professional positions similar to those authorized by this section, the number of positions authorized by this section is reduced by the number of positions authorized by the appropriation statute, unless otherwise specifically provided. This subsection does not apply to the National Aeronautics and Space Administration.

(c) The head of each agency authorized to establish and fix the pay of positions under this section and section 5361 of this title shall submit to Congress not later than December 31 of each year (or in the case of the Administrator of the National Aeronautics and Space Administration not later than February 1 of each year), a report setting forth—

(1) the number of these positions established in his agency during that calendar year (or in the case of the National Aeronautics and Space Administration during the previous calendar year); and

(2) the name, rate of pay, and description of the qualifications of each incumbent, together with a statement of the functions performed by each.

When the head of such an agency considers full public report on these items detrimental to the national security, he may omit the items from his annual report and, instead, present the information in executive session of such committee of a House of Congress as the presiding officer thereof may designate. (Pub. L. 89-554, Sept. 6, 1966, 80 Stat. 415, amended Pub. L. 90-83, § 1(7), Sept. 11, 1967, 81 Stat. 196; Pub. L. 91-375, § 6(c) (5), Aug. 12, 1970, 84 Stat. 776.)

§ 3105. Appointment of hearing examiners

Each agency shall appoint as many hearing examiners as are necessary for proceedings required to be conducted in accordance with sections 556 and 557 of this title. Hearing examiners shall be assigned to cases in rotation so far as practicable, and may not perform duties inconsistent with their duties and responsibilities as hearing examiners.

* * * * *

§ 5108. Classification of positions at GS-16, 17, and 18

(a) A majority of the Civil Service Commissioners may establish, and from time to time revise, the maximum numbers of positions.

(not to exceed an aggregate of 2,754, in addition to any professional engineering positions primarily concerned with research and development and professional positions in the physical and natural sciences and medicine which may be placed in these grades, and in addition to 240 hearing examiner positions under section 3105 of this title which may be placed in GS-16 and 9 such positions which may be placed in GS-17) which may be placed in GS-16, 17, and 18 at any one time. However, under this authority, not to exceed 25 percent of the aggregate number may be placed in GS-17 and not to exceed 12 percent of the aggregate number may be placed in GS-18. A position may be placed in GS-16, 17, or 18 only by action of, or after prior approval, by a majority of the Civil Service Commissioners.

(b) (1) The number of positions of senior specialists in the Legislative Reference Service, Library of Congress, placed in GS-16, 17, and 18 under the proviso in section 166(b) (1) of title 2 are in addition to the number of positions authorized by subsection (a) of this section.

(2) In addition to the number of positions authorized by subsection (a) of this section and positions referred to in paragraph (1) of this subsection, the Librarian of Congress, subject to the procedures prescribed by this section, may place a total of 44 positions in the Library of Congress in GS-16, 17, and 18.

(c) In addition to the number of positions authorized by subsection (a) of this section—

(1) the Comptroller General of the United States, subject to the procedures prescribed by this section, may place a total of 90 positions in the General Accounting Office in GS-16, 17, and 18;

(2) the Director of the Federal Bureau of Investigation, without regard to any other provision of this section, may place a total of 140 positions in the Federal Bureau of Investigation in GS-16, 17, and 18;

(3) the Director of the Administrative Office of the United States Courts may place a total of 4 positions in GS-17;

(4) the Commissioner of Immigration and Naturalization may place a total of 11 positions in GS-17;

(5) the Secretary of Defense, subject to the standards and procedures prescribed by this chapter, may place a total of 407 positions (in addition to any professional engineering positions primarily concerned with research and development and professional positions in the physical and natural sciences and medicine which may be placed in these grades) in the Department of Defense in GS-16, 17, and 18;

(6) the Administrator of the National Aeronautics and Space Administration, subject to the standards and procedures prescribed by this chapter, may place a total of 5 positions in the National Aeronautics and Space Administration in GS-16, 17, and 18;

(7) the Attorney General, without regard to any other provision of this section, may place a total of—

(A) 10 positions of Warden in the Bureau of Prisons in GS-16; and

(B) 8 positions of Member of the Board of Parole in GS-17;

(8) the Attorney General, without regard to this chapter (except section 5114), may place 1 position in GS-16;

(9) the Railroad Retirement Board may place 4 positions in GS-16, 4 in GS-17, and 1 in GS-18, for the purpose of its administration of chapter 9 or 11 of title 45, or both; and

(10) (A) the Secretary of Labor, subject to the standards and procedures prescribed by this chapter, may place an additional twenty-five positions in the Department of Labor in GS-16, 17, and 18 for the purposes of carrying out his responsibilities under the Occupational Safety and Health Act of 1970;

(B) the Occupational Safety and Health Review Commission, subject to the standards and procedures prescribed by this chapter, may place ten positions in GS-16, 17, and 18 in carrying out its functions under the Occupational Safety and Health Act of 1970.

(10) the Law Enforcement Assistance Administration may place a total of twenty positions in GS-16, 17, and 18.

(10) the Chief Judge of the United States Tax Court, without regard to this chapter (except section 5114), may place a total of 5 positions in GS-16, 17, and 18.

(d) When a general appropriation statute authorizes an agency to place additional positions in GS-16, 17, and 18, the total number of positions authorized to be placed in these grades by this section (except subsection (c) (8) and (9)) is reduced by the number of positions authorized by the appropriation statute, unless otherwise specifically provided. The reduction is made in the following order—

first, from any number specifically authorized for the agency by this section (except subsection (c) (8) and (9)); and

second, from the maximum number of positions authorized by subsection (a) of this section irrespective of the agency to which the positions are allocated.

* * * * *

§ 5114. Reports; positions in GS-16, 17, and 18

(a) The Civil Service Commission, with respect to positions under section 5108(a) of this title, the head of the agency concerned, with respect to positions under sections 5108 (b), (c) and 5109(b) of this title, and the appropriate authority, with respect to positions under jurisdiction of the authority which are allocated to or placed in GS-16, 17, and 18, including positions so allocated or placed on a temporary or present incumbency basis, under reorganization plan or statute, except sections 5108 and 5109 of this title, shall submit, so long as the reorganization plan or statute remains in effect, to Congress, not later than February 1 of each year, a report setting forth—

(1) the total number of positions allocated to or placed in all these grades during the immediately preceding calendar year, the total number of positions allocated to or placed in each of these grades during the immediately preceding calendar year, and the total number of these positions in existence during the immediately preceding calendar year and the grades to or in which the total number of positions in existence are allocated or placed;

(2) the name, rate of pay, and description of the qualifications

of the incumbent of each of these positions, together with the position title and a statement of the duties and responsibilities performed by the incumbent;

(3) the position or positions in or outside the Government of the United States held by each of these incumbents, and his rate or rates of pay, during the 5-year period immediately preceding the date of his appointment to the position; and

(4) such other information as the Commission, the head of the agency, or other appropriate authority submitting the report may consider appropriate or as may be required by Congress or a committee thereof.

This subsection does not require the resubmission of information required by paragraphs (2) and (3) of this subsection which has been reported under this subsection and which remains unchanged.

(b) When the Commission, the head of the agency, or other appropriate authority considers full public disclosure of any or all of the items specified by subsection (a) of this section to be detrimental to the national security, the Commission, the head of the agency, or authority may—

(1) omit from the annual report those items with respect to which full public disclosure is found to be detrimental to the national security;

(2) inform Congress of the omission; and

(3) at the request of the Congressional committee to which the report is referred, present all information concerning those items.

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§ 5332. The General Schedule

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SCHEDULE OF ANNUAL SALARY RATES BY GRADE
GENERAL SCHEDULE

Grade	Rates Within Grades & Waiting Period for Next Step Increase										Amount of Within Grade Increase
	52 Weeks			104 Weeks			156 Weeks				
	1	2	3	4	5	6	7	8	9	10	
1	\$4,564	\$4,716	\$4,868	\$5,020	\$5,172	\$5,324	\$5,476	\$5,628	\$5,780	\$5,932	\$152
2	5,166	5,338	5,510	5,682	5,854	6,026	6,198	6,370	6,542	6,714	172
3	5,828	6,022	6,216	6,410	6,604	6,798	6,992	7,186	7,380	7,574	194
4	6,544	6,762	6,980	7,198	7,416	7,634	7,852	8,070	8,288	8,506	218
5	7,319	7,563	7,807	8,051	8,295	8,539	8,783	9,027	9,271	9,515	244
6	8,153	8,425	8,697	8,969	9,241	9,513	9,785	10,057	10,329	10,601	272
7	9,053	9,355	9,657	9,959	10,261	10,563	10,865	11,167	11,469	11,771	302
8	10,013	10,347	10,681	11,015	11,349	11,683	12,017	12,351	12,685	13,019	334
9	11,046	11,414	11,782	12,150	12,518	12,886	13,254	13,622	13,990	14,358	368
10	12,151	12,556	12,961	13,366	13,771	14,176	14,581	14,986	15,391	15,796	405
11	13,309	13,753	14,197	14,641	15,085	15,529	15,973	16,417	16,861	17,305	444
12	15,866	16,345	16,824	17,453	17,982	18,511	19,040	19,569	20,098	20,627	529
13	18,737	19,262	19,787	20,612	21,237	21,862	22,487	23,112	23,737	24,362	625
14	21,960	22,692	23,424	24,156	24,888	25,620	26,352	27,084	27,816	28,548	732
15	25,583	26,436	27,289	28,142	28,995	29,848	30,701	31,554	32,407	33,260	853
16	29,678	30,667	31,656	32,645	33,634	34,623	35,612	*36,601	*37,590		989
17	34,335	35,480	*36,625	*37,700	*38,915						1,145
18	*39,693										

*The rate of basic pay for employees at these rates is limited by section 5308 of title 5 of the United States Code to the rate for level V of the Executive Schedule (as of the effective date of this salary adjustment, \$36,000).

* * * * *

§ 5361. Scientific and professional positions.

Subject to the approval of the Civil Service Commission, the head of the agency concerned shall fix the annual rate of basic pay for scientific and professional positions established under section 3104 of this title at not less than the minimum rate for GS-16 nor more than the maximum rate for GS-18.

§ 5362. Hearing examiners.

Hearing examiners appointed under section 3105 of this title are entitled to pay prescribed by the Civil Service Commission independently of agency recommendations or ratings and in accordance with subchapter III of this chapter and chapter 51 of this title.

SECTIONS OF TITLE 10, UNITED STATES CODE

§ 1581. Appointment: professional and scientific services.

(a) The Secretary of Defense may establish not more than five hundred thirty civilian positions in the Department of Defense to carry out research and development relating to the national defense, military medicine, and other activities of the Department of Defense that require the services of specially qualified scientists or professional personnel.

(b) Subject to the Civil Service Commission's approval as to rates, the Secretary may fix the compensation for positions established under subsection (a). However, the per annum compensation may not be less than the minimum rate of grade 16 of the General Schedule of the Classification Act of 1949, as amended, nor more than the highest rate of grade 18 of the General Schedule of such Act.

(c) Positions established under subsection (a) are in the classified civil service of the United States. However, if the Civil Service Commission or a person designated by it approves a proposed appointee's qualifications, no competitive examination may be required.

§ 1582. Professional and scientific services: reports to Congress on appointments.

The Secretary of Defense shall report to Congress not later than February 1 of each year on the number of positions established under section 1581 of this title during the immediately preceding calendar year. The report shall list the name, rate of compensation, functions, and qualifications of each incumbent. However, the Secretary may omit any item, if he considers that a full public report on it would be detrimental to the national security. In such a case, he shall present the information, in executive session, to such committees of the Senate and the House of Representatives as are designated by the presiding officers of those bodies.

SECTIONS OF TITLE 42, UNITED STATES CODE

PUBLIC HEALTH SERVICE

§ 210. * * *

* * * * *

POSITIONS IN PROFESSIONAL, SCIENTIFIC AND EXECUTIVE SERVICE;
COMPENSATION; APPOINTMENT

(g) The Secretary is authorized to establish and fix the compen-

sation for, within the Public Health Service, not more than (1) one hundred and fifty positions, of which not less than one hundred and fifteen shall be for the National Institutes of Health, in the professional, scientific, and executive service, each such position being established to effectuate those research and development activities of the Public Health Service which require the services of specially qualified scientific, professional, and administrative personnel: *Provided*, That the rates of compensation for positions established pursuant to the provisions of this subsection shall not be less than the minimum rate of grade 16 of the General Schedule of the Classification Act of 1949, as amended, nor more than the highest rate of grade 18 of the General Schedule of such Act, or (2) in the case of two such positions, the rate specified, at the time the service in the position is performed, for level II of the Executive Schedule (section 5313 of Title 5); and such rates of compensation for all positions included in this proviso shall be subject to the approval of the Civil Service Commission. Positions created pursuant to this subsection shall be included in the classified civil service of the United States, but appointments to such positions shall be made without competitive examination upon approval of the proposed appointee's qualifications by the Civil Service Commission or such officers or agents as it may designate for this purpose.

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NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

§ 2473. **Functions of the Administration.**

* * * * *

(b) In the performance of its functions the Administration is authorized—

(1) to make, promulgate, issue, rescind, and amend rules and regulations governing the manner of its operations and the exercise of the powers vested in it by law;

(2) to appoint and fix the compensation of such officers and employees as may be necessary to carry out such functions. Such officers and employees shall be appointed in accordance with the civil-service laws and their compensation fixed in accordance with the Classification Act of 1949, except that (A) to the extent the Administrator deems such action necessary to the discharge of his responsibilities, he may appoint not more than four hundred and twenty-five of the scientific, engineering, and administrative personnel of the Administration without regard to such laws, and may fix the compensation of such personnel not in excess of the highest rate of grade 18 of the General Schedule of the Classification Act of 1949, as amended, and (B) to the extent the Administrator deems such action necessary to recruit specially qualified scientific and engineering talent, he may establish the entrance grade for scientific and engineering personnel without previous service in the Federal Government at a level up to two grades higher than the grade provided for such personnel under the General Schedule established by the Classification Act of 1949, and fix their compensation accordingly;

* * * * *

§ 2473a. Reports to Congress; confidential information

(1) The Administrator of the National Aeronautics and Space Administration shall submit to the Congress not later than forty-five days after the close of each fiscal year a report which sets forth, as of the close of such fiscal year—

(A) the number of positions established under section 2473(b)(2) of this title;

(B) the name, rate of compensation, and description of the qualifications of each incumbent of each position established under such section 2473(b)(2), together with the position title and a statement of the duties and responsibilities performed by each such incumbent;

(C) the position or positions in or outside the Federal Government held by each such incumbent, and his rate or rates of compensation, during the five-year period immediately preceding the date of appointment of such incumbent to such position; and

(D) such other information as the Administrator may deem appropriate or which may be required by the Congress or a committee thereof.

Nothing contained in this subsection shall require the resubmission of any information required under subparagraphs (B) and (C) of this subsection which has been reported pursuant to this subsection and remains unchanged.

(2) In any instance in which the Administrator may find full public disclosure of any or all of the matter covered by paragraph (1) of this subsection to be detrimental to the national security, the Administrator is authorized—

(A) to omit in such report those matters with respect to which full public disclosure is found to be detrimental to the national security;

(B) to inform the Congress of such omission; and

(C) at the request of any congressional committee to which such report is referred, to present all information concerning such matters.

OTHER MISCELLANEOUS AUTHORITY

Public law or U.S. Code citation	Agency and number of positions
21 U.S. 113(a)	Agriculture—5.
Public Law 85-322	DOD-ARPA—15.
22 U.S.C. 2385(c)	DOD, Foreign Assistance—8.
Reorg Plan #4	Justice—4.
49 U.S.C. 1343(d)	DOT—23.
49 U.S.C. 1343(f)	DOT, FAA—20.
5 U.S.C. 5109(b)	CSC—1.
11 D.C. Code 901	District of Columbia Government—7.
2 U.S.C. 166(c)	Library of Congress—No numerical limit.
Public Law 92-210	Cost of Living Council—20.