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**CIVIL SERVICE REFORM
AN ANNOTATED BIBLIOGRAPHY**

**U.S. GENERAL ACCOUNTING OFFICE
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INTRODUCTION

This annotated bibliography presents selected articles and reports on civil service reform, including performance appraisal, accountability, merit pay, collective bargaining, and Federal Labor Relations Authority, whistleblowing, the Office of Special Counsel, and Senior Executive Service.

The majority of articles encompass all sections of the act and do not fit in any specific category. Many were written prior to the enactment of the Civil Service Reform Act of October 13, 1978, and reflect the development of the act.

The cited publications may be obtained from the Audit Reference Services, Room 6536, 275-5180.

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Civil Service Reform Act of 1978 - Legislative history.

An act to reform civil service laws, Public Law 95-454,
92 Stat. 1111 (1978)

Legislative history:

House document:

No. 95-299, Civil service reform: message from the President transmitting a draft of proposed legislation to reform the civil service laws.

House committee print:

No. 95-13 (Committee on Post Office and Civil Service)
H.R. 11280- A bill to reform the civil service laws;
a compilation showing changes in existing law proposed
by the bill.

Hearings:

U.S. Cong. House. Committee on Post Office and Civil Service. Civil Service reform. Hearings before ... on H.R. 11280, Mar. 14, 21, Apr. 4, 5, 6, 11, 12, 28, May 8, 12, 15, 22, and 23, 1978.

U.S. Cong. Senate. Committee on Governmental Affairs. Civil Service Reform Act of 1978 and Reorganization Plan No. 2 of 1978. Hearings before ... on S. 2640, S. 2707, and S. 2830, Apr. 6, 7, 10, 12, 13, 19, 20, 27, May 3, 4, 5 and 9, 1978.

House reports:

No. 95-1403 accompanying H.R. 11280 (Committee on Post Office and Civil Service) and No. 95-1717 (Committee of Conference)

Senate Reports:

No. 95-969 accompanying S. 2640 (Committee on Governmental Affairs) and No. 95-1272 (Committee of Conference)

Cong. Rec., Vol. 124, 1978.

Aug. 11, H.R. 11280 considered in House.

Aug. 24, considered and passed Senate.

Sept. 7, 11, 13, H.R. 11280 considered and passed House; proceedings vacated and S. 2640, amended, passed in lieu.

Oct. 4, Senate agreed to conference report.

Oct. 5, 6, House agreed to conference report; receded from amendment.

Weekly Compilation of Presidential Documents, Vol. 41, 1978:

Mar. 2, Remarks announcing the administration's proposals to the Congress. Message to the Congress.

Aug. 3, Remarks and a question-and-answer session at a roundtable discussion.

Oct. 13, Remarks at the bill signing ceremony. Statement on signing S. 2640 into law.

Nov. 8, Memorandum for Heads of Departments and Agencies.

CIVIL SERVICE REFORM - GENERAL

Bilmes, Linda. "The Civil Service Is Born Again." Harvard Political Review, 7 (Winter 1979), 10, 12-14.

Briefly traces the history of civil service system focusing on the impact of the Civil Service Reform Act of 1978, the first reform of the civil service in nearly a century. Believes the act promotes merit and management, achieves flexibility in management, and provides for good performance.

Boyd, Kenneth A. "An Approach to Management Decentralization in the Federal Government." The Bureaucrat, 8, No. 3 (Fall 1979), 42-46.

A study of decentralization of Federal Government functions, mandated by the CSRA and projected for completion in 1979 by the OMB, is criticized here for its failure to address the need for functional decentralization through the delegation of management authority to line managers. Arguing that resources are presently controlled by those without managerial responsibilities, while managers have responsibility without adequate control over staff numbers, promotions, grades, procurement, etc., the author proposes a unitary control ceiling on such expenditures which could free government managers to focus more on organizational goals.

"Bureaucrats on Notice: Shape Up or Else." U.S. News and World Report, No. 85 23 Oct. 1978, pp. 36-37.

A broad, quick review of the history, rationale for, opposition to, and anticipated effects of the recently enacted civil service legislation. Cash bonuses based on merit, the institution of the Senior Executive Service, and the new basis for evaluating job performance and granting or denying pay raises, are among the reforms which distinguish the new from the old civil service system.

Campbell, Alan K. "Civil Service Reform: A New Commitment." Public Administration Review, 38, No. 3 (Mar.-Apr. 1978), 99-103.

Discusses the need for the civil service reform and considers how aspects of Carter's civil service reform proposal will meet this need. A balance must be struck between the freedom necessary to serve the public's needs and the oversight required to protect the system's integrity. The President's Reorganization Plan and the Civil Service Reform Act strike the appropriate and necessary balance.

Campbell, Alan K. "Efficient Government: Political Rhetoric or Realistic Possibility." Vital Speeches of the Day, 1 Feb. 1978, pp. 229-232.

Arguing that low productivity is at the root of current economic contradictions (inflation and recession), Alan Campbell, Director of the OPM, cites the taxpayers' call for more effective government as a challenge to manage human resources more efficiently. The CSRA responds to these needs by adding managerial flexibility in rewarding and disciplining performance while protecting whistleblowers and collective bargaining rights. Campbell also calls for increased coordination between personnel officers and management.

Campbell, Alan K. and John Macy "Reflections on Reform." Civil Service Journal, 19, No. 2 (April-June 1979), 3-17.

In this edited transcript, Alan Campbell and John Macy, Jr. of the newly created Office of Personnel Management, discuss civil service reform and its implications for public administrators.

Campbell, Alan, K. "Running Out of Esteem?" Civil Service Journal, 18, No. 3 (Jan.-Mar. 1978), 4-10.

Discusses what the commission has been doing to change the negative public attitudes about Federal employees and the civil service system which, he notes, are counterproductive in that such attitudes discourage potential applicants and lower civil service morale. Discusses reform efforts and reorganization which Mr. Campbell believes to be essential.

Campbell, Alan K. "Why the Civil Service Doesn't Work." Taxing and Spending, 1 (Oct.-Nov. 1978), 33-36.

Reviews the procedure from which recommendations were developed for civil service reform, concentrating on the need to release managers from restrictive personnel practices and pay schedules. Descriptions of the provisions of the CSRA follow, which outline the function of the OPM, MSPB, and FLRA, and present some of the arguments in support of and opposition to the legislative package.

"Campbell Reflects on Reform Process." Public Administration Times, 2, No. 2 (Jan. 15, 1979), 1, 3-4, 8.

In this discussion with former OPM chairman John Macy, Alan Campbell traces the sources of support for the CSRA from the president and cabinet to the media and AFGE. The timing and process of developing the legislation were critical to its passage. Campbell and Macy compare the CSRA with earlier agency reorganizations and point out the significance of OPM's systematic decentralization of personnel authority to the agencies.

"Civil Service Reform." Good Government, Special Issue, 1 (1978).

This special issue gives high praise to Carter's Civil Service Reform Act as a legislative victory, offers analysis and criticism of each part of the Reform package, and assesses the civil service reorganization within the context of other reorganization initiatives and accomplishments of the Carter administration.

Committee for Economic Development. Revitalizing the Federal Personnel System. Washington, D.C.: GPO, 1978.

Sets forth four goals for shaping a Federal personnel system that is more in tune with today's needs for improved management of the public sector. These goals include restoring managerial authority and responsibility for personnel to department and agency heads, enhancing performance, creating a Federal career executive service, and reorganizing the personnel functions of the executive branch.

Dean, Alan L. "Personnel Management Project: A Comprehensive Approach to Civil Service Reform." The Bureaucrat, 7, No. 2 (Summer 1978), 2-16; and 7, No. 3 (Fall 1978), 2-22.

Addresses, in a two-part series, "those aspects of the PMP of greatest potential significance and probable impact on public administration." Content--Personnel management project, by A. Dean.--What the administration wanted, by J. Sugarman.--Organizing reorganization, by Dwight Ink and T. Murphy.--Organization for Federal personnel management, by W. Held.--Federal Government labor-management relations, by C. Newland.--The Senior Executive Service, by S. Greenberg.

Dempsey, John R. "Carter Reorganization: A Midterm Appraisal." Public Administration Review, 39, No. 1 (Jan.-Feb. 1978), 74-78.

Evaluates the three aspects of reorganization efforts which, simply stated are agency reorganization, conversion of federal executive budgeting to a zero-base format, and civil service reform.

Downing, Paul M. "The Minority Recruitment Program Mandated by Section 310 of the Civil Service Reform Act of 1978; An Analysis of the Concept of Underrepresentation of Minority Persons and Women in Federal Employment." Washington, D.C.: U.S. Library of Congress, Congressional Research Service, 1979.

Compares the concept of underrepresentation of minority groups and women in the Federal civil service, with the concept of underutilization as a criterion of affirmative action. Describes the

special recruitment program mandated by the Civil Service Reform Act of 1978 designed to achieve representation of these groups.

Fialka, John J. "Civil Service Reform." Washington Star, 29 Oct. 1978, Sec. A, pp. 3, 6; 30 Oct. 1978, Sec. A., p. 3.

Two articles briefly discuss the Ocean City, Maryland symposium on civil service reform, the management aspects of that proposal and new responsibilities placed upon Federal managers by the reform legislation.

Foster, Gregory D. "The 1978 Civil Service Reform Act: Post-Mortem or Rebirth?" Public Administration Review, 39, No. 1 (Jan.-Feb. 1979), 78-86.

Reviews three key aspects of the enacted reforms--merit principals, the Senior Executive Service as an entity, and veterans' preference. Assesses each with respect to its impact on equal employment opportunity (EEO) and labor-management relations.

Hanley, James M. "Classification and Compensation Reform." Classifiers Column, 11, no. 2 (Feb. 1980), 9-12.

Rep. Hanley recounts the politicking and "decisional processes" that went into passing the CSRA; critical to its passage were compromises made with organized labor. Hanley questions the speed with which the CSRA was passed and recommends a slower process for compensation reform legislation.

Haveman, Joel. "Will the Players Accept Carter's Rules for the Federal Personnel Game?" National Journal, 29 Oct. 1977, pp. 1676-1678.

The Carter administration's drive toward civil service reform began with studies by task forces of experts inside and outside government. Their recommendations, given here, emphasize increasing management flexibility, especially in hiring, firing, and rewarding personnel. The reactions of Federal employee unions to these suggestions and also regarding the scope of collective bargaining for Federal employees are also covered.

Held, Walter G. "Organization for Federal Personnel Management." The Bureaucrat, 7, No. 3 (Fall 1978), 2-7.

Notes that organization change or reorganization will not of itself necessarily assure improvement. Alleviation of current problems and improved personnel management can be achieved by

taking, as a minimum, the following actions: (1) abolishing the Civil Service Commission and establishing an Office of Personnel Management; (2) creating a Merit Protection Board; (3) elevating the personnel directors of departments and agencies to an organizational status commensurate with their role as key management staff officers; (4) providing the General Accounting Office with an increased management audit role over the personnel management system of the executive branch; (5) decentralizing the personnel management functions in the executive branch to the maximum extent feasible; and (6) determining the degree to which currently "excepted services" should retain their present status or be incorporated into the competitive service.

Herbers, John. "Washington: An Insider's Game." New York Times Magazine 22 Apr. 1979, pp. 33, 84.

In this look at Washington and Federal Government, the CSRA is described as "a series of compromises" that still leave intact characteristics of the Washington bureaucracy most resistant to reform. Accountability and efficiency in government are nearly impossible to achieve with the prevalence of interest groups, regulatory agencies, grants-in-aid programs, consultants, and revolving-door career patterns. Solutions may lie in reform legislation (i.e., sunset laws), in stronger, disciplined political parties, or in decentralizing and scaling down the Federal role.

Howard, Lawrence, C. "Civil Service Reform": A Minority And Women's Perspective." Public Administration Review, 38, No. 4 (July-Aug. 1978), 305-309.

Argues that S. 2640, the Civil Service Reform Act, as proposed, does not meet the needs of minorities and women in the Federal sector. Asserts that only by expanding opportunities for all people of talent can the Federal Government become more productive and more responsive. Responsibilities to minority opportunities and productivity cannot be separated.

"Improving Management Through Reorganization." Civil Service Journal, 18, No. 2 (Oct.-Dec. 1977), 1-9.

Interview with several top Federal personnel managers on the proposed civil service reform and how this reorganization plan differs from those proposed by other administrations. Questions were asked of CSC Chairman Alan K. Campbell, Ersa H. Poston, CSC Commissioner, OMB Associate Director Wayne Granquist, and Dwight Ink, executive director of the Project staff.

Isbell, Florence. "Carter's Civil Service Reform: 35 percent Ifs, Buts & Maybes." Civil Liberties Review, 5, (May-June 1978), 6-15.

Assesses the proposed civil service reform program in terms of its impact on civil liberties. "The most important civil liberties reform contained in the package is the separation of managerial and adjudicatory functions within the civil service bureaucracy."

Knudsen, Steven, Larry Jakus, and Maida Metz. "The Civil Service Reform Act of 1978." Public Personnel Management, 8, No. 3 (May-June 1979), 170-181.

They believe that passage of the Civil Service Reform Act of 1978 can be attributed primarily to the task force process by which the reforms were developed. As the reforms are implemented, service and effectiveness are expected to improve, which should result in a renewed sense of faith in bureaucracy by the public and the managers themselves.

Lynn, Naomi and Richard E. Vaden. "Bureaucratic Response to Civil Service Reform." Public Administration Review, 39, No. 4 (July-Aug. 1979), 333-343.

Investigates the attitudes of top level executives toward the reform measures. Responses were analyzed from questionnaires received from 1207 career Federal executives at the GS 15-18 levels. The authors conclude that there was not a great mandate of support for the proposal to overhaul the civil service system, but the lack of support is not high enough to preordain it to failure.

Lynn, Naomi B. and Richard E. Vaden. "Federal Executives' Initial Reactions to Change." Administration & Society, 12, No. 1 (May 1980), 101-120.

Analysis of 660 answers to an open-ended questionnaire revealed supergrade Federal executives' concerns about proposed Civil Service Reform legislation in 1978. Fear that the reforms would lead to a politicization of the civil service was expressed; other concerns were affirmative action in the higher grades, bureaucratic image, pay ceilings, unions, performance evaluation, and bonuses. The study correlated these with age, education, and grade, and whether the respondents reported to a career, non-career, or military executive, or worked in Washington D.C., or in the field.

McClenahan, John S. "Putting 'Human Thought' into the Government." Industry Week, No. 199 16. Oct 1978, pp. 39, 43, 48.

Alan Campbell, then chairman of the U. S. Civil Service Commission, outlined for Industry Week the initial and long run effects of proposed Civil Service reforms on efficiency and productivity; he also differentiated the effect of these reforms on civil servants at various levels of the bureaucracy. Despite the size of the workforce and the tension between political appointees and career civil servants, Campbell was optimistic that the net short-term effect of the CSRA would be increased flexibility in approaches to personnel management in government.

Marshall, Eliot. "Barely Civil." The New Republic, 140 (April 22, 1978), 12-14.

Cites the opposition to the Civil Service Reform Act of 1978 by the war veterans because it would reduce "veterans' preference" in Federal hiring. In particular, they do not like the proposal to trim the preference so that it would be given only for 10 years after a veteran leaves the service.

Moser, John O. "Management Implications of the Civil Service Reform Act (CSRA)." Washington, D.C.: U.S. Army Engineer Studies Center, Corps of Engineers, 1979. 29 p.

Identifies major new provisions of the Civil Service Reform Act and discusses the rationale for these reforms and the way these will work both at the agency level and at OPM. Decentralization of personnel management responsibilities and use of relationships between employees, supervisors, and managers, and organizational objectives, are two major themes of the CSRA. Specific recommendations for implementation of the CSRA at the Army Corps of Engineers conclude this brief monograph.

"Reforming the Civil Service From the Inside". National Journal, 29 Oct. 1977, pp. 1679-1682.

Reviews the process by which civil service reform proposals were developed in light of various criticisms and discusses key proposals of the Federal Personnel Management Project on collective bargaining, staffing and salary (including Veterans' Preference and "total comparability" of wages and benefits with the private sector); also describes the concept of the SES as it was evolving through the FPMP proposals.

Nigro, Felix A. "The Politics of Civil Service Reform." Southern Review of Public Administration 3 (Sept.1979), 196-239.

Focuses on the political aspects of Carter's proposals and on the strategy followed to deal with the opposition and to obtain passage of the legislation. The Civil Service Reform Act of 1978 correctly has been referred to as a complicated piece of legislation. For those with a special interest in personnel administration, it is essential reading in all its detail.

Rosen, Bernard. "Merit and the President's Plan for Changing the Civil Service System." Public Administration Review, 38, No. 4 (July-Aug. 1978), 301-304.

Points out four major defects in the administration's proposals for changing the Federal personnel system that need to be corrected to avoid undermining the impartiality and effectiveness of the civil service. The most serious is the possibility for manipulating the civil service for personal or political favoritism would be greatly increased because personnel policy would be made by an administrator serving at the pleasure of the president, instead of a bi-partisan body. Merit will be seriously endangered if one individual holds the unique power of making personnel policy for a Federal civil service with more than two million employees.

Sugarman, Jule M. "Civil Service Reform: Authority With Accountability." Management Review, 68, No. 4 (April 1979), 29-31.

Deputy Director of OPM Jule Sugarman identifies the themes and major programs of the CSRA and the new philosophy of the OPM as articulated by Director Alan Campbell. The delegation of personnel authority to agencies, regions, and districts, and strong leadership at OPM by professional managers are the major features of this philosophy.

Sundquist, James L. The Crisis of Competence in Government. In Setting National Priorities; Agenda for the 1980's, pp. 531-563. Washington, D.C.: Brookings Institution, 1979.
HJ 2051.S47

Analyzes at length the nature and justification for failing public confidence in the Federal Government, focusing on the inability of either the Congress, the President, or the political parties to formulate or execute integrated national policies and programs. The CSRA and the SES could be turning points in the evolution of professional, politically neutral, permanent civil service, providing badly needed continuity, especially at upper-executive levels.

Underberg, Mark A. and Bernard Rosen. "Backgrounder on Civil Service Reform". The House Wednesday Group, 10 May 1978.

After reviewing the history of civil service reform and citing current lack of public confidence in the Federal bureaucracy, this article describes the second Carter reorganization plan, and assesses the reform package's pros and cons. Concludes with comments by former Executive Director of the Civil Service Commission, Bernard Rosen, who questions the planned elimination of certain checks and controls on management.

U.S. Civil Service Commission. Introducing the Civil Service Reform Act. Washington, D.C.,: GPO, 1978.

Partial contents.--Merit system principles and prohibited personnel practices.--The new organization for personnel management.--New performance appraisal systems.--New procedures for adverse actions and appeals.--Special Counsel protections.--Grade and pay retention.--Veterans' preference and benefits.--Changes in Federal labor relations.--Trial period for new managers and supervisors.--Merit pay for managers and supervisors.-- Senior Executive Service.

U.S. Civil Service Commission. Launching Civil Service Reform; Summary Report of the Program Development Conference. Washington D.C.: GPO, 1978.

Summary report of the Program Development Conference held at Ocean City, Maryland, October 22-25, 1978. The conference was held to gain the advice and recommendations of Federal executives and managers, military commanders and personnel officials on implementing the major features of civil service reform. It was also designed to forge a new partnership among agency managers, personnelists, and the staff of the president's central agency for personnel management--the Office of Personnel Management.

U.S. General Accounting Office. "Civil Service Reform-Where It Stands Today". Washington, D.C.: GAO (FPCD-80-38, May 13, 1980).

The Office of Personnel Management (OPM) has made good progress in the first year. It has issued regulations and guidance on major reforms, conducted an extensive education and information program, and laid a foundation for extensive evaluation. GAO believes that the timeframe established by the act for implementing performance appraisal systems and merit pay systems may not give OPM and the agencies adequate time to develop and test these systems before implementation. GAO also has reservations about the liberalized early retirement program, Federal executive pay, grade and pay retention procedures, and the minority recruitment program.

United States Office of Personnel Management. OPM Releases
Attitude Survey Results. (News Release) November 9, 1979.

Summarizes preliminary findings of the first government-wide attitude survey of Federal Employees, released in 1979 by the OPM; emphasizes implications of the results for Civil Service Reform, and compares attitudes of Federal and private sector workforces.

COLLECTIVE BARGAINING - U.S. FEDERAL LABOR RELATIONS AUTHORITY

Capio, Ralph J. "The Scope of Bargaining Under the Civil Service Reform Act of 1978." Air Force Law Review, 20, No. 4 (1978), 493-500.

Conflict between negotiated (collective) Federal employee rights and statutory (individual) rights of employees was targeted by President Carter's Personnel Management Project, charged with developing recommendations for civil service reform. These recommendations, outlined in this article, resulted in increased scope of the collective bargaining grievance and arbitration system, except in those areas deemed too "crucial and sensitive" to be reviewed by private arbitrators.

Coleman, Charles J. "The Civil Service Reform Act of 1978: Its Meaning and Its Roots." Labor Law Journal, 31, No. 4 (April 1980), 200-207.

Compares provisions of the CSRA with private sector and earlier public sector Federal labor laws (the Labor Management Relations Act of 1947, and Executive Orders 10988 and 11494), in regards to basic employee and union rights, administrative and legal safeguards, and collective bargaining rights and procedures. Concludes that excessive statutory restrictions on collective bargaining under the CSRA not only follow the conservative pattern of previous Federal law, but, because they are established by the Congress rather than by executive order, they will be harder to change.

Fraizer, Henry B., III. "Labor-management Relations in the Federal Government." Labor Law Journal, 30, No. 3 (March 1979), 131-138.

Explores, as a member of the newly created Federal Labor Relations Authority, its responsibilities under the Civil Service Reform Act of 1978, the provisions for judicial review, and the grievance provisions of the act. Believes, from third party perspective, the most significant changes are (1) the very enactment of the Federal Service Labor-Management Relations statute itself; (2) the establishment of the Federal Labor Relations Authority, including an independent General Counsel; (3) the provision for judicial review and enforcement of orders of the Authority; and (4) change in dispute resolution procedures, especially in the area of negotiated grievance procedures.

"How Carter Would Remold Civil Service." Business Week, No. 2526 20 Mar. 1978, pp. 33-34.

Asserts that the Administration's planners have made deals with many special interests in Washington in efforts to overhaul the bureaucracy. Labor unions have been promised improvements in collective-bargaining and civil rights groups are being offered a more sympathetic forum to hear discrimination complaints. The Federal employee unions oppose incentive plans just as the unions

do in the private sector. Both the AFGE and its parent, AFL-CIO, have endorsed the proposed reforms. Their price is a pledge by President Carter to work toward a labor relations bill to formalize grievance arbitration procedures. Civil rights groups seized the opportunity to push the Equal Employment Opportunity Commission into adjudicating discrimination charges brought by Federal employees.

Klingner, Donald E. "Federal Labor Relations After the Civil Service Reform Act." Public Personnel Management Journal, 9, No. 3 (May-June 1980), 172-183.

Examines the seven general areas of Article VII of the Civil Service Reform Act of 1978 concerning Federal labor relations practices: bargaining unit determination; determining the scope of bargaining; contract negotiation; mediation; fact-finding and arbitration; contract administration; unfair labor practices; miscellaneous provisions.

Kovach, Kenneth A. "The F. L. R. A. and Federal Employee Unionism." Public Personnel Management, 9, No. 1 (Jan.-Feb. 1980), 7-10.

Traces development of union guidelines in the Federal sector with special attention to the administrative role of the FLRA. Also shows the progression from Executive Orders 10988, 11491, and sketches the particular responsibilities of the FLRB, the Office of the General Counsel, the Federal Service Impasse Panel, and the Federal Mediation and Conciliation Service.

Newland, Chester A. "Federal Government Labor-Management Relations." The Bureaucrat, 7, No. 3 (Fall 1978), 8-15.

States that the recommendations of the Labor-Management Relations Task Force of the Federal Personnel Management Project can be best understood in terms of two key features. First, these proposals were formulated as a part of a comprehensive reorganization of the Federal civil service system and for the first time, labor-management relations were not dealt with as just another add-on to prevailing personnel practices. Outlines task force ideas for the proposed Federal Labor Relations Authority.

PERFORMANCE APPRAISAL - MERIT PAY - ACCOUNTABILITY

Andronicos, Bill. "Workers Rip Job Appraisals." Federal Times, 26 Nov. 1979, p. 1, col. 5; p. 14, cols. 1-3.

The results of the first systematic testing of Federal job attitudes by an OPM survey are reviewed and contrasted with similar tests in the private sector. Job satisfaction is analyzed for managers and executives, employees inside and outside the Washington area. The results indicate dissatisfaction with performance appraisals, strong commitment to the employee's organization and fellow employees, and questioning, especially by executives, of the fairness of job appointments.

Beusse, William E. "Performance Appraisal. The Thirteenth Labor of Hercules." GAO Review, 15, No. 1 (Winter 1980), 37-39.

Performance appraisal is now, more than ever, an integral part of management. Performance appraisal is, however, not an end in itself; rather, it is a means of giving management and employees information they both need. It is a tool, and its effectiveness is dependent upon appropriate use by skilled users.

Campbell; Alan K. "Accountability: The Bottom Line of Reform." The Bureaucrat, 7, No. 4 (Winter 1978), 13-16.

Then chair of the Civil Service Commission, Alan Campbell defended the CSRA as a package providing managerial flexibility necessary to improve government efficiency and productivity, along with accountability for performance through incentive pay schemes at managerial levels. He calls for better training and development of managers as another step toward improved public service.

Clark, Timothy B. "Making Government Workers Toe the Performance Line." National Journal, 11, No. 28 (July 14, 1979), 1162-1166.

Now that the Civil Service Reform Act is on the books, the government's top managers say that one of its principal benefits should be a much more precise definition of what agencies and their employees should accomplish. They argue that the heart of the civil service reform is found in two words: "performance appraisal." By setting standards for workers and by holding them accountable for their performance, the government will reap great rewards. One should not look for those rewards any time soon, however.

Collett, Merrill J. "Concluding Thoughts About Accountability in Government." The Bureaucrat, 9, No. 2 (Summer 1980), 20-22.

Summarizes a series of eight articles on accountability of public managers. The relations between management flexibility and the need for performance standards, the oversight role of the Congress, programmatic as opposed to individual accountability, career versus politically appointed managers, and the possibilities of abuse in the Civil Service Reform Act were among the subjects treated in the series.

Fiss, Barbara. "Merit pay: A New Outlook on Equal Pay for Equal Work." Classifiers Column, 11, No. 1 (Feb. 1980), 20-21. 1980), 20-21.

Briefly outlines coverage, administration, evaluation, and implementation of CSRA merit pay provisions; also relates merit pay to performance appraisal and the concept of equal pay for equal work.

Hashian, Lynn. "C&CS February meeting -- Performance Appraisal and Merit Pay." Classifiers Column, 10, No. 3 (Mar. 1979), 1-6.

Panel discussion at a meeting of the Classification and Compensation Society focused on implementation of performance appraisal and merit pay provisions of the CSRA. Various OPM programs and guidelines were reviewed, followed by a lengthy question and answer session about OPM's interpretation of CSRA provisions and their implications for personnel procedures and management.

Jasper, Herbert N. "The Merit System: She Ain't What She Used To Be." The Bureaucrat, 8, No. 4 (Winter 1979-1980), 25-29, 31-33.

Proposes urgently needed steps to improve the implementation of the reorganization plan and the reform act in order to protect against recurrence of the pattern of abuse previously experienced. Describes one aspect of the massive breakdown of the accountability which has, so far, gone undocumented.

Kahn, Steven C. "Industrial Relations in the Public Sector; The Civil Service Reform Act of 1978: Born Again Merit Employment." Employee Relations Law Journal, 4, No. 4 (Spring 1979), 595-602.

Details Title I Merit Principles, Title II Civil Service Functions: Performance Appraisal; Adverse Actions, and Title VII Federal Service Labor Management Relations, of the Civil Service Reform Act of 1978.

Krieger, Hyman L. "Performance Appraisals -- An Opportunity for Improved Management." GAO Review, 15, No. 1 (Winter 1980), 33-36.

Advises that the most important thing to remember is that civil service reform is only a framework for improved performance appraisal and human resources management. By no means is it a guarantee of better management unless managers themselves become convinced that personnel management is a crucial aspect of program management and both the agencies and managers are strongly committed to taking the time to set up appraisal systems which link appraisal to other personnel decisions.

Lacey, Paul D. "Will Merit Pay Work?" GAO Review, 14, No. 3 (Summer, 1979), 55-57.

Believes that the cornerstone of Title V of the Civil Service Reform Act of 1978 concerning merit pay will be the performance appraisal system used to measure how well an individual performs. The extensive use of management-by-objectives approaches and other objective setting techniques should enhance the appraisal system. However, a considerable amount of the credibility and integrity of any merit pay program must emanate from the employees' "belief" that their supervisor or manager can rate them objectively and accurately.

Lawler, Edward E. "Performance Appraisal and Merit Pay." Civil Service Journal, 19, no. 4 (April-June 1979), 13-18.

With performance appraisal a key element of civil service reform, understanding its rationale and methods becomes critical. This article explains how and why it may be done most productively, e.g. by tying performance appraisal to job design; by making it inclusive and behavior-oriented; and by having it occur at all organizational levels as an open, two-way process.

McIntyre, James T. "CSRA Incentives for Effective Management." Management, 1, No. 1 (Sept. 1979), 6-7.

Briefly describes the key role of Federal managers in increasing government efficiency through new flexible personnel systems based on incentives and compensation. Identifies performance appraisal and research and development as critical tools in using the new systems to increase program effectiveness.

Newland, Chester A. "Performance Appraisal of Public Administrators: According to Which Criteria?" Public Personnel Management, 8, No. 5 (Sept.-Oct. 1979), 294-304.

Examines three double sets of criteria; (1) expectations of the public agency and of subordinates, focusing principally on new United States Government performance appraisal provisions, with an example for illustration; (2) requirements of the law and responsibility to the public; and (3) professional standards and expectations of self. General functions of executive-level public administrators are identified.

Rosen, Bernard "A New Mandate for Accountability in the National Government." The Bureaucrat, 8, No. 1 (Spring 1979), 2-8

Looks at the civil service reforms which give Federal managers increased discretion and flexibility in personnel matters, but which also make them more accountable for achieving results. Further, the reforms provide the institutional mechanisms and statutory means for holding managers accountable for personnel decisions based on merit principles.

Staats, Elmer B. "Accountability for Career Development - A Must for Improved Program Management." The Bureaucrat, 8, No. 3 (Fall 1979), 2-6.

The call for accountability in government, and specifically in personnel management, is at the heart of the Civil Service Reform Act. By increasing managers' responsibility for developing personnel standards, the CSRA focuses attention on the need for personnel development in general. Staats argues that the critical importance of developing career staff to achieving organizational goals should encourage more innovative and working-level (as opposed to classroom) training of career personnel in government.

Stimson, Richard A. "Performance pay--Will It Work?" Defense Management Journal, 15, No. 4 (July-Aug. 1979), 23-27.

Asserts that the provision of the Civil Service Reform Act which awards pay increases, based largely on performance, to middle and senior-level managers is being reviewed with bittersweet feelings of optimism and apprehension. Says that the belief that increased productivity will result from the motivational effect of more money is not widely supported by modern management theory.

Sugar, Mary M., et al. "Performance Appraisal - Cornerstone or Civil Service Reform." Civil Service Journal, 19, No. 4 (April-June 1979), 19-20.

A quick rundown of the statutory requirements for performance appraisal in the CSRA, with a discussion of the role of managers in implementing various types of performance appraisal systems.

Sugarman, Jule. "Some Realistic Criteria for Appraisal Systems." Management, 1, No. 3 (Spring 1980), 16-21.

Explains the required elements and uses of appraisal systems. "Performance appraisal relates directly to the management processes of budgeting, setting staff levels, planning, and controlling work." Includes examples.

Sylvia, Ronald D. "Some Potential Impacts of the Carter Reforms Upon Agencies with MBO System." The Bureaucrat 9, No. 2 (Summer 1980), 48-52.

Points out potentially adverse effects of linking pay to performance for agencies using MBO and performance appraisal systems. Specific recommendations include training (for employees) in goal development, and (for the "rank and file professional") training in MBO. The need for management and employees to develop specific performance criteria and standards, and for awards to be distributed in ways that minimize stress, are also emphasized.

U.S. General Accounting Office. "Federal Agencies Should Use Good Measures of Performance to Hold Managers Accountable." Washington D.C.: GAO (FPCD-78-26), November 22, 1978.

GAO's study of three federal agencies (Forest Service, SBA, and VA Department of Veterans' Benefits) concluded that for the CSRA to be implemented effectively, the OPM must guide agencies to develop better work measurement data for assessing performance; the agencies must also protect staffing requirements more accurately." Institutional barriers" to effective staff management--problems of perception, politics, and personnel processes--are also discussed briefly.

White, Robert. "Performance Enhancement by Reciprocal Accountability." Public Personnel Management, 8, No. 4 (July-Aug. 1979), 262-276.

Outlines a performance enhancing system based on reciprocal accountability, showing how Title II (Performance Appraisal Systems) of the Civil Service Reform Act of 1978 could be implemented consistently with behavioral science findings regarding productivity effects and democratic values.

Wiseman, Ben W. "Jumps at Justice: A Model for Merit Pay." Management, 1, No. 3 (Spring 1980), 5-7.

Provides a detailed look at the Justice Department's proposed system and the problem-solving process behind it.

SENIOR EXECUTIVE SERVICE

"All You Ever Wanted To Know About SES." Civil Service Journal, 19, No. 4 (April-June 1979), 4-12.

A group of SES-eligible managers quiz OPM's Associate Director for Executive Personnel and Management Development about the transition to and mechanics of the SES (e.g., mobility between career and noncareer status and agencies; development of performance standards; establishment of pay levels; guarantees of equitability in evaluation; and handling of appeals and lawsuits).

Brown, Harold. "Civil Service Reform: A World of Responsibility for Management." Defense Management Journal, 14, No. 6 (Nov. 1978), 9-11.

Views of the Secretary of Defense on civil service system reform focusing on the responsibilities of government managers under the new act. Remarks were delivered on October 23, 1978, at the Conference on Civil Service Reform, Ocean City, Md.

Clark, Timothy B. "Senior Executive Service--Reform from the Top." National Journal, 30, Sept. 1978, pp. 1542-1546.

Reviews the Senior Executive Service plan. Advocates believe that the reform will significantly enhance the ability of key political appointees to manage their agencies by making it easier for them to choose their own teams among the top career civil servants. Detractors fear that the Senior Executive Service reform will accomplish exactly what the civil service system is supposed to prevent--the intrusion of partisan politics and personal favoritism in the selection of top employees and the administration of Federal programs.

Dullea, James F. "Developing Managers of the Senior Executive Service." Training & Development Journal, 33, No. 1 (January 1979), 50-53.

Discusses section 3396(a) of the Civil Service Reform Act of 1978 which is the first legislative mandate for governmental executive development and which directs the Office of Personnel Management to help agencies in establishing executive development programs, monitoring for compliance with government-wide criteria, and taking corrective action where necessary. The keys to the new system are performance and bonuses which will be awarded on the basis of merit. This approach is expected to have implications for the employee development community.

Dullea, James F. "Prospects for Executive Development." The Bureaucrat, 8, No. 1 (Spring 1979), 40-45.

Sets forth the factors which led to the Civil Service Reform Act of 1978 provision of the first clear requirement in law that

the Federal Government must conduct executive development programs, and it lists some general rules that should apply.

"Every Good Bureaucrat Deserves Favor." Forbes, 124, No. 5 (Sept. 3, 1979), 32-33.

Points out that the newly created Senior Executive Service (SES) is a radical departure from traditional civil service concepts. It is a government-wide pool of the bureaucracy's best and brightest; SES members swap the security of their firmly entrenched positions for a chance to compete for material rewards. No more automatic promotions, pay hikes, or lifelong tenure. Evaluations will be like those in private industry.

Flanders, Loretta R. "Strengthen Federal Executive Development." The Bureaucrat, 8, No. 2 (Summer 1979), 24-29.

Highlights provisions in the Civil Service Reform Act that OPM will establish programs for government-wide executive development. While guidelines for executive development were drawn up in the 1960's, the new programs would differ from the old (Federal Executive Institutes, Executive Seminar Centers, and Federal Executive Development Program) not only by having increased status, visibility, and funding, but more importantly by tying development programs to SES certification and performance appraisal. OPM is responsible for developing criteria for the new programs. A likely framework for these may be found in the recommendations of the 1978 Preston Report, which is summarized here.

Gilbert, G. Ronald and John V. Sauter. "The Federal Executive Institute's Executive Development Programs." Public Personnel Management, 8, No. 6 (Nov.-Dec. 1979), 407-415.

Reviews some of the practices of executive development in the Federal Government and identifies some of the discrepancies which currently exist between the espoused policy in Federal executive development and those which are actually practiced. Focuses on the Federal Executive Institute of the OPM. The authors were professors at the FEI during the period 1974-1977.

Lasko, Warren. "Executive Accountability: Will SES Make a Difference?" The Bureaucrat, 9 No. 3 (Fall 1980), 4-6.

Makes preliminary observations on how the Senior Executive Service is working out in practice. These strictly relate to how SES is likely, or not likely, to make a difference in "accountability" of senior executives in the Federal service.

Lynn, Naomi B. and Richard E. Vaden. "Bureaucratic Response to Civil Service Reform." Public Administration Review, 39, No. 4 (July-Aug. 1979), 333-343.

Supergrade career Federal executives are both the targets and prospective agents of the 1978 Civil Service Reform Act; their attitudes toward the reforms have an impact on how these reforms are implemented. Over 1,200 questionnaires and 25 interviews with these executives revealed their pessimism about the effect the reforms will have on efficiency and effectiveness of public service, but strongly support reforms giving managers more discretionary power over agency personnel. Correlations between support for reforms and attitude and other factors (including age, experience, grade, and job location) are displayed and analyzed.

Reed, Leonard. "The Joy of SES: Praise Reform and Pass the Bonus." The Washington Monthly, 12, No. 7 (Sept. 1980), 43-48.

Analyzes the Senior Executive Service (SES), the centerpiece of the Civil Service Reform Act of 1978. When the SES began, 98.8 percent of the eligibles joined, only 81 individuals declined. The decision to join was virtually unanimous. Looks at the reward and penalty pay arrangement generally and more specifically the systems in the Dept. of Health and Human Services and the Dept. of Housing and Urban Development.

Sundquist, James. "Civil Service Reform's Pitfalls and Opportunities." Good Government, 2 (1979), 4-5, 11-12.

Examines the politicization of the U.S. civil service and the expected success of the CSRA in providing a basis for rebuilding a career civil service, especially at management levels. Without a clear policy stating which executive positions should be career, neutrality in personnel decisions or policy enactment cannot be achieved. In addition, the belief that all executive decisions are inherently policy decisions erodes confidence in the possibility of developing a neutral professional corps.

U.S. Executive Office of the President. Senior Executive Service: Federal Civil Service Reform and Organization. Washington, D.C.: GPO, 1978.

Provides answers to questions concerning the Senior Executive Service (SES) which was created by the Civil Service Reform Act.

U.S. Office of Personnel Management. Meeting the Management Imperative for Executive Development; A Report of the Task Force on Executive Development in the Senior Executive Service. Washington, D.C.: GPO, 1978.

Chartered to recommend the courses of action that both the new Office of Personnel Management (OPM) and the government agencies should follow to establish systematic programs for the selection and development of candidates for the Senior Executive Service and for the continuing development of SES members. The Task Force set out to (1) examine current agency practices concerning executive selection and development; (2) gauge how well current practices prepare people for executive positions; (3) identify factors which inhibit or prevent better executive development job preparation from taking place; (4) provide practical suggestions proposing the nature of activities most supportive of executive development; (5) develop criteria which describes the framework and essential features upon which OPM and agencies should design these programs.

Vincent, Jack. "SES - The Role of the Classifier." Classifiers Column, 11, No. 2 (Feb. 1980), 24-25.

Compares the SES with the GS and Executive Level pay and grade scales, while outlining some of the unique features and requirements of the SES. The need for performance appraisal training, job design flexibility, and job analysis skills, make the role of the classifier critical in implementing the SES.

WHISTLEBLOWING - INSPECTORS GENERAL - OFFICE OF THE SPECIAL COUNSEL

Baran, Andrew. "Federal Employment - The Civil Service Reform Act of 1978 - Removing Incompetents and Protecting the Whistleblowers." Wayne Law Review, 26 (Nov. 1979), 97-118.

Examines the new procedures promulgated by the Civil Service Reform Act of 1978 and the likelihood of their success. Especially important is the act's singling out of reimbursement in cases where the agency action involved a prohibited personnel practice, such as retaliation against a whistleblower, since these are often the most fiercely contested. States that the legislation is, at best, only the beginning of the effort to bring real change to the civil service system.

Burnett, Arthur L. "Management's Positive Interests in Accountability Through Whistleblowing." The Bureaucrat, 9, No. 2 (Summer 1980), 5-10.

Emphasizes that Federal managers at all levels have a positive interest in encouraging employee disclosures of violations of law, mismanagement, waste of funds, and abuse of authority. The Civil Service Reform Act mandates that internal procedures and processes be developed to promote substantial and specific whistleblowing; incentives based on merit system principles (pay increases and cash awards) can be offered, also protection from reprisal. These incentives are built into the concept of the Senior Executive Service. Other tools for promoting productivity include research and demonstration of new personnel management concepts, and internal communications.

Doherty, Robert P. "Shaping the Inspector General Law." Government Accountants Journal, 38, No. 1 (Spring 1979), 1-7.

Gives a history of coordinated audit and investigative offices in Federal agencies, and explains how these became statutory under the Inspector General Bill; sums up provisions of the new law from the general operation of these offices to specific agency treatment and exclusions. Reports on reactions to the bill, especially at management levels.

Fountain, L. H. "What Congress Expects from the New Inspectors General." Government Accountants Journal, 38, No. 1 (Spring 1979), 8-12.

The text of an address by the congressman who introduced the Inspectors General Bill, stressing the need for centralization and coordination of auditing and investigative responsibilities that led to this legislation. After providing a history of the bill, Rep. Fountain outlines the responsibilities and independence which the Inspectors General will have.

Kieffer, Jarold A. "The Case for an Inspector General of the United States." The Bureaucrat, 9 No. 2 (Summer 1980), 11-20.

Argues that serious gaps exist in the machinery to deal with wrongdoing by members of the Congress and high-level executive appointees. Processes of investigation and prosecution are fragmented and incomplete; investigators lack political independence; current criminal codes and procedures have no deterrent effect; "early warnings" are bogged down in investigative machinery; and lower rank employees lack whistleblowing protection. A new independent and permanent Office of the Inspector General is proposed to investigate and prosecute high-level wrongdoing.

Kovler, Peter. "Blowing the Whistle: Can Conscientious Federal Employees Be Protected?" Commonweal, 105, (Sept. 15, 1978), 591-593.

Argues that the civil service reform proposals do not include enough protection for Federal "whistleblowers." Suggests that there are other legislative proposals, including the proposed Review Board on Improper Government Action, which would provide greater protection.

McBride, Thomas F. "The Role of Audit Under the Inspector General Concept." Government Accountants Journal, 38, No. 1 (Spring 1979), 13-20.

The Inspector General of the Department of Agriculture analyzes the Inspector General Act, identifies its key provisions, and describes the relations between auditing and investigative techniques and activities. Advocates cross-training of auditors and investigators, intergovernmental auditing, and increased management responsibility for the control of fraud and abuse.

Mitchell, Greg. "Blowing the Whistle." Washington Post Magazine, 12, Aug. 1979, pp. 12-19.

Protections and media access for Federal, State, and private (corporate) whistleblowers are compared and related to an explanation of the new Office of the Special Counsel and other CSRA whistleblowing provisions. Weaknesses and successes to date of the new Federal procedures are evaluated; the work of the GAO fraud hotline and the Institute for Policy Studies' Government Accountability Project (GAP) in uncovering fraud, waste, and mismanagement. Counseling whistleblowers, is also discussed.

Nocera, Joseph. "Inspectors General: the Fraud in Fighting Fraud." The Washington Monthly, 10, No. 11 (Feb. 1979), 31-39.

Each of the executive agencies has been mandated to establish an Office of Inspector General to investigate internal waste, fraud, and abuse; two of these--at DOE and HEW--are already in operation. Nocera argues that the tendency of these offices to be held by unaggressive "career" investigators, and the tendency of whistleblowers to leak information directly to the Congress, make the office ineffective, particularly since they do not investigate the overall mismanagement and bad program design which is the source of most big government waste.

Raven-Hansen, Peter. "Do's and Don'ts for Whistleblowers: Planning for Trouble." AMA Management Digest 3, No. 4 (Oct. 1980), 4-8.

A lawyer's suggestions on how to blow the whistle effectively include focusing on the disclosure rather than on personalities, using regular channels (regulatory agencies, the legislation, public interest groups) before going to the media, documenting the allegation exactly, and anticipating and documenting retaliation. Whistleblowers should also know which disclosures are mandatory and which are prohibited.

"Special Counsel's role." BNA/The Government Manager, no. 201 8 Sept. 1980, pp 4-5.

Identifies the prohibited personnel practices investigated by the Merit Systems Protection Board's Special Counsel. Prohibited personnel practices include discrimination based on race, color, religion, sex, marital status, national origin, age, handicap, or political affiliation; consideration of employment recommendations based on factors other than personal knowledge or records of job-related characteristics; willful obstruction or deception of any person competing for employment; nepotism; and reprisals against whistleblowers or employees who are exercising appeals rights under the act.

Tate, Tom. "Civil Service Reform Critic's Advise: Just Grin and Bear it." Federal Times, 26 Mar. 1979, pp. 13, cols. 1-3.

Drawing on his experience representing whistleblowers at the FDA, attorney Allen Eaton describes the CSRA as an "unnecessary piece of legislation" which offers only illusory protections against subjectivity in Federal personnel matters. Eaton also sees continuing potential for revolving-door industry-government links and for racist effects of new personnel procedures.

Tate Tom. "Patrick Swygert: Man in Transition," Federal Times, 16 Apr. 1979, pp. 13, cols. 1-2; pp. 16. col.6.

Views of the Special Counsel to the Merit Systems Protection Board, Patrick Swygert, re the Rogovin Report on alleged abuses in the Civil Service Commission, and on the role and operations of his office are presented here, along with some analysis of how Swygert's background as General Counsel to the Civil Service Commission may affect his role as prosecutor of civil service statute, rule, and regulation violations.

SELECTED GAO REPORTS

U.S. General Accounting Office. The Federal Labor Relations Authority: Its First Year in Operation. Washington, D.C.: GAO (FPCD-80-40, Apr. 2, 1980.)

U.S. General Accounting Office. First Look at Senior Executive Service Performance Awards. Washington, D.C.: GAO (FPCD-80-74, Aug. 15, 1980).

U.S. General Accounting Office. First Steps Completed in Conversion to Senior Executive Service. Washington, D.C.: GAO (FPCD-80-54, July 11 1980).

U.S. General Accounting Office. First-Year Activities of Merit Systems Protection Board and the Office of the Special Counsel. Washington, D.C.: GAO (FPCD-80-46, June 9, 1980).

U.S. General Accounting Office. The Office of Special Counsel Can Improve Its Management of Whistleblower Cases. Washington, D.C.: GAO (FPCD-81-10, Dec. 30, 1980).