

Administration of DOT

A1

## ADMINISTRATION OF THE DEPARTMENT

### Staffing the Department.

Shortly after the preparation of the Task Force Report was begun, the President announced that he would appoint as the first Secretary of Transportation Mr. Alan S. Boyd, then Under Secretary of Commerce for Transportation. As indicated earlier Mr. Boyd and his staff had a prominent role in drafting legislation and in the formation of the Department and particularly in the decisions concerning the structure and functions of the organization.

Since most of the functions and personnel of Mr. Boyd's bureau in the Department of Commerce were also to be transferred to the new Department, selection of Mr. Boyd as the first Secretary made the transition into the Department considerably easier than it might otherwise have been.

Besides personnel from Mr. Boyd's Bureau at Commerce, functions and personnel were transferred to the Department from: Federal Aviation Agency, Coast Guard, Bureau of Public Roads, St. Lawrence Seaway Development Corporation, Great Lakes Pilotage Administration, National Highway Safety Agency, the Alaska Railroad, and the Bureau of Safety of the Civil Aviation Board. In addition, functions and personnel for specialized duties were transferred from the Army Corps of Engineers (anchorage, bridge regulation and toll functions); from the Interstate Commerce Commission (rail and motor carrier safety); and from the Civil Aviation Board (safety enforcement appeals). Personnel assigned to duties related to those just named, such as legal services, public information, management systems,

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administrative and budget services, were also transferred to the Department. To begin the work of the Department of Transportation, the agencies transferred to it brought with them some 92,000 employees and assets totalling nearly six billion dollars as the Department began operations on April 1, 1967.

Since the operating Administrations were staffed by personnel already employed before the units were transferred to the Department, initially they had no serious staffing problems. The Secretary's office, on the other hand, had to be staffed with entirely new employees. Selection of the more junior new personnel was originally done by a working group of the Trimble Task Force, while more senior positions were filled by comparing the qualifications of the many applicants with a series of job descriptions prepared by a panel made up of the senior position classifiers of the several agencies represented on the Task Force, acting as a special working group.

In fact, by April 1, 1967 when the Department officially came into being, all the Secretarial officers of the Department, with the exception of the Assistant Secretary for Research and Technology, had been selected and sworn in. Even though they operated with skeleton work forces, therefore, the Secretary's immediate staff was practically complete. The Secretarial officers of the Department on April 1 were:

Under Secretary -- Mr. Everett Hutchinson

Mr. Hutchinson is a lawyer; he had held several positions in the Texas State Government and in the ICC and other Federal agencies having to do with transportation. He came to the Department from the Presidency of the National Association of Motor Bus Owners. He resigned on April 1, 1968 and was replaced by the General Counsel, Mr. John Robson.



Assistant Secretary for Policy Development -- Mr. M. Cecil Mackey

Mr. Mackey is both a lawyer and an economist, having held University teaching appointments in both fields. He worked in policy development offices both in FAA and in the Department of Commerce.

Assistant Secretary for Public Affairs -- Mr. John L. Sweeney

Mr. Sweeney is also a lawyer. He had worked as Legislative Assistant to Senator McNamara, Legislative Secretary to Governor G. Mennen Williams of Michigan, and/similar positions before becoming affiliated in with the Appalachian Regional Commission. He served that body in several positions, finally as Federal Co-chairman of the Appalachian Regional Commission.

Assistant Secretary for International Affairs -- Mr. Donald G. Agger

Mr. Agger is an attorney who had held positions in the Department of Defense, especially in Paris as an officer in International Security Affairs. He came to the Department from private law practice in Washington.

General Counsel -- Mr. John E. Robson

Mr. Robson came to the Department from a Chicago law firm; he had had experience as a consultant to the Director of the Bureau of the Budget. On May 28, 1968 the President appointed S.G. Ross to succeed Mr. Robson.

Assistant Secretary for Administration -- Mr. Alan L. Dean

Mr. Dean came to the Department from the position of Associate Administrator for Administration of the Federal Aviation Agency. Before that he had served as a Senior Management Analyst in the Bureau of the Budget.



Assistant Secretary for Research & Technology -- Mr. Frank H. Lehan

The post of Assistant Secretary for Research and Technology was filled on December 18, 1967; the incumbent chosen was Mr. Frank W. Lehan. Mr. Lehan was an industrialist and specialist in systems technology who had served as a panel member of the President's Science Advisory Committee. His special interests had been in the areas of electronics and aeronautics.

Department's Initial Actions

In establishing the Department of Transportation, PL 89-670 assigned to the Secretary of Transportation the responsibility for the conduct of the Coast Guard, the Federal Aviation Agency, the Bureau of Public Roads and a series of smaller Government agencies, and at the same time, created a Federal Highway Administration, a Federal Railroad Administration, and a Federal Aviation Administration. The first Departmental Order<sup>1/</sup> promulgated by the Secretary therefore provided for the continued performance of the functions of the several component units by re-allocating to the Administrators and the Commandant of the Coast Guard most of the powers, duties and functions pertaining to their major responsibilities that had been transferred to the Secretary of Transportation. In addition, however, the Secretary assigned to his new Administrations some of the functions that had been transferred to him from other agencies. Thus, for example, he assigned to the Coast Guard such functions as the control of vessel anchorages, regulation of draw bridges and bridges over navigable waters, preventing of pollution of waterways, and control of the Great Lakes Pilotage Association.

To maintain adequate control of the Department, however, the Secretary had to reserve for himself a number of functions; these were spelled out in detail and included, among others, preparation of reports to the President, the Congress and the Bureau of the Budget. Especially important was the reservation of reports or proposals relating to transportation policy or investment standards or criteria, because Section 7 of the DOT Act which refers to the development of transportation investment standards was one of the most sensitive and hotly debated controversies in the passage of the Department of Transportation Act. Other reserved areas of business included budget and finance matters, intervention in proceedings before regulatory commissions, allocation of supergrade personnel, judgments concerning security matters, requests to the Joint Committee on Printing for printing approvals, apportionment of funds, issuing of rules and standards, and similar sensitive matters.

Since it was plain that there would necessarily be many cases in which activities of elements of the Department would have a close relationship with the regulatory agencies such as the ICC, the CAB and the Maritime Commission, the Secretary immediately undertook a series of meetings with those bodies during which he continuously emphasized that the DOT would have no responsibility for regulation of any carrier or mode of transportation; his instructions to the Department emphasized that attitude.

New Institutional Arrangements. In its recasting of governmental activities with respect to transportation, the Congress in PL 89-670 directed that the new Department should reorganize certain existing agencies and

create some few new ones. These included such new structures as the National Transportation Safety Board, and the National Highway Safety Bureau, and such reorganized structures as the Federal Railroad Administration and the Federal Highway Administration. All of these institutions were organized shortly after the Department was established, and all began to carry out their functions, even if only with skeleton staffs.

NTSB. One of the most significant of the totally new structures created by the Department of Transportation Act was the National Transportation Safety Board, authorized by Section 5 of the Act. Because its functions include determining the causes of transportation accidents and reporting the facts and circumstances of such accidents, and reviewing actions of the Department's officers, the Board<sup>was seen to</sup> require assurance of independence and freedom of action. Safeguards included the provision that members of the Board be appointed by the President with the advice and consent of the Senate and the provision that the Board make its own annual report to Congress; in addition the Act provided that the Board should be independent of the Department and its officers in the exercise of its own functions.

The Department of Transportation Act transferred to the Department and to the NTSB (Section 5) the existing safety functions of the FAA, the CAB, the ICC and the Coast Guard. In practice the Board has elected to devote most of its attention to accidents involving scheduled airline flights.

In the operations of the Department the independent character of the Board is recognized by the paragraph routinely inserted in the Secretary's



orders to the effect that ". . . pursuant to delegation by the National Transportation Safety Board under Section 5(m) of the DOT Act, this directive is applicable to the National Transportation Safety Board."

The budget for Fiscal Year 1967 allowed 249 positions to the Safety Board; 200 employees were actually assigned to the Board.

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### Administrative Systems Development

Once steps had been taken to establish a workable design for the Department and assure suitable personnel to perform the functions designated, studies were begun to improve the administrative controls and administrative patterns employed to conduct the Department's business. Several of these programs are discussed here, including counterpart studies, organization of field coordination groups, executive personnel management studies, and administrative savings studies. It is not intended to suggest that these programs were the only concerns of the administrative officials of the Department, but rather that these efforts were intended to function in addition to the normal administrative tasks of any government agency, such as personnel and training, budget, office services, publishing, logistics, auditing, and security. The latter functions were also organized and began to function as soon as the Department began or, in some instances, even before the Department began operating.

Counterpart Studies. This management tool is an effort to examine a series of functions performed in both the Office of the Secretary and in the Administrations with the purpose of determining whether opportunities for savings of either money or manpower can be identified. At least in theory, combining several organizations that had similar service and support functions built into their structures should allow opportunities to consolidate like functions. This possibility was given as one reason for the creation of the Department. Since such functions as legal services, accounting, budget preparation, data processing, library services and similar functions were common to several elements of the Department, the Secretary instructed Assistant Secretary Dean to begin the counterpart studies as soon as possible. The first such study to be begun, the first to be completed and the only one that has been adopted was the study on Personnel and Training, transmitted to the Secretary on January 20, 1968.

The study recommended that ten positions from the FAA Office of Personnel and Training be transferred to the Secretary's office and two military personnel positions to be similarly transferred. A five-position training function should be established in the Office of the Secretary. An intra-departmental study group was recommended to review requirements for internal manpower information. The difficulties encountered in preparing the study and in the effort to have its



conclusions adopted and implemented in the Department are suggestive of the problems encountered in trying to rationalize most of the areas of management in the Department. FAA personnel officers, for example, opposed the recommendations on the ground that the formation of the Department had not lightened their workload to the degree that they could dispense with some of their manpower. They maintained that they had to perform all of the functions they had previously performed in addition to the new requirements imposed by the Department's personnel office, although in theory the Department should perform some of the functions that the Administrations' personnel officers had formerly carried on. The Secretary accepted the recommendations of the counterpart study and implemented<sup>1</sup> them.

Counterpart study of legal services. The nature of the counterpart studies is well expressed in the introduction to the study on legal services within the Department. The study was designed, it indicated, to "examine the role and relationship of the Office of the Secretary vis-a-vis the operating administrations to determine what adjustments, if any, should be made of responsibilities and resources." On the other hand, the study was "not concerned with the desirability or feasibility of consolidating all legal activities under the DOT General Counsel, with the workload, or with the proper balance of legal

resources between the various administrations."<sup>2</sup> The decision not to centralize the legal functions in the Department and consolidate legal personnel had already been made by the Secretary when he authorized this study on November 6, 1967; in his view, such a readjustment would have caused too much disruption of the work of the administrations.<sup>3</sup>

The technique of making the counterpart studies is well illustrated by the legal study. For it, data were collected by 33 attorneys from the staffs of the several administrations cooperating with analysts from the Office of Management Systems. The attorneys were organized into teams chosen so that no officer would be examining his own agency. Preliminary reconnaissance by a member of the Office of Management Systems showed that the Federal Railroad Administration and the Saint Lawrence Seaway Administration did not need to be included in the study since they employed only 8 of the Department's 237 attorneys.

After the teams had completed their fact-finding efforts, analysts from Management Systems studied the data and arrived at the following conclusions:

1. With the exception of FAA, each Administration's legal activities were already organized appropriately

to form part of a Bureau. They were not designed to operate as general counsels. In the case of the formerly independent FAA, it was staffed to operate as an Office of the General Counsel.

2. Though ideally such a study should be based upon calculation of man-years allocated to specific functions, it proved extremely difficult to calculate the man-years because attorneys usually performed a variety of functions.

3. The Office of the General Counsel of the Department was organized to assist the General Counsel. He is the chief legal officer of the Department and its final legal authority. He provides legal services to the Office of the Secretary and coordinates and reviews work of the legal offices within the Department.

4. Within the Office of the Secretary, the General Counsel has Assistant General Counsels for 1) litigation, 2) legislation, 3) regulation, and 4) operations and legal counsel.

5. In view of the overlapping of functions between the Office of the General Counsel of the Department and the legal offices of the Administrations, 13 specified professional legal positions and 8 support positions should be transferred from the FAA to the General Counsel and one professional from Coast Guard to the General Counsel.<sup>4</sup>



Similar counterpart studies were initiated for public affairs functions, investigation and security functions, and equal opportunity matters. Progress with these studies was slow, however, because it is difficult to satisfy Administrations that they must transfer positions and functions to the Office of the Secretary even when the data clearly indicate that such transfers are economical and fair.

Working Capital Fund. Although the studies made to effect consolidation of the printing and still photography functions are not technically designated "counterpart studies" but rather working capital fund consolidations, the approach employed was basically very similar. At the conclusion of depth studies of those two functions throughout the Administrations, the functions were consolidated during 1968 under the management of the Office of Administrative Operations of the Assistant Secretary of DOT for Administration.

Field Coordination Groups. One of the purposes of the Department of Transportation, according to the provisions of the Act, was to "assure the coordinated, effective administration of the transportation programs of the Federal Government." The Department was committed to this objective from its inception, and immediately began to seek means of accomplishing the objective. In June, 1967 the Secretary approved DOT Order 1100.7 that established the 21 DOT Field Coordination Groups; these included as members a senior official of each of the Administrations or other elements of the Department located in a single city or area. They were conceived to be official instruments of the Department, but were to have limited authority and no independent funding. Their effectiveness would depend upon the implementation of their recommendations by the line agencies with authority over the matters they discussed. It was believed that they might accomplish some of the following purposes:

1. Exchange of ideas, information, experience among the several elements of the Department in a given location.
2. Fostering of public understanding of the Department.
3. Promoting effective Department participation in Federal Executive Board action.
4. The co-location of offices, facilities, and activities.
5. Joint or cooperative program planning.
6. Formulation and execution of contingency plans for disasters and emergencies. <sup>5</sup>

Summarizing the results of one year of the activity of the Field Coordination Groups, in August, 1968, an analyst of the Office of Management

Systems indicated that the groups were meeting some needs and effecting some cost savings in coordinating, co-locating, or cross-servicing on administrative or technical matters, such as housing, auto maintenance, aircraft maintenance and similar housekeeping functions. Little had been done with respect to program and project coordination, an area from which the major pay-offs had been expected. Similarly, little was accomplished in formation of contingency plans for disasters, or in fostering public understanding or acceptance of the Department and its missions.<sup>6</sup>

A major weakness appeared to be the fact that most of the Field Coordination Groups were centered in the largest cities, leaving most areas of the country without coverage. This situation appears to "unduly handicap DOT officials attempting to lead comprehensive multimodal program development on a local, state, or regional level." Thus the system serves the short-term, less important objectives, but does not provide adequate multimodal approaches to longer term, more significant transportation problems. Arrangements concerning emergency planning are being coordinated through DOT regional emergency transportation coordinators and committees in OEP/OCO Regions.<sup>7</sup>



DOT Headquarters Space Consolidation. One of the more significant exercises in administration incidental to the management of the Department occurred because in the Spring of 1968 it became known that the new headquarters building for the Department -- the Nassif Building -- would be in such a stage of completion by October 15 that guidance should be given the builders concerning the space designs to be incorporated in the structure, in order to avoid expensive alterations at a later date when the Department actually occupied it. As the Secretary noted in his draft order on DOT Headquarters Space Consolidation, moving the elements of the Department into a single headquarters would present both an opportunity and an obligation to effect economies in the Department's operation.

The draft order noted that certain decisions concerning support services had been made by the Secretary; for example, all of the automatic data processing equipment belonging to the Department would be located in one area of the new building, as would library holdings of the several Administrations. Other services would be treated as follows:

1. Duplicating and copying services would be furnished by the Office of Administrative Operations, with the exception that heads of administrations may operate hot copy equipment within their own immediate offices.
2. FAA will retain responsibility for operating teletype and cryptographic equipment in Building 10A, while the same service will be provided in the Nassif Building by the Coast Guard.
3. The Coast Guard will establish and maintain a briefing room in the Nassif Building.

4. The following services are to be administered by the Office of Administrative Operations with the Assistant Secretary for Administration to determine whether the services will be financed through the Working Capital Fund, reimbursable positions, or by other means: mail and messenger services, telephone systems, audio-visual facility planning, operation and maintenance, space design and engineering, warehousing, administrative equipment, loan pools, building operations management and imprest fund cashiers.<sup>8</sup>

The Assistant Secretary for Administration was charged with the duty of developing time schedules, plans, and determination orders as necessary. Certain other support functions seemed not to be so clearly candidates for centralization so the Assistant Secretary for Administration was instructed to study those functions: visuals services, payroll services, public document inspection facilities, docket inspection facilities, training rooms, credit unions, and medical clinics.<sup>9</sup>

The Administrations reacted to the proposed order with varying degrees of enthusiasm; it became apparent that such fundamental decisions would require a considerable amount of discussion. Assistant Secretary Dean therefore scheduled a full-day meeting of the Directors of Administration of the several DOT elements, and the Chief of Staff of the Coast Guard to be held at the Kenwood Country Club on June 14. To facilitate discussions he directed that fact and issue papers be prepared concerning the major subjects to be considered.

The Office of Management Systems and the Office of Administrative Operations immediately began collection of data and information necessary for the fact and information sheets, including space required, personnel utilized, costs and

other relevant data. All this information was assembled in a series of fifteen papers that were submitted to members of the Administrative Management Council. For some functions, the facts were sufficiently persuasive so that the papers recommended that the Management Council make decisions as to the appropriate disposition of the function; in other instances the papers recommended further study to establish the facts and suggest appropriate action. With respect to the co-location of ADP services and the library, since the Secretary had already decided that they should be centralized and located within the Nassif Building, the Offices of Management Systems and Administrative Operations worked out somewhat detailed proposals to effect the consolidations.<sup>10</sup>

During the meeting on June 14, 1968, decisions were made by the Administrative Management Council on most of the matters discussed in the fact and issue papers just described. The actions taken included the following:

1. Visuals services. Agreement to have the OST Office of Management Systems survey the problem, and make estimates of savings to be realized if the function were consolidated. If agreement is reached to centralize the service, the Council said, the financing should be accomplished by the working capital fund method.
2. Payroll services. The Council decided to defer study of payroll services.
3. Travel services. A centralized service was approved if a study could demonstrate savings from such a service.
4. Public Document Inspection. The Council decided to ask the Office of Management Systems to study the merits of the proposed consolidation.



5. Training rooms. The Council approved the principle of training rooms to be used in common by all elements.
6. Credit Union. Since the Credit Unions are independent corporations, the Council would invite their attention to the problem of space planning, with the suggestion that they consider consolidating in the new building.
7. Employee Medical Services. Since the Coast Guard is required by law to utilize the Public Health Service to provide its medical service, the Office of Personnel and Training was instructed to explore the feasibility of having the same service provide health services to all employees in the Nassif Building, or failing that, to have FAA provide health services to all civilian employees in the Nassif Building.
8. Duplicating and copying services. The proposed plan was adopted.
9. Teletype and cryptographic communications. The action plan was approved with certain additions.
10. Briefing room. Action plan approved.
11. Mail and Messenger Service. Plan approved with certain modifications. The Office of Administrative Operations was instructed to study the appropriate method for funding cost of mail service.
12. Office Services. Centralized management approved in principle, and proposed action plan to be implemented.
13. Co-location of ADP facilities. The Council agreed to re-locate the ADP equipment in the Nassif Building if arrangements could be made for sufficient electrical power and assurance obtained that stand-by power equipment could be installed.



14. Imprest Fund Cashiers. The Council approved in principle the working capital fund financing of this function with staffing to be worked out before the move.
15. Library Services. The Office of Management Systems was instructed to rewrite the library co-location study.

Summary. The result of the exercise in co-location and consolidation made necessary by the builder's schedule for the new headquarters building of the Department was to further the objective of introducing space and function shifts that in the ordinary course of events probably could not have been made before the several elements moved into the new building or at least were making their detailed plans for moving. Having the plans made for consolidation was valuable also because the people concerned would adopt plans of this type more readily before they moved into the new building, and before they became established in new habit patterns there.<sup>11</sup>

#### Footnotes

1. Alan L. Dean to Federal Aviation Administrator, et al., memorandum with attachments, January 20, 1968
2. Office of Management Systems, Extract from Counterpart Study of Legal Services, no date.
3. John Robson, interview by Walter Cronin, October 11, 1968.
4. Extract from Counterpart Study of Legal Services, op. cit.
5. "Field Coordination of DOT Activities", DOT Order 1100.7, June 8, 1967.
6. "Reported Major Accomplishments of Field Coordination Groups", May 21, 1968.
7. Harlan Pickering to Director of Management Systems, memorandum, August 28, 1968.
8. Alan L. Dean to Members, Administrative Management Council, May 22, 1968.
9. Alan L. Dean to Associate Administrator for Administration, FAA et al., memorandum, June 3, 1968
10. Fact and issue papers: "Visuals Services", June 12, 1968; "Payroll Services", June 13, 1968; "Travel Services", June 11, 1968; Public Document and Docket Inspector Services", June 11, 1968; "Training Rooms", June 12, 1968; "Credit Union", June 11, 1968; "Employee Medical Services", June 11, 1968; "Duplicating and Copying Services", June 12, 1968; "Teletype and Cryptographic Communications Services", June 11, 1968; "Briefing Room", June 11, 1968; "Mail and Messenger Services", June 11, 1968; "Select Office Services Functions", June 11, 1968; "Imprest Fund Cashiers", June 11, 1968; "Library Services", June 14, 1968; "Summary of Position Paper on Co-location of ADP", no date.
11. "Administrative Management Council Discussions on Consolidated Support Services", minutes of meeting, June 14, 1968.

UNITED STATES GOVERNMENT

*Memorandum*

DEPARTMENT OF TRANSPORTATION

OFFICE OF THE SECRETARY

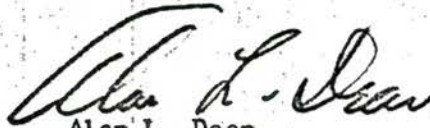
DATE: January 20, 1968

In reply  
refer to:SUBJECT: Counterpart Study on Personnel  
and Training

FROM : Assistant Secretary for Administration

TO : Federal Aviation Administrator  
Federal Highway Administrator  
Federal Railroad Administrator  
Commandant, U.S. Coast Guard

I have today transmitted to the Secretary the report of the counterpart study of staff personnel and training functions of the Department of Transportation, and have asked that the recommendations in the report be approved. I am providing for your information copies of my transmittal memorandum and copies of the comments of the study consultants William Kushnick and A. W. Norcross, who reviewed the report, including the comments of the various Administrators and the Director of Personnel and Training, OST. I would like to express appreciation to each Administrator for the cooperation rendered to the survey team in preparation of a most useful report which should aid materially in moving forward with more effective personnel and training policies and programs in the Department of Transportation.

  
Alan L. Dean

Attachment



14V-250

DEC 18 1967

Personnel and Training Counterpart Study

Director of Management Systems

Assistant Secretary for Administration

Here is the completed counterpart study of personnel and training. The documents attached are:

1. An executive summary of the report.
2. A summary and critique of major comments received from the operating administrations and the Office of Personnel and Training.
3. The study report.
4. A report prepared at the conclusion of the study reconnaissance.
5. A summary of the reports findings on the staff responsibilities of the Office of Personnel and Training and the operating administrations.

The study report and the comments have been reviewed by Mr. Kushnick and Mr. Norcross and they will furnish their views to you in writing.

As you will note, the report makes several recommendations, the most controversial of which concern proposed transfers of positions from FAA to OST. In reviewing both the report and the comments, it is well to consider the following points:

1. The major purpose of the study was to identify any functions being performed in the operating administrations which could be more effectively or economically performed in OST, and to identify the personnel resources assigned to those functions.
2. It was not the purpose of the study to assess the adequacy of the resources which would remain available to the administrations for the functions which they would retain. That is a budgetary and resource management problem for the administrations.
3. Since the Federal Aviation Administrator has expressed concern about the adverse effects on FAA of the transfer of any positions to OST, the Secretary may wish to take into account that:
  - a. after the transfer of 15 authorized positions the FAA would still have 116 jobs in Washington to carry out its staff personnel functions. In addition there are approximately 80 staff personnel positions in the FAA regional headquarters.

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- b. The 116 Washington positions for staff personnel work compares favorably with the staffs of other comparable agencies in the Executive Branch.
- c. The 116 compares most favorably to the staffing for similar functions in other DOT elements.
- d. FAA could draw on regional and center personnel and training staffs for additional positions if they are really needed for Washington staff work.
- e. Recognition should be given to the fact that when FAA was established, additional positions were assigned to the personnel and training function on the basis of the argument that the CAA, when in Commerce, had not required all the positions for this function that were necessary for an independent agency.

Two of the comments received are particularly significant and should be emphasized to the Secretary. (1) Mr. Maharay stresses the point that the study did not cover all possible personnel activities (e.g., the staff military personnel function) and that further adjustments in functions, organization, and staffing may be required as the Department evolves. (2) General McKee indicates that he wishes to discuss the matter with the Secretary if positions are to be taken from FAA.

E. T. Spiekerman

Attachments

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cc: TAD-20  
TAD-20 Day  
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Mr. Weithoner  
Mr. Markoff



TAD-20

JAN 20 1968

Counterpart Study on Personnel  
and Training

Assistant Secretary for Administration

Federal Aviation Administrator  
Federal Highway Administrator  
Federal Railroad Administrator  
Commandant, U.S. Coast Guard

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(SIGNED) ALAN L. DEAN

Alan L. Dean

Attachment

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cc: S-10(3), TAD-1

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## Executive Summary

### Counterpart Study of Personnel and Training

#### Introduction

The study of Personnel and Training in the Department of Transportation was the first in a series of counterpart studies designed to assure the most effective and economical assignment of functions and allocation of resources between the Office of the Secretary and the operating administrations.

#### Personnel and Training Activities in the Department

Personnel and training activities in the Department of Transportation include the acquisition, compensation, development, motivation, and retention of a work force capable of carrying out the Department's mission in an efficient manner. Through a network of 56 operating personnel offices, personnel services are provided to the more than 58,000 civilians employed in the Department. About 1500 employees perform the civilian personnel and training functions. The Department's annual expenditure for civilian training is approximately \$20,000,000.

#### Personnel and Training Activities falling within the scope of the counterpart study

The scope of the study was limited. It was directed largely at staff civilian personnel activities such as policy development and program leadership. It did not include operational activities associated with the day-to-day civilian personnel administration such as filling positions and classifying jobs. Neither did the study cover the OST staff role in military personnel policy.

#### Role of the Office of the Secretary in Personnel and Training

The role of the Secretary in Personnel and Training is prescribed by law and Executive Order. Essentially, the Secretary as head of the Department, has an overall responsibility for the management of the Department's human resources. Through his staff, the Secretary is responsible for:

- developing effective personnel policies, programs, standards and guides which will apply equitably throughout the Department
- providing advice and assistance to management on personnel problems
- providing liaison with the Civil Service Commission, Bureau of the Budget, and General Accounting Office on personnel matters of government or Department-wide significance
- preparing reports covering Department-wide personnel matters as required by outside organizations



--evaluating the effectiveness of personnel management throughout the Department

Impact of the Department's establishment on the Administrations' responsibilities for personnel and training

With the exception of the Federal Aviation Administration, each of the Department's constituent administrations was organized and staffed to operate at the "bureau" level. FAA was an independent agency and the Administrator was charged with the same responsibilities which are those of the head of all independent agencies and departments. With the establishment of the Department of Transportation those basic personnel policy and program responsibilities became, in effect, the responsibilities of the Secretary of Transportation. The roles and responsibilities of the personnel staffs of the other administrations were relatively unchanged by the Department's establishment.

Adjustments in resources considered appropriate.

The study team concluded that certain limited resource adjustments are required. The team reached its conclusions on the basis of its review of on-going activities, issuances (handbooks, directives, and notices); discussions with key personnel staff members and consultation with two outside experts. Three principal recommendations for adjustments are made:

1. Transfer ten positions from the FAA Office of Personnel and Training to OST to reflect the impact of the establishment of the Department in the area of personnel policy and program development.
2. Transfer two positions and the related operating military personnel functions from FAA/OPT to OST. The two positions now provide military personnel office type support to the 50 military personnel on duty in FAA. From OST the same services can be provided for the additional 30 military personnel found in other DOT civilian elements without significant additional cost.
3. Establish a five position training organization in the Office of the Secretary to carry out the OST role in the Department's training program. Staff this organization by using the one available OST position and adding four new positions through either:
  - a. the regular budget process; or
  - b. transfer of three positions from FAA and one from Coast Guard in recognition of the OST leadership role and as a means of achieving the most effective use of the total training resources of the Department.



Manpower information

The study team also recommends the establishment of an intradepartmental study group to review the total requirements for internal manpower information and recommend a plan for meeting those needs.

Summary

The team recommends the transfer of 12 positions from the FAA Office of Personnel and Training (FAA/OPT) to OST. This would reduce FAA/OPT authorized staffing from 131 to 119.

If alternative 3 b above is implemented, 3 of FAA's and 1 of Coast Guard's training positions would be transferred to OST.

If all recommendations are implemented the Office of Personnel and Training, OST, would be increased from 20 positions to 36.

*Extract from*  
COUNTERPART STUDY OF  
LEGAL SERVICES

PREPARED BY:

Office of Management Systems  
Office of the Secretary  
Department of Transportation

COUNTERPART STUDY OF

LEGAL SERVICES

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28 pages

APPENDIX A - RECONNAISSANCE REPORT.



## COUNTERPART STUDY OF LEGAL SERVICES

- I. Purpose and Objective of Study: On November 6, 1967, the Secretary directed the conduct of a counterpart study of DOT legal services. This is one of a series of studies designed to examine the role and relationship of the Office of the Secretary vis-a-vis the operating administrations to determine what adjustments, if any, should be made of responsibilities and resources. This study was not concerned with the desirability or feasibility of consolidating all legal activities under the DOT General Counsel, with the workload, or with the proper balance of legal resources between the various administrations.
- II. Study Plan. The study was divided into three principal parts:
  - (1) Reconnaissance; (2) Detailed Fact Gathering; and (3) Analysis and Reporting. A senior analyst from the Office of Management Systems, OST, interviewed each of the chief legal officers and a number of their key subordinates throughout the Department to obtain data for the reconnaissance report. The data gathering method for the indepth study was unique in that 33 attorneys divided into 6 teams were utilized to perform on-site, validation reviews. These attorneys were drawn from OST, FAA, FHWA and USCG. The teams were organized so that the attorneys would not examine their own organizations. Although the fact gathering phase was unique, it did provide the attorneys within the Department an opportunity to become acquainted with each others programs, problems, methods and procedures.
- III. Reconnaissance Study. A report of reconnaissance findings and recommendations is attached (See Tab. A.) In brief, the findings were: (1) That



a further in-depth examination should be made of the functional areas comprising the legal activities of the Department; and (2) that the FRA and SIS should be excluded from further study as having little impact on the outcome, since 8 of the 237 attorneys in the Department are allocated to these two administrations.

In the interest of brevity, findings contained in the reconnaissance report are not repeated unless required in support of portions of this report.

- IV. Summary of Findings and Recommendations. With the exception of FAA, each of the administrations' legal activities was organized and staffed at a Bureau level and were not responsible for legal matters which are appropriately the responsibility of a Departmental General Counsel. The FAA, as an independent agency, had the same responsibilities of a Departmental General Counsel and was amply staffed for their execution. These responsibilities are described in Part IV along with appropriate recommendations for realignment of resources. In some instances it was possible to define the precise number of man years devoted to a specific function, in others approximations were made. The latter was necessary since it is difficult to measure such things as reviews for legal sufficiency, provides legal advice and counsel, etc. For example, one of the most important functions of the Office of the General Counsel, FAA, prior to the establishment of DOT was that of final legal authority within that agency. In order to carry out this authority, the FAA had to be staffed with the expertise to provide the top legal review required for this authority. Yet, the amount of effort applied to this particular

function is anybody's guess. The study approach therefore, was that one man year in each one of the major legal functional areas would represent the minimum effort.

In summary, the report recommends the transfer of 13 professional legal positions and 8 support positions from the Office of General Counsel, FAA, and one professional legal position from the Legal Division, USCG.

#### V. Description of DOT Legal Organizations, Functions, and Staffing.

##### A. Office of General Counsel, OST

The Office of General Counsel has an authorized staff of 19 attorneys. All are onboard. Of these, 3 are on detail from the operating administrations. The General Counsel is chief legal officer of the Department and the final legal authority within the Department. He provides legal services to the Office of the Secretary and provides professional supervision including coordination and review of the legal work of the legal offices within the Department. There are three professionals in the immediate Office of the General Counsel. In addition, there are four offices each headed by an Assistant General Counsel.

The four offices of the Assistant General Counsels along with their respective responsibilities and staffing are listed below:

1. Assistant General Counsel for Litigation: Staffing - Five professionals authorized and onboard. The principal function of this Office is to represent the Secretary in making recommendations to Federal and State regulatory agencies in administrative proceedings on major transportation issues. This Office

MAY 21, 1966

(6)

REPORTED MAJOR ACCOMPLISHMENTS OF

FIELD COORDINATION GROUPS

FCG

Significant Action or Plans

Chicago -

1. Two Task Forces established
  - a. An Administrative Task Force established to consider sharing of support services.
  - b. Program Task Force established to consider joint planning.
2. Coordinated 1967 Combined Federal Campaign.
3. Established Joint College Recruiting Program for FAA and FMNA.
4. Arranged colocation of field office space for FAA and FRA in Indianapolis. Also have shared use of directives, cars, space, property, aircraft, driver training.
5. FAA and USCG arranged for coordination on Search and Rescue (SAR) on Lake Michigan.
6. Preliminary work on Joint KEO Compliance reviews.
7. Field Directory of Chicago FCG published.

Los Angeles -

1. Support sharing between FAA-AMB (Aircraft Maintenance Base) and USCG Air Station. \$4,000 annual saving.
2. Study of ADP support sharing.
3. FAA and USCG Search and Rescue coordination.
4. FRA and FAA share offices in FAA building.



FCGHonolulu -Significant Action or Plans

1. FAA and CG conferences on mutual support on island supply, Search and Rescue, and Electronic Maintenance (Wake Island LORAN).
2. Joint usage by FAA and USCG in Buildings, Library, printing
3. Sharing of ADP support. Estimated annual savings in excess of \$20,000.

Alaska -

1. Studies in process re:
  - a. Joint maintenance on contract for USCG and FAA vehicles at Annette Island. Potential savings of three man years and closing of FAA garage.
  - b. Supply of FAA units in Southeast Alaska by USCG. Potential decommission of FAA FEDAIR II. Potential savings of annual operating cost of \$40-45,000 plus elimination of need to overhaul FEDAIR II at estimated cost of \$40,000.
2. FAA and USCG exchange flight schedules to insure efficient joint use of available flights.
3. FAA Printing Plant has been made available to USCG.

San Francisco -

1. Subcommittees established to review three areas for joint action
  - a. ADP
  - b. Equal Opportunity
  - c. Administrative Support
2. Study of joint aircraft maintenance and storage at San Francisco/Oakland base planned. (Assume now in process.)



Pacific Northwest -

1. Agreement reached to consolidate Portland and Seattle FCGs and expand areas of interest to include all DOT elements in area.
2. Study of joint aircraft maintenance and storage at Seattle/Port Angeles base planned (assume now underway.)
3. Considering problem of local port officials who complain that material frequently delayed at dock awaiting surface transportation.

Kansas City -

1. FAA Region has prepared list of support (ADP, photography, bulk mail, art work, exhibit design, communications, etc.) that can be provided other DOT elements, normally on free basis.
2. FAA Region has agreed to provide desk space at FAA units for traveling inspectors.
3. Group reviewing space problems of FRA at six locations. (Assume DOT space has now been provided at some if not all six locations.)

Albuquerque -

FIWA and FRA units have both been collocated and housed by the FAA Flight Inspection District Office.

NOTE: Office space and support for FRA elements and certain FIWA element has been studied by several FCGs and in several areas efforts are still continuing. To date office space has been provided by other DOT elements for FRA:

Albuquerque  
Atlanta  
Baltimore  
Cleveland  
Los Angeles  
Omaha  
Richmond  
Roanoke  
Salt Lake City

SUBJECT: Field Coordination Groups: Opportunity, Purpose,  
Alternatives, Resources, Relations, Feedback

FROM: Harlan Pickering

TO: Director of Management Systems

There is a general feeling that the purpose, progress and configuration of Field Coordination Groups be analyzed and discussed in order to provide a basis for the next phase of FCG development. The continual need to relate DOT field structures of other agencies, e.g. HUD and OEP, requires an updating of FCG policy and guidance. In providing day-to-day administrative support on FCG's to Mr. Dean, we are increasingly aware of possible steps to advance FCG development, but, first, they should be fitted and aligned to a more current FCG policy which is understood and accepted by those involved so that we can take advantage of what we have learned and so that priorities may be set within the available resources here and in the field.

The uppermost question to be examined and decided concerns what is required of DOT field resources to contribute significantly to the DOT mission. More specifically, are FCG's addressing those issues which, when and if solved, will advance importantly timely DOT mission fulfillment? If not, should they or some other DOT field entity be doing so?

Here we are attempting to present this issue so that management attention will be focused on what appears to be a very important opportunity to apply a relatively few skilled resources to an area that leads directly to DOT mission fulfillment in the field. It skirts or leapfrogs a number of sticky, perhaps unresolvable, and often irrelevant questions. Some background on FCG's

is provided, first, along with some of the problems being currently encountered by FCG's. Next, the primary issue is focused upon, defined and discussed. This is followed by identification of some alternatives, criteria and consequences.

Harlan Pickering



Background and current  
Strengths and Deficiencies

Initial guidance to FCG's was purposely broad and unrestrictive, letting each FCG set its own priorities and shape its own approach. This permitted 27 parallel experiments to probe the needs and opportunities for such coordinated field activities. There has been established the clear need for getting acquainted and discussion of mutual problems and exchange of ideas. Other major needs being met by FCG's deals with coordinating co-location, cross-servicing, on administrative and technical support requirements, and other federal field programs. While the need for coordinated program and project planning, judging from activities reports and other communications, is occasionally perceived, and addressed managerial interest and emphasis are on coordinating co-location, cross-servicing, and other federal programs.

There are instances, too, where aspects of separate field technical programs of two operating administrations can be and are being integrated to advantages. While laudable, we cannot infer that the field line activities of the operating administrations will be integrated to any significant degree any time soon.

The three instances where two adjacent FCG's have been consolidated into one FCG can be interpreted, partly, as attempts to address more effectively the longer and more extensive issue, by bringing together DOT field officials with corresponding knowledge and authority.

The criteria in DOT 1100.7A, 3/16/68, for establishing an FCG in a geographic area requires that one of the operating administrations or the NTSB has a major office there and that a component of at least one other

element of the Department be located in the vicinity. The resulting FCG can meet some DOT responsibilities quite adequately or even very well. For example: 1. Fostering effective Departmental participation in FEB activities . 2. Co-location of offices, facilities and activities to improve service or achieve economy. 3. Exchanging or sharing support services. 4. Placement of employees and utilization of space and facilities made available by closings or relocations. 5. Exchange of information, ideas and experience.

These are generally needs which can be and are best handled on a local basis and without requiring very highly developed guidance or coordination from state, regional or national levels.

Other DOT responsibilities listed in DOT 1100.7A are not met very well, if at all, by the resulting current configuration of FCG's. For example: 1. Joint or cooperative program and project planning. 2. Formulation and execution of contingency plans for natural disaster or emergency. 3. The fostering of public understanding and support of the concept and purposes of the Department as the instrument of coordinated Federal action in identifying and responding to the transportation needs of the nation.

The present method for establishing FCG's leaves unassigned responsibilities for many geographical areas, urban and countryside. All modes are not represented, to a large degree, in each FCG. For those modes represented, the incumbent members of an FCG can and often do have widely varying responsibility for geographical coverage and hierarchial placement. Only the immediate local or metropolitan areas match up and coincide. This condition does not adversely affect meeting some local DOT responsibilities, already identified, but it does unduly handicap DOT officials attempting to lead comprehensive multi-modal program development on a local, state or regional level or to cite examples in



the Department as instruments of coordinated Federal action responsive to the nation's transportation needs. Arrangements for emergency transportation planning are moving ahead on another basis through designations of DOT regional emergency transportation coordinators and committees in OEP/OCD Regions.

Geographical areas not meeting the criteria for FCG's in DOT 1100.7 do not have the first class of needs mentioned in the foregoing, but very definitely, of course do have the second set of needs which do include multi-modal program development. Some of the larger cities in this class include: Pittsburg, Richmond, Cincinnati, Louisville, Indianapolis, Detroit, Milwaukee, Jacksonville, Tampa, Birmingham, Jackson, Nashville, San Antonio, Tulsa, Wichita, De Moines, Albuquerque, Phoenix. States not having at least one FCG are: Maine, New Hampshire, Vermont, Rhode Island, Connecticut, Delaware, Virginia, West Virginia, North Carolina, South Carolina, Michigan, Indiana, Kentucky, Mississippi, Alabama, Wisconsin, Iowa, Arkansas, North Dakota, South Dakota, Nebraska, Kansas, Montana, Wyoming, Idaho, Arizona, Oregon, and Nevada.

In summary, for the twenty seven locations having FCG's a certain class of needs is being met, adequately to well, by the FCG approach. This class of needs is quite analogous to the industry problem of making "short term profits" and is the sort of thing that interests certain Congressional elements and is understood by them. The class of needs not being met generally by FCG's concern multi-modal program development at local, state, and regional levels. Our approach here through FCG's could quite frankly, be characterized as undirected, feeble, disordered, and spotty.

One can only conclude that it is now time for field resources to be applied more directly and effectively to the prime DOT mission of assuring the development of an effective interrelated national transportation system. Some FCG's



are waiting for headquarters guidance to do this. Such guidance must recognize that the two classes of needs - local short term gain and multi-modal program development - have strikingly different characteristics as to purpose, time frame, geography, logic, and economics.

## The Issue

The issue is for DOT to establish the importance of multi-modal program development at the regional, state and local levels to DOT mission fulfillment and to those observing DOT progress. If this type of program development proves to be as important as it appears to the two of us who are daily involved in both FCG administrative detail and FCG policy analysis, then the issue becomes one of deciding to pursue, now this major opportunity open to DOT developing the best approach - with or without FCG's, and making the small initial commitment of resources.

FCG's can and should continue to address themselves to short term gains through coordination of co-location, cross-servicing, and other federal programs. As presently constituted, or even with several consolidations, DOT cannot have very high expectations for FCG's to move up effectively on multi-modal program development due to the deficiencies cited in the initial section.

The purpose of multi-modal program development at the regional and lower levels is to accomplish transportation planning appropriate to the state of economic and social development of the region, or smaller area, and to set in motion a stream of activities carrying out the plans, as well as improving them. Such program development is probably the most important function of FCG's, or some other DOT field component. In a broader perspective, multi-modal program development at the national, regional, and lower levels, and integrated both horizontally and vertically, is critical to the fulfillment of the DOT mission.

One strategy comes to mind for implementing DOT multi-modal program development in the field wherein focusing on the "What" and staying loose on the "How" keep the effort from getting bogged down by irrelevant struggles

with established forces in the field or being diverted by trivia. Multi-modal program development can provide the same direction and thrust as a PPB system is capable of doing while staying loose on organization and method and thereby not being threatening while still learning and doing. Secretarial backing and leadership rather than organizational structure and level can permit a collegial and team approach to multi-modal program development at field levels.

This strategy expects the operating administrations to go about their usual business in the field while a new DOT instrument is established in the field to perform the new DOT function to multi-modal program development. Its first phase of



UNITED STATES GOVERNMENT

DEPARTMENT OF TRANSPORTATION

OFFICE OF THE SECRETARY

*Memorandum*

DATE: May 22, 1968

SUBJECT: Coordination of Draft Memorandum, DOT Headquarters Space Consolidation in Southwest Washington

FROM : Assistant Secretary for Administration

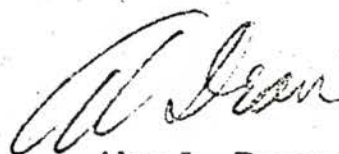
TO : Members, Administrative Management Council

In reply  
refer to:

The attached draft memorandum, prepared for the Secretary's signature provides for (1) the centralization of responsibility for selected support services functions, (2) the conduct of management studies in other support areas, and (3) the collocation in the Nassif Building of the ADP facilities of all DOT headquarters elements as well as the library holdings of the occupants of that building.

The southwest space consolidation presents both an opportunity and an obligation to achieve substantial economies. Furthermore, it is vital that early decisions be made on support services and space collocation if we are to avoid expensive planning and structural changes affecting Nassif Building construction.

It is requested that each of you expedite the coordination of the attached memorandum within your organization.



Alan L. Dean

Attachment



DRAFT  
TAD-20  
May 22, 1968

DOT Headquarters Space Consolidation  
in Southwest Washington

The Secretary

Secretarial Officers  
Commandant, U. S. Coast Guard  
Federal Aviation Administrator  
Federal Highway Administrator  
Federal Railroad Administrator

The General Services Administration has assigned space in the Nassif Building (presently under construction at Seventh and D Streets, S. W., Washington, D. C.) to the Department of Transportation. This space when coupled with that in FOB 10A provides DOT with space sufficient to house all elements that have been identified as requiring adjacency to the Secretary.

The present schedule of the Nassif Corporation provides for the completion of one floor every two weeks beginning in July 1969. October 1968 is our target for submission of final space plans to GSA. Meeting this target will allow sufficient time for GSA review of our plans, the orderly conduct of essential architectural and engineering studies, and completion of construction in accord with the Nassif Corporation schedule.

The first-year cost of the space consolidation will exceed several million dollars. We must assure that this expenditure is more than



offset by increased efficiency and improved use of resources. In short, the consolidation presents both an opportunity and an obligation to economize.

In many common support services areas, the pooling of resources under central management can yield substantial savings to the Department and increase overall efficiency. Such pooling also eliminates unnecessary duplication of facilities and contributes to optimum utilization of available space. To avoid expensive planning and structural changes, it is vital that some key decisions be made promptly. For these reasons, I have made certain decisions, which are set forth in Attachment 1, on centralization of specified support service functions and space collocation. The Assistant Secretary for Administration is hereby assigned responsibility for developing the detailed plans, time schedules, and, where applicable, determination orders for implementation of the decisions set forth in the attachment.

In addition, I have requested the Assistant Secretary for Administration to study and make recommendations to me promptly regarding the appropriate degrees of centralization, space collocation, and/or sharing of facilities in the following areas:

1. Visuals services
2. Payroll services
3. Travel services, including itinerary planning and ticket writing
4. Public document inspection facilities
5. Docket inspection facilities
6. Training rooms
7. Credit unions
8. Employee medical clinics

Your continued assistance in such study efforts will be appreciated.

These are important decisions and I request your full cooperation.

Alan S. Boyd

Attachment

Support Services Decisions Relating to DOT Headquarters  
Space Consolidation

I. Centralization Decisions

A. Duplicating and Copying. Except as indicated below, all duplicating and copying services shall be furnished by the Office of Administrative Operations, TAD-40, and financed under the Working Capital Fund (WCF). In addition to the management and operation of manned duplicating and copying facilities, TAD-40 will control and maintain any copying equipment which the Director of Administrative Operations determines should be strategically located within FOB 10A and the Nassif Building for operation on a self-service basis. Exceptions: Heads of Operating Administrations and the Chairman, NTSB, may maintain and operate hot copy equipment which is located within their immediate offices, including Executive Secretariats. Also, if deemed necessary, copying equipment will continue to be permitted in the FOB 10A, Communications Center and will be installed in the Nassif Building Communications Center.

B. Teletype and Cryptographic Communications Services. The FAA will retain responsibility for teletype and cryptographic communications services in FOB 10A, and the Coast Guard will be responsible for providing these communications services to all DOT elements in the Nassif Building. The DOT Space Task Group, in collaboration with the FAA and the Coast Guard, will assure that appropriate interface equipment is installed between the two communications centers.



X Not NTSB  
C. Briefing Room. The Coast Guard will establish, operate and maintain a briefing ("situation" or "war") room in the Nassif Building. The location of this room and associated facilities will be determined by the Coast Guard in conjunction with the DOT Space Task Group. The Coast Guard, in cooperation with other interested elements, will establish appropriate operational procedures for joint use of the Briefing Room complex.

D. Other Services to be Centralized Under the Office of Administrative Operations, OST. Responsibility for the management and operation of the following support services for all DOT headquarters elements will be assigned to the Office of Administrative Operations, OST, with the Assistant Secretary for Administration responsible for determining, after appropriate coordination, whether these services are to be financed by the WCF, reimbursable positions, or other means:

1. All mail and messenger services
2. Telephone systems engineering, management, and control
3. Audio-visual facility planning, operation, and maintenance
4. Space design and engineering, including space acquisition, utilization and disposal; environmental design; construction engineering and management; and liaison on headquarters space matters with General Services Administration.
5. Warehousing management and control.
6. Administrative equipment loan pools.

7. Building operations management

- a. Focal point for GSA buildings services
- b. Motor fleet and parking management
- c. Receptionist services
- d. Concessions management
- e. Conference room and auditorium management
- f. Building inspection and protection programs.

8. Imprest Fund Cashiers.

II. Collocation Decisions.

A. ADP. All ADP facilities will be collocated in a single area of the Nassif Building. The Assistant Secretary for Administration will assure allocation of sufficient space for existing facilities and programmed expansion thereof.

B. Library Holdings. The specialized library holdings required to service DOT elements in the Nassif Building will be housed in a single location in that building. I will look to the Assistant Secretary for Administration for recommendations regarding the extent to which headquarters libraries should be placed under centralized management.

Scott

(2)

UNITED STATES GOVERNMENT

DEPARTMENT OF TRANSPORTATION

OFFICE OF THE SECRETARY

*Memorandum*

DATE: June 3, 1968

SUBJECT: *June*  
July 14 Meeting on Space Consolidation in  
Southwest Washington

In reply  
refer to:

FROM : Assistant Secretary for Administration

TO : Associate Administrator for Administration - FAA  
Chief of Staff - USCG  
Director of Administration - FHWA  
Director of Administration - FRA  
Executive Director - NTSB

The full-day meeting, scheduled for Friday, June 14, will be held at the Kenwood Country Club, 5601 River Road, Bethesda, Md. The club is approximately 4 miles west of the intersection of River Road and Wisconsin Avenues, N.W. I will be leaving FOB 10A at 9:30 Friday morning, and have room for 3 or 4 more passengers. Please call my secretary, Mrs. McKeel, if you wish to join me.

To facilitate the support services discussions, I have asked Messrs. McGruder and Unti to develop fact-and-issue papers on each of the services to be discussed. Members of their staffs will be in contact with their counterparts in your offices. Please afford them your full cooperation. We will make every effort to provide you with the resulting information papers before meeting time if possible.

  
Alan L. Dean



### VISUALS SERVICES

1. Problem. Once DOT Headquarters elements are consolidated in two buildings in Southwest Washington, to what degree, if any, should (a) the function of visuals services be performed under centralized management or (b) visuals personnel be housed in collocated space?
2. Definition. Visual services include the design, preparation and completion (either with DOT personnel or through initiation of purchasing forms and resort to commercial procurement) of:
  - a. Artwork for briefing and training aids such as slides, flip charts and film strips.
  - b. Illustrations for manuals and publications, including work requiring creative design, coloring, layout and/or research, (e.g., cartoons, figure renderings, posters, pictorials, non-technical brochure illustrations, murals and exhibit design).
  - c. Technical Illustrations other than engineering drawings and plans. (e.g., illustrations of mechanical equipment, architectural renderings, specifications drawings, floor plans and non-typographical maps).
  - d. Animation art for motion pictures.
  - e. Exhibits containing such features as dioramas, scale models, audio-visual presentations, panels and murals.
    - (1) Assuring that plans for construction or display of exhibits have been coordinated and cleared with appropriate public affairs and program officials.
    - (2) Effecting or providing for the shipment, installation, operation, dismantling and storage of exhibits.

### 3. Background

All DOT Headquarters elements have a requirement for visual services. The FAA Visuals Branch, Office of Headquarters Operations, provides these services to FAA, OST, FRA and NTSB. Coast Guard and FHWA

have their own capabilities. UMTA has no internal capability.

A decision to centralize management of this function would not dictate that all visuals personnel be collocated in a single building.

4. Recommended Action by the Administrative Management Council:

- a. Approve, in principle, the centralized management of the visuals services function.
- b. Approve the following course of action to establish details for optimum effective management of the function:
  - (1) OMS, TAD-20, lead an implementation task force to determine visuals services requirements and develop recommendations on:
    - (a) the most appropriate assignment of responsibilities, positions and resources for the visuals services functions,
    - (b) the optimum housing of visuals personnel in relation to the customers served,
    - (c) the effective date of any transfer of responsibility and resources, and
    - (d) the most appropriate method of funding.
  - (2) Each operating administration and NTSB will participate in the task force effort by gathering and validating the information to be considered in developing conclusions and making recommendations. The operating administrations and NTSB will be afforded the opportunity to review and comment on the final report, but recommendations submitted to the Secretary, through the Assistant Secretary for Administration, for final review and decision will be the responsibility of TAD-20.
  - (3) The task force effort will be initiated by July 1, 1968, with a target date for completion of August 1, 1968.
  - (4) TAD-20 will develop, coordinate with affected elements, and submit to the Assistant Secretary for Administration proposed determination orders by August 15, 1968.

TAD-23  
6/14/68

BACKUP DATA -- VISUALS SERVICES

ITEM	USCG	FAA	FHWA	TOTAL
FY - 1968 Positions	8 <sup>1/</sup>	11 <sup>2/</sup>	8	27
FY - 1968 Personal Services Cost	\$64,800 <sup>3/</sup>	\$120,400 <sup>4/</sup>	\$72,400	\$257,600
FY - 1969 Positions Increase	0	0	0	0
FY - 1969 Personal Services Cost <u>Increase</u>	\$ 2,100	\$ 40,200 <sup>5/</sup>	\$ 2,200	\$ 44,500

1/ Includes 4 positions at CG Exhibit Center

2/ Includes 3 positions for OST

3/ Includes \$29,700 for CG Exhibit Center

4/ Includes \$28,700 for OST

5/ Includes \$9,300 for OST



Payroll Services

1. Problem:

Evaluate the appropriate degree of payroll services centralization, space collocation, and/or sharing of facilities in relation to the southwest Washington space consolidation.

2. General Information:

Payroll services are currently being provided in Washington as follows:

- a. The FHWA payroll component in the Matomic Building serves all of FHWA on a centralized basis, plus OST, NTSB and FRA.
- b. FAA has a Washington payroll in Building 10A. (The field payroll is handled through FAA's regional offices.)
- c. Coast Guard has a military payroll component at headquarters. (The Coast Guard civilian payroll is served by the Internal Revenue Service in Detroit.)

With respect to the Coast Guard civilian payroll in Detroit, there has been a recent change in the considerations relating to the possible termination of such service. As a result of discussions in Detroit, the Internal Revenue Service has indicated a willingness to continue serving the Coast Guard civilian payroll if they are asked to do so. While not fully resolved, the prospects for arranging this appear to be favorable--assuming there is agreement that it is in DOT's best interests to continue the service.

3. Significant Considerations:

- a. Assuming the IRS service is continued, the centralization of payroll services is not felt to be a critical factor as far as the southwest space consolidation is concerned because -
  - (1) a centralized setup, if it proves to be desirable, would probably not be located in Washington, and
  - (2) the real opportunity appears to be in a centralized payroll-personnel statistics system, and the length of time it would probably take to implement such a system (3 or more years) seems to move it well out of the range of immediate southwest consolidation decision factors, quite apart from (1) above.

- b. The IRS and other payroll services now being provided are very satisfactory. Thus there is the opportunity to take the time to make an orderly, indepth study of a centralized payroll-personnel statistics system. (In this connection, an OST Manpower Management Information System Task Force is already in place to develop a manpower information system for the Office of the Secretary.)
- c. It will probably be desirable to maintain a separate Coast Guard military payroll regardless of the degree of centralization that may or may not be warranted for the civilian payroll in the Department. This appears to be the generally accepted approach in other similar situations in the government.

4. Recommended Action by the Administrative Management Council:

- a. Agree that existing arrangements should be continued for the foreseeable future. With respect to the immediate southwest space planning requirement, space would be provided for payroll services in accordance with the existing organization structure and specifications furnished by the operating administrations.

Action: Assistant Secretary for Administration arrange with Treasury Department to have Internal Revenue Service in Detroit continue payroll services for Coast Guard civilian payroll.  
(Preliminary groundwork on this has been done.)

- b. Agree that a centralized payroll-personnel statistics system has sufficient merit to warrant further review and agree that the Assistant Secretary for Administration (OMS) should lead a comprehensive and specific payroll-personnel statistics systems study to make recommendations for management consideration.

Each operating administration and NTSB will participate in the study by gathering and validating the information to be considered in developing conclusions and making recommendations. The operating administrations and NTSB will be afforded the opportunity to review and comment on the final report, but recommendations submitted to the Secretary, through the Assistant Secretary for Administration, for final review and decision will be the responsibility of TAD-20.

The study will be initiated in October 1968 with a target date for completion of October 1, 1969.



TRAVEL SERVICES

1. Problem. Once DOT Headquarters elements are consolidated in two buildings in Southwest Washington, should a consolidated travel service be established for all elements of the Department, and, if so, how should it be operated?
2. Definitions. Travel services include:
  - a. The routing and scheduling of travel itineraries;
  - b. The writing and issuing of Government Travel Requests;
  - c. The making of airline reservations;
  - d. The purchase and delivery of airline tickets;
  - e. The obtaining of passports and visas for foreign travel; and
  - f. Making of security clearance arrangements.
3. Background. All DOT Headquarters elements perform travel. FAA provides central services for their headquarters, OST and FRA. USCG and FHWA each have their own central travel services unit. USCG, UMTA, and NTSB have no centralized service, and such functions are performed by individual components of the organization. The operation of these services on a centralized basis might require a single location with comprehensive services including an Imprest Fund Cashier as FAA presently has, or it might require one such location in each building DOT occupies.
4. Recommended Action by the Administrative Management Council.
  - a. Approve, in principle, the establishment of a consolidated DOT Travel Service Center.
  - b. Agree that the Office of Management Systems, TAD-20, should lead an implementation task force to determine travel services requirements and to develop recommendations to answer the stated problem.
    - (1) The task force should determine:
      - (a) What method is most desirable for furnishing these services.
      - (b) The organizational and physical location of the unit(s) which will provide the service.
      - (c) The most appropriate method of funding.



(2) The Task Force should consider the following aspects of the problem:

- (a) Whether or not it would be desirable and feasible to contract with an airline or a private travel agent to provide this service.
  - (b) The technical accounting features of coding TR's and their interface with accounting systems.
  - (c) The necessity and desirability of the collaboration of other services with the travel service unit (e.g., Imprest Fund Cashiers).
  - (d) The problems associated with military travelers in the USCG.
- c. Agree that each operating administration and NTSB will participate in the task force effort by gathering and validating the information to be considered in developing conclusions and making recommendations. The operating administrations and NTSB will be afforded the opportunity to review and comment on the final report, but recommendations submitted to the Secretary, through the Assistant Secretary for Administration, for final review and decision, will be the responsibility of TAD-20.
- d. Agree that the task force effort will be initiated by July 1, 1968, with a target date for completion of August 1, 1968.
- e. Agree that TAD-20 will develop, coordinate with affected elements, and submit to the Assistant Secretary for Administration proposed determination orders by August 15, 1968.

TAD-23  
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BACKUP DATA --- TRAVEL SERVICES

ITEM	USCG	FAA	FHWA	TOTAL
FY - 1968 Positions	4 <sup>1/</sup>	4	3	11
FY - 1968 Personal Services Cost	\$21,900 <sup>2/</sup>	\$30,000	\$20,500	\$72,400
FY - 1969 Positions Increase	0	0	-	0
FY - 1969 Personal Services Cost <u>Increase</u>	\$ 1,800	\$ 1,900	\$ 1,000	\$ 4,700

1/ 1 full time and 3 part-time positions. Reflects 2.1 manyears

2/ Reflects cost of 2.1 manyears

PUBLIC DOCUMENT and DOCKET INSPECTION FACILITIES

1. Problem. Once DOT Headquarters elements are consolidated in two buildings in Southwest Washington, to what extent, if any, should:
  - a. A consolidated DOT facility be established for public document and/or docket inspection in compliance with the Freedom of Information Act,
  - b. Arrangements be made for making charges to recover cost of duplicating, reproducing, certifying, or authenticating copies of documents and dockets furnished to the public.
  - c. Personnel to staff the inspection facility be housed in collocated space?
2. Definition. Document inspection facilities are those resources made available to the public for examination and copying of information within the purview of Public Law 89-487, Administrative Procedures Act, as amended by Section 3 (Public Information Section) on July 4, 1967. Documents include dockets, opinions, orders, policies, interpretations, manuals and instructions.
3. Background. The Amendment mentioned above provides for making information available to the public and defines matters which are exempt from public disclosure. It also provides for a judicial review of agency decisions to withhold identifiable records. The revised Section 3 is clearly intended to be a "public information" statute and is commonly known as the Freedom of Information Act. Compliance with the Act includes the means for public inspection and copying of documents and requires the preparation and maintenance of an index of all documents available to the public.

The "freedom of information" requirement provided the OST and operating administrations of DOT the option of establishing public reading rooms or using other means of making documents available to the public. FAA and FHWA have established reading rooms. The FAA document inspections facility is located in the FAA Library, FOB 10A, and the FHWA facility in the FHWA Office of Administration, Administrative Services Division, Donohoe Building. The OST, USCG and FRA do not have formal reading rooms, but do provide document inspection services through the Office of Public Affairs, OST, FOB 10A; the USCG Public Information Office, CG Building; and the FRA Office of Administration, Donohoe Building.

4. Recommended Action by the Administrative Management Council.

- a. Approve, in principle, the consolidation of DOT public document and docket inspection facilities.
- b. Agree that the Office of Management Systems, TAD-20, should lead an implementation task force to determine document and docket inspection requirements and to develop recommendations designed to provide the optimum solution to the stated problem. These recommendations should specify:



Public Document and Docket Inspection Facilities (Cont.)

- (1) The most appropriate assignment of responsibilities, positions and resources for the inspection facilities.
  - (2) The optimum housing of inspection personnel in relation to the users.
  - (3) The most appropriate method of funding.
- c. Agree that each operating administration and NTSB will participate in the task force effort by gathering and validating the information to be considered in developing conclusion and making recommendations. The operating administrations and NTSB will be afforded the opportunity to review and comment on the final report, but recommendations submitted to the Secretary, through the Assistant Secretary for Administration, for final review and decision will be the responsibility of TAD-20.
  - d. Agree that the task force effort be initiated by July 1, 1968, with a target date for completion of August 1, 1968.
  - e. Agree that TAD-20 will develop, coordinate with affected elements, and submit to the Assistant Secretary for Administration proposed determination orders by August 15, 1968.

### TRAINING ROOMS

1. Problem. A determination concerning the feasibility of providing centralized training rooms and facilities to meet training requirements generally common to all organizations should be made prior to September 15, 1968, to assure adequacy of service and to facilitate the space planning process.
2. Definition. Training rooms, as used herein, means facilities especially designed or arranged for multi-purpose or lecture-type training.
3. Background. Clerical, reading and technical writing, supervisory and managerial training skills are probably the most common to all elements. Training facility space required for generally common training instruction is rather specialized, or somewhat specialized, in design and is frequently under-utilized (less than 60% effective utilization) except in exceptionally large organizations.

It is believed that a central skills training complex administered by OST would be most effectively provided centrally. Supervisory and managerial training requires at least a minimum degree of specialized space. This space requirement tends to be more conference-table centered rather than lecture-oriented and often requires adjacent space for expansion capability. Some of this kind of training is done at a site away from the office, but there will be a continuing need for some supervisory and managerial training space in Southwest Washington which could be most effectively provided centrally.

As for technical skills training space requirements, it appears that a combination of centrally-administered and administration-administered space related to technical training would probably be most advantageous from an effectiveness and economical standpoint.

4. Recommended Action by the Administrative Management Council.
  - a. Approve, in principle, the establishment of centralized DOT training rooms and facilities to meet training requirements related to common skills and selected technical skills.
  - b. Agree that the Assistant Secretary for Administration (OPT, TAD-10) should chair an implementation task force representing the interested organizations to consider and plan for appropriate consolidated training space in accordance with validated needs. The task force will:
    - (1) Determine the training facility needs of Nassif and FOB-10A occupants,
    - (2) Develop a firm plan to meet these needs, and
    - (3) Effect appropriate coordination with all the DOT elements concerned.

CREDIT UNION

1. Problem: The most advantageous arrangement of either collocating or consolidating the existing credit unions servicing DOT employees should be determined prior to September 15, 1968, to assure adequacy of service and to facilitate the Nassif Building space planning process.
2. Background: The Board of Directors, Transportation Federal Credit Union, (formerly Civil Aeronautics Federal Credit Union), has discussed internally the possibility of merger with the USCG and FHWA Credit Unions. The Transportation Federal Credit Union is agreeable to exploring consolidation with two smaller organizations, but at least one of the other Credit Unions would probably oppose such a merger. It is believed that a credit union merger would reduce space requirements, reduce credit union overhead, and assure equal and improved service to all DOT employee members.
3. Recommended Action by the Administrative Management Council. Approve the following action plan:
  - a. OST request the three Credit Unions to consider merger and appoint representatives to meet and discuss the possibilities with representatives of the Office of Personnel and Training, TAD-10.
  - b. TAD-10 to:
    - (1) effect appropriate coordination with the Bureau of Federal Credit Unions and request expeditious action by the credit unions to present the proposal to its members for ratification, and
    - (2) report the result of its negotiations and specific requirements for space planning purposes to the Office of Administrative Operations, TAD-40, not later than September 15, 1968.



EMPLOYEE MEDICAL SERVICES

1. Problem: The most advantageous assignment of responsibilities for employee medical services should be determined prior to September 15, 1968, to assure adequacy of service and to facilitate the Nassif Building Space planning process.
2. Definition: Limited medical treatment, including dental treatment to Coast Guard military personnel, of an emergency nature which is rendered to employees during normal duty hours.
3. Background: Civilian employees of the USCG, FHWA (Matomic Building) and NTSB currently receive first aid and other limited medical services from the U. S. Public Health Service (PHS). All OST, FRA and FHWA employees housed in the Donohoe Building receive medical service from the FAA, Office of Aviation Medicine.
4. Recommended Action by the Administrative Management Council. Approve the following action plan:
  - a. The Office of Personnel and Training, TAD-10, to arrange for PHS support of all employees to be quartered in the Nassif Building and for continued FAA support of employees quartered in FOB 10A.
  - b. Assign TAD-10 responsibility for:
    - (1) determining the medical service needs of Nassif Building occupants,
    - (2) developing a firm plan to meet these needs, and
    - (3) coordinating requirements with PHS to consummate a service agreement.

## DUPLICATING AND COPYING SERVICES

1. Proposal. Except as indicated below, all duplicating and copying services shall be furnished by the Office of Administrative Operations, TAD-40, and financed under the Working Capital Fund (WCF). In addition to the management and operation of manned duplicating and copying facilities, TAD-40 will control and maintain any copying equipment which the Director of Administrative Operations determines should be strategically located within FOB 10A and the Nassif Building for operation on a self-service basis. Exceptions: Heads of Operating Administrations and the Chairman, NTSB, may maintain and operate hot copy equipment which is located within their immediate offices, including Executive Secretariats, and the operators of the Communications Centers may maintain and operate hot copy equipment in those centers.
2. Definitions.
  - a. Duplicating - Reproduction outside of a printing plant of any document, pamphlet, report, form, drawing, or other image by means of high-speed press equipment producing a single page per impression from stencils, spirit masters, or multilith plates. This is reproduction in limited volume; i.e., not more than 5,000 copies per page and 25,000 copies per job aggregate.
  - b. Copying - Reproduction of any document, pamphlet, report, form, drawing, or other image by means of copying equipment generally utilizing electrostatic, thermal, and diazo processes to produce up to 60 copies per minute; e.g., Xerox, Thermafax, Ozalid, etc. This reproduction is normally limited to 10 or 15 copies and is frequently performed on a self-service basis.
3. General Information.
  - a. Workload and Resources. At present, equipment is widely scattered and generally utilized on a part-time or self-service basis. For this reason, neither the total workload nor the resources used could be accurately estimated. Aside from customer and maintenance time, a total of 16.5 man-years (and \$97,189) was reported for FY 1968, most of which was for duplicating operations.
  - b. Service in FOB-10A. Under the proposal, TAD-40 would continue to operate the Hot Copy Rooms in FOB-10A (Rooms 531 and 833A). Collating (sorting) equipment will be added to those facilities.



## DUPLICATING AND COPYING SERVICES (Cont.)

- c. Duplicating in the Nassif Building. All duplicating service in the Nassif Building will be provided by the Printing Plant which will be located on a lower level of the building. An expedited service would be provided through a special segment of the printing plant manned by 2 employees, and a system for prompt mail handling.
- d. Copying in the Nassif Building. TAD-40 would establish two to four large hot copy rooms, located for convenience and equipped with high-speed copying and sorter equipment. The equipment would be customer operated for the bulk of the requirements. Each room would be manned with one operator (with backup from the Printing Plant) who would monitor facility use, maintain equipment, assist customers in operating equipment, and reproduce work left by customers for pickup or mail delivery. If needed, TAD-40 would establish small self-service facilities at other locations which could be monitored by the mailrooms.
- e. Ozalid Copying. TAD-40 will provide all ozalid copying for both buildings from a single manned facility in the printing plant or the photo lab (also to be located in the Nassif Building).

### 4. Estimated Benefits.

- a. Savings of \$21,000 to \$33,000 through the reduction of 3.5 to 5.5 man-years (from the 16.5 man-years reported for duplicating in FY 1968) are considered practicable results of this proposal. The precise savings will depend on whether two or four hot-copy rooms are established in the Nassif Building. To the extent customers leave work at the hot-copy rooms for late delivery, they will receive copies which presently are produced on a self-service basis in most organizations.
- b. Additional savings will be realized but cannot be estimated accurately because of the lack of information on current operations. The proposal would result in better utilization of equipment, supplies, and space; a reduction in copying volume and waste; and a reduction in customer operating time (for reproduction and collating).

### 5. Proposed Action Plan.

- a. Consolidation of Duplicating and Ozalid Copying. By August 1, 1968, the Office of Administrative Operations (TAD-40), in collaboration with the DOT Space Task Group, will develop plans, procedures and standards for operation of consolidated duplicating and ozalid copying facilities in the Nassif Building. Based on their ground-rules, TAD-40 will estimate staffing requirements subject to concurrence of the Office of Management Systems (TAD-20) and the Office of Budget (TAD-30).



DUPLICATING AND COPYING SERVICES (Cont.)

5. a. TAD-20 will develop, coordinate with affected elements, and (Cont.) submit to the Assistant Secretary for Administration proposed determination orders by August 15, 1968.
  - b. Hot Copy Rooms in the Nassif Building. By August 1, 1968, TAD-40, in collaboration with the DOT Space Task Group, will develop plans, procedures, and standards for the establishment and operation of from two to four hot copy rooms in the Nassif Building.
  - c. Hot Copying in FOB 10A. TAD-40 is currently installing sorting and collating equipment in the hot copy rooms in FOB 10A. By August 1969, TAD-20 (in coordination with FAA and TAD-40) will develop the determination orders to transfer FAA copying equipment to Working Capital Fund management.
  - d. Timing. Resources identified for transfer will be transferred in June 1969. Where appropriate, personnel will be detailed back to their respective operating administrations until such time as the physical move to the Nassif Building is completed.
6. Recommended Action by the Administrative Management Council. Approve the proposal and action plan.

TELETYPE AND CRYPTOGRAPHIC COMMUNICATIONS SERVICE

1. Proposal. The FAA to retain responsibility for teletype and cryptographic communications services in FOB 10A, and the Coast Guard to be responsible for providing these communications services to all DOT and MARAD elements in the NASSIF Building. The DOT Space Task Group, in collaboration with the FAA and the Coast Guard, to assure that appropriate interface equipment is installed between the two communications centers.
2. Definition. "Teletype and cryptographic communications services" include:
  - a. the transmitting and receiving of unclassified and classified (on and off line) messages, and
  - b. the processing of messages by teletype system(s) between the NASSIF Building Center and the FAA communications center in FOB 10A.

These services exclude messenger delivery of messages to and from the communications centers to DOT Headquarters elements and MARAD offices.

3. General Information. NTSB, FRA, FHWA, UMTA are expected to generate (transmit or receive) approximately 1,500 messages monthly. MARAD is expected to generate approximately 2,000 messages monthly. The total (3,500) represents a workload increase of approximately 17% to the USCG estimated monthly traffic projection. MARAD expends approximately 1.5 man years on this function at the present time.
4. Estimated Benefits. Consolidation of all teletype and cryptographic services under USCG operations in the NASSIF Building will preclude the need for the establishment of a second communications center for MARAD and partial communications center facilities for other DOT elements in the NASSIF Building. Under this proposal, FAA and USCG will retain operational control of facilities primarily designed to support mission-oriented programs, while insuring responsive service to all other DOT and MARAD Headquarters elements.
5. Proposed Action Plan
  - a. Assign responsibility to the USCG to:



- (1) Develop detailed technical plans, construction specifications, and funding requirements for the USCG communications center in the NASSIF Building by August 1, 1968. These plans should be developed in coordination with the DOT Space Task Group.
  - (2) Determine the operational feasibility of providing the services required by MARAD; develop any associated agreements, including financial arrangements; identify any additional equipment requirements; and develop operational procedures required to support MARAD by October 1, 1968.
  - (3) Develop standard operating procedures, message formats, and priority systems for all teletype and communications services to be provided for DOT elements located in the NASSIF Building by June 1, 1969.
- b. The DOT Space Task Group, in collaboration with the FAA and the USCG, to determine the appropriate interface equipment between the two communications centers by October 1, 1968.
6. Recommended Action by the Administrative Management Council:
- Approve the proposal and action plan.



BRIEFING ROOM

1. Briefing Room. The Coast Guard will establish, operate and maintain a briefing ("situation" or "war") room in the NASSIF Building. The location of this room and associated facilities will be determined by the Coast Guard in conjunction with the DOT Space Task Group. The Coast Guard, in cooperation with other interested elements, will establish appropriate operational procedures for joint use of the Briefing Room complex.
2. General Information. The USCG briefing (situation-war-plot) room facility will be located adjacent to the USCG communications center. The total complex will include facilities for the USCG watch officers, a telephone switchboard system for joint conference calls, voice radio system and secure telephone capability, as required.

Although the briefing room will be operated and maintained by the USCG to meet this primary mission requirement, the capability will be made available to support other modal elements upon request. Specifically: during buildup phases of National emergencies, the briefing room may be used to provide National situation data to selected key DOT officials.

Also, the telephone system may be made available to other DOT Headquarters elements for joint telephone conferences involving worldwide DOT matters.

3. Recommended Action by the Administrative Management Council:

- Approve the proposal and the following action plan.
- a. The USCG in collaboration with the DOT Space Task Group to develop detailed Briefing Room complex by August 1, 1969.
- b. The USCG in cooperation with other interested elements develop appropriate operational procedures for joint use of the Briefing Room complex.

### MAIL AND MESSENGER SERVICES

1. Proposal. Office of Administrative Operations, OST (TAD-40), to be responsible for all mail and messenger services throughout departmental headquarters.
2. Definition. "All mail and messenger services" includes all functions associated with receiving, sorting, routing, and delivery of all incoming and outgoing mail; special delivery service within the Washington area; and during normal working hours, messenger support to teletype and cryptographic communications centers. The term excludes correspondence control and the control of classified documents other than the basic functions involved in the processing of registered documents.
3. General Information
  - a. In FY 1968, 74 positions are authorized for this function throughout DOT Headquarters, and costs are estimated to total \$425,200. For FY 1969, two additional positions have been requested (one each - FAA and USCG), and costs are estimated at \$445,700. Approximately 8,000 square feet of space is currently allocated to this function.
  - b. After DOT is located in FOB 10A and the NASSIF Building, the Post Office Department will make bulk delivery and pick up from only one central point in each building.
4. Estimated Benefits
  - a. Savings of \$48,000 to \$96,000 through elimination of 8 to 16 positions are considered practicable results of centralizing management responsibility for this function. (Approximately 20% of these savings stem from reduced workload due to space consolidation - the balance from centralized management). Precise savings are dependent on:
    - (1) the number of mail deliveries per day,
    - (2) the categories of mail which the operating administrations and the NTSB require be delivered to a central point for correspondence control,



- (3) standards to be agreed upon governing special messenger services, and
  - (4) whether OST is successful in its current effort to have a dumbwaiter for the floor-to-floor delivery of mail installed in the NASSIF Building.
  - b. Centralization should also reduce future space requirements by approximately 50% at an estimated additional savings of \$20,000 per year. Other benefits would include improved equipment utilization and some hard savings through disposal of surplus equipment.
5. Proposed Action Plan. The following implementation plan is designed to finalize details of this decision by September 1, 1968:
- a. Staffing. The Office of Administrative Operations, TAD-40, will develop operating procedures and standards in collaboration with the DOT Space Task Group. Based on these ground rules, TAD-40 will estimate staffing requirements subject to concurrence of the Office of Management Systems (TAD-20) and the Office of Budget (TAD-30).  
  
TAD-20 will develop, coordinate with affected elements, and submit to the Assistant Secretary for Administration proposed determination orders by August 15, 1968.
  - b. Timing. TAD-20 will develop recommendations on effective date; consideration will be given to:
    - (1) deferring initiation of implementation until June 1969, and
    - (2) centralization of responsibility for this function in FOB 10A and the Donohoe Building as an earlier first step.
6. Recommended Action by Administrative Management Council:
- a. Approve the proposal and action plan.
  - b. Approve, in principle, working capital fund financing of this function (subject to review of a proposed system of charges to be developed by the Office of Administrative Operations and submitted to the Administrative Management Council for approval by August 1, 1968).



SELECTED OFFICE SERVICES FUNCTIONS

1. Proposal. Office of Administrative Operations to be responsible for the following office services functions:
  - a. Telephone systems engineering, management, and control
  - b. Audio-visual facility planning, operation, and maintenance
  - c. Space design, engineering, and management
  - d. Warehousing management and control; central receiving and shipping
  - e. Administrative equipment loan pools
  - f. Buildings operations management
2. Definitions
  - a. Telephone systems engineering, management, and control. The design and planning of telephone systems in coordination with customers and the Telephone Co., including submission of work orders and maintenance of master records for fiscal review and control purposes.
  - b. Audio-visual facility planning, operation, and maintenance. The design, engineering, installation, operation and maintenance of electronic audio-visual facilities used for the conduct of briefings and presentations; e.g., auditoriums and briefing rooms. Includes projectionists assigned to such facilities. Excludes the preparation of visual aids displayed on equipment in such facilities.
  - c. Space design, engineering, and management including space acquisition, utilization, and disposal; environmental design; construction engineering and management; and liaison on headquarters space matters with GSA.
  - d. Warehousing management and control; central receiving and shipping. Includes operation of warehouses regardless of location in the metropolitan area of Washington, D. C., shipping and receiving operations in each DOT Headquarters location, and trans-shipment (including related vehicle drivers) of material between warehouses and buildings.
  - e. Administrative equipment loan pools. Central storage for loan purposes of common-use equipment including such items as

audio-visual equipment (e.g. projectors and screens), typewriters, portable recording equipment, easels, etc.

f. Buildings operations management

- (1) Focal point for GSA building services. Central receipt of service requests and complaints; liaison with GSA for corrective action.
- (2) Motor Fleet and parking management. Central control of all government vehicles including acquisition, maintenance and replacement. Includes driver licensing; motor vehicle accident reporting; and control and issuance of parking permits. Excludes chauffeurs driving personally assigned vehicles as authorized by the Secretary.
- (3) Receptionist Services. Central information referral and locator service in building lobbies and maintenance of lobby directory boards.
- (4) Concessions Management. Requirements determination and liaison with GSA and concessionaires to assure proper installation, maintenance, and operation of concessions in DOT Headquarters space.
- (5) Conference room and auditorium management. Scheduling, control, set-up, and maintenance.
- (6) Building inspection and protection programs
  - Building inspections involve regular inspection of all building facilities to insure proper maintenance by GSA or lessors. Initiation of remedial action and development and execution of scheduled preventive maintenance programs.
  - Building protection programs involve the establishment and maintenance of building warden organizations for the evacuation of employees during fires, fire-drills, bomb threats, etc. Includes development of related procedures and training of warden personnel. Excludes shelter management and related civil defense efforts.

3. General Information

- a. In FY 1968, the equivalent of 50.5 positions is authorized for these functions throughout DOT Headquarters, and associated personnel



costs are estimated to total \$457,800. For FY 1969, one additional position (Communications Clerk - GS-5) has been requested by FAA and total personnel costs are estimated at \$484,600.

- b. The Office of Administrative Operations, TAD-40, presently provides most of these services to OST, NTSB, and FRA. It also provides many of these services to FHWA occupants of the Donohoe Building.

#### 4. Estimated Benefits

- a. Net annual savings of \$58,000 to \$97,000 are considered practicable results of centralizing management responsibility for these office services functions. Based upon the reports furnished by DOT elements, a maximum of 6 to 10 man years should be saved. The precise number of positions that can be eliminated is dependent on service levels to be agreed upon and the extent to which DOT elements restructure the performance of functions not proposed for centralization.
- b. Additional savings will be realized by the operating administrations due to executive direction manpower savings. Precise definition of these savings is not possible as the DOT elements did not report on supervisory positions at office, staff, and division levels.
- c. New services will be available for the first time to certain DOT elements; e.g., receptionist services, projectionist services, and detailed telephone records and associated fiscal control capability.
- d. Other benefits will include improved utilization of motor vehicles, loan pool equipment, and office space.

#### 5. Proposed Action Plan

- a. The following implementation plan is designed to finalize details of this decision by September 1, 1968.
  - (1) Staffing. The Office of Administrative Operations, TAD-40, will develop operating procedures and standards in collaboration with the DOT Space Task Group. Based on these ground rules, TAD-40 will estimate staffing requirements subject to concurrence of the Office of Management Systems (TAD-20) and the Office of Budget (TAD-30).



TAD-20 will develop, coordinate with affected elements, and submit to the Assistant Secretary for Administration proposed determination orders by August 15, 1968.

(2) Timing

Positions and personnel identified for transfer will be transferred in June 1969. Where appropriate, personnel will be detailed back to the operating administrations until such time as the physical move to the NASSIF Building is completed.

6. Recommended Action by Administrative Management Council:

- a. Approve the proposal and action plan.
- b. Approve, in principle, working capital fund financing of these functions (subject to review of a proposed system of charges to be developed by the Office of Administrative Operations and submitted to the Administrative Management Council for approval by August 1, 1968).

SUMMARY OF POSITION PAPER  
ON COLLOCATION OF ADP

Proposal:

To collocate the 5 DOT Washington area computers now located in 3 sites on the second floor of the Nassif Building.

Reasons for Proposing Collocation:

1. Efforts at time sharing and mutual support since formation of the Department of Transportation have been hampered by unique operating methods, organizational conventions and particularly geographical dispersion of the Administrations. Collocation would permit cross fertilization leading to accommodation in methods and procedures and physical contiguity would permit sharing certain physical facilities and time sharing of certain categories of equipment.
2. While there is not yet full consensus on details, ADP staffs of all Administrations and the Office of the Secretary can see certain advantages. Sharing low usage special purpose equipment, storage space, common tape libraries and ability by pooling resources to afford advanced gear individual Administrations can't afford are illustrations. Not only economies but improved systems should result. \$10,000 in annual savings can be foreseen immediately.
3. This action recognizes high commonality of interest in certain data items and that the DOT operates under a mandate to share common service facilities to the maximum extent possible. But by perpetuating "dedication" of the computers themselves, to individual Administrations, it continues to preserve responsiveness of ADP to Administration Mission Accomplishment.

Reasons for Choice of the Nassif Building:

1. The aggregate projected space requirement is for 63,000 square feet (see Table 1 of Position Paper). The total available on a floor in 10A is only 68,000. Historically ADP installations have encountered unforeseen expansion requirements. While only 70,000 square feet are proposed for ADP immediately, the fact that a floor in the Nassif Building contains 112,000 square feet gives it flexibility in the face of unforeseen contingencies.
2. It is calculated that the cost of collocating in the Nassif Building would be \$45,000 less than in 10A (see Table 2 of Position Paper).

Proposed Action Plan:

1. That 70,000 feet in the Nassif Building be assigned to ADP.
2. That a joint working party made up from the Space Committee and ADP Council proceed at once to plan the collocation operation giving attention to:
  - a. Feasibility of pooling certain activities and equipment items.
  - b. Selection of ADP space, identification of needs for site preparation, power and air conditioning requirements, etc.
  - c. Activities to be located in close relationship to ADP - floor layout for equipment, etc.



IMPREST FUND CASHIERS

1. Proposal. Office of Administrative Operations, OST (TAD-40), to be responsible for all imprest fund services throughout the departmental headquarters.
2. Definition. "Imprest Fund Cashiers" includes all persons authorized to make payments from imprest funds where direct cash payments are advantageous to the Government. Use of imprest funds will be subject to limitations imposed by the U.S. Treasury Department, General Accounting Office, and Federal Procurement Regulations. Typical uses of the fund are:
  - a. Small purchases of supplies and non-personal services.
  - b. Payment of authorized travel expenses and/or travel advances.
  - c. Emergency payment of travel and pay allowances for military personnel, where applicable.
3. General Information. During FY 1968, approximately four positions are engaged in the handling and processing of imprest fund services throughout DOT Headquarters, and costs are estimated to total \$25,300 for personnel services only. No increase in positions is anticipated for FY 1969, but costs are expected to increase to approximately \$26,270 as the result of salary increases. With the exception of FAA, imprest fund services are currently being performed throughout the DOT Headquarters on a part-time basis and as a collateral function.
4. Estimated Benefits. Estimated benefits which are expected to accrue are as follows:
  - a. It is estimated that a savings of approximately \$4,500 per year will accrue as the result of centralizing management responsibility for this function. This estimated savings is based on a reduction of one-half of one man-year and is expected to accrue as the result of utilizing existing accounting positions in the Working Capital Fund accounting section as alternate cashiers during periods of leave, peak workloads, etc. The estimate of manpower requirements and savings does not include handling of airline reservations, issuances of transportation requests, tickets, etc. Therefore, estimated savings could be affected by the results of the implementation task force effort on travel services to be led by the Office of Management Systems (TAD-20); if the DOT Travel Service Center is to be manned by DOT employees (rather than an airline or travel agent), imprest fund cashier duties could be performed by the Center.

- b. In addition to the savings outlined above, consolidation of the imprest fund services will free, for more responsible duties, the services of certain higher graded personnel currently performing such services in the various Administrations, OST, and NTSB. A reduction in the number of imprest funds being utilized throughout the DOT headquarters will also facilitate the preparation of recurring reports on the status of the funds to the U.S. Treasury Department and will save time and effort on the part of both the Office of Audit, OST, and the General Accounting Office in performance of audits of such funds.
5. Proposed Action Plan. The following implementation plan is designed to finalize details of this decision by September 1, 1968.
  - a. Staffing. The Office of Administrative Operations, TAD-40, will develop operating procedures and standards in collaboration with the DOT Space Task Group. Based on these ground rules, TAD-40 will estimate staffing requirements subject to concurrence of the Office of Management Systems (TAD-20) and the Office of Budget, (TAD-30).

TAD-20 will develop, coordinate with affected elements, and submit to the Assistant Secretary for Administration proposed determination orders by August 15, 1968.
  - b. Timing. It is believed that centralization of responsibility for this function would be impractical prior to effecting the physical consolidation of the departmental headquarters in the Southwest area. Therefore, it is anticipated that initiation of implementation of this function will be deferred until June 1969.
6. Recommended Action by Administrative Management Council.
  - a. Approve the proposal and action plan.
  - b. Approve, in principle, working capital fund financing of this function (subject to review of a proposed system of charges to be developed by the Office of Administrative Operations and submitted to the Administrative Management Council for approval by August 1, 1968).



### LIBRARY SERVICES

1. Problem: To establish optimumly efficient and effective library services to fulfill Department of Transportation needs for such services.

Importantly related to this library and information retrieval function is the DOT responsibility, assigned by Public Law 89-670, to promote and undertake development, collection, and dissemination of technological, statistical, economic, and other information relevant to domestic and international transportation.

2. Definitions:

- a. A Library is a specialized collection of reference material. Its basic mission is to collect, organize, maintain and disseminate information contained in books, periodicals, technical reports, and related publications. While providing one or more physical locations at which materials are made available to the using public, its activities are based on the operation of a comprehensive information retrieval system.
- b. An Information Retrieval System involves processes for collecting, selecting, indexing, organizing, storing, collating, retrieving and making available information of the kind recorded in such forms as library catalogs, bibliographies, indexes, and table of contents.

3. Background:

- a. The problem of providing adequate library services throughout DOT is presently compounded by the physical dispersion of its elements in a number of separate building locations. The S.W. space consolidation will minimize this problem.
- b. A recently conducted management study of Headquarters Library Services and needs of DOT recommended pooling all existing DOT headquarters library resources under centralized management, building upon those resources to meet deficiencies and expanding needs, eliminating unnecessary duplication of facilities, and improving space utilization.
- c. Comments submitted by the operating administrations and NTSB are summarized in Attachment 1. FAA and FHWA non-concurred; both reflected concern over derogation of service. General information on the present DOT libraries is presented in Attachment 2.



LIBRARY SERVICES (CONT.)

4. Discussion: Centralized management should result in overall improvements in library efficiency and effectiveness through the establishment of standard, integrated procedures and consolidated operation of all library activities - accessioning, classification, cataloging, shelf-listing, charge-out, disposal, etc. There is no reason to believe that all DOT elements cannot be provided adequately responsive service, and the present library operators - FAA, FHWA, and USCG - have every right to demand and expect service from a centralized library at least equal to that which they now receive. There is no inherent reason for less adequate service from a large centralized operation, and there are numerous reasons why the services should be significantly enhanced. (See Attachment 3 for discussion of potential benefits.)
5. Proposed Course of Action:
  - a. Place all DOT libraries under centralized management responsible to the Director of Administrative Operations (TAD-40), effective August 1, 1968. (A top-flight professional librarian should be appointed promptly to provide the required leadership.)
    - (1) Effect no relocations of library materials until the move to the Nassif Building. The final physical organization will be comprised of two library sites - one in FOB 10A and one in the Nassif Building.
    - (2) Law library policy guidance will be vested in a Law Library Council chaired by the General Counsel, OST, and will consist of a representative from each General Counsel's Office.
    - (3) Vest modal and intermodal matters of library policy in the Intermodal Research Advisory Council chaired by the Assistant Secretary for Research and Technology with specific coordination responsibility for scientific and technical information also assigned to him.
    - (4) Program objectives, funding, acquisition determinations, and systems standardization will be subject to the policies and standards established by these two councils in their areas of primary interest.
    - (5) All general purpose holdings will be subject to the direction of the Chief Librarian.
  - b. Application of the Working Capital Fund concept to the DOT headquarters library will be given comprehensive study by the Office of Administrative Operations (TAD-40) and the Office of Budget (TAD-30) with recommendations on funding approach to be presented to the Administrative Management Council for review and decision by July 15, 1968.

LIBRARY SERVICES (CONT.)

- c. The Office of Management Systems (TAD-20) will develop, coordinate with affected elements, and submit to the Assistant Secretary for Administration proposed determination orders by July 31, 1968.
  - d. By August 15, 1968, TAD-20 will review the status of FAA's automation development effort, coordinate with FAA, and submit recommendations on the action to be taken, if any, with respect to a transfer to OST of all, or a portion, of FAA's Library and Information Retrieval Staff, MS-110.
  - e. By September 15, 1968, the Assistant Secretary for Administration will constitute a special task force involving participation by all DOT elements to develop a medium-range plan to assure the DOT Library is a well-integrated and modern complex.
6. Recommended Action by Administrative Management Council:
- a. Approve, in principle, the establishment of a centralized Department of Transportation library service.
  - b. Approve the proposed course of action.

ATTACHMENT NO. 1

LIBRARY SERVICES

Summary of Questions and Non-Concurrence Comments Received from the  
Operating Administrations and NTSB.

<u>QUESTIONABLE AREA</u>	<u>NTSB</u>	<u>USCG</u>	<u>FAA</u>	<u>FHWA</u>	<u>FRA</u>
Working Capital Fund	None	None	<u>1/</u>	<u>2/</u>	<u>3/</u>
Centralization in General	Concurs	Concurs	<u>4/</u>	<u>5/</u>	None
Cost and Other Benefits	<u>6/</u>	None	<u>7/</u>	<u>8/</u>	None
Quality of Service	None	Should Improve	<u>9/</u>	<u>10/</u>	None

- 
- 1/ No support for WCF. If decision is to include libraries under DOT Working Capital Fund, regardless of our (FAA) strong objections, it is recommended that better documentation be developed to support this decision.
- 2/ Non-Concur. Objection pertains to centralized management and organization of libraries.
- 3/ Wants to know basis upon which charges for library services will be calculated.
- 4/ Non-Concur. A library for a technical agency, such as FAA, is an important management tool which must be currently responsive to the agency's needs. This can most effectively be accomplished under the management of the individual administrations. Transferring the Washington Office library resources to OST could only result in a derogation of our (FAA) services based on the concept (of centralization) enunciated in the report.
- 5/ Non-Concur. BPR library, under the Office of Research and Development, is a natural adjunct to the Bureau's research and technical activities. As such, it provides a unique, highly-individualized, research service in a specialized subject area. It would be adversely affected by an organizational alienation with an attendant inevitable loss of subject matter control and responsive specialized services.
- 6/ Wants to know cost to NTSB.
- 7/ Savings are not demonstrated.
- 8/ Report does not show savings.
- 9/ Quality of present service FAA receives would be derogated.
- 10/ FHWA's present service would be derogated.
-



ATTACHMENT NO. 2

LIBRARY SERVICES

General Information on DOT Libraries:

	<u>FAA</u>	<u>USCG</u>	<u>FHWA</u>
Physical Space (Sq. Ft.)			
Law Library	8,000	730	3,000
Main Library	<u>17,000</u>	<u>935</u>	<u>7,740</u>
	25,000	1,665	10,740
<hr/>			
Authorized Staffing	29	5	18
<hr/>			
Grade Pattern	GS-14 down	GS-9 down	GS-12 down
<hr/>			
Total Annual Cost*	\$344,800	\$63,780	\$147,000
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Holdings			
Law	43,000	4,000	30,000
Others	<u>102,620</u>	<u>4,500</u>	<u>280,000</u>
	145,620	8,500	310,000

\*Total annual cost of all libraries equals \$555,580, of which \$414,680 covers salaries and employee benefits, and \$140,900 covers other costs.

ATTACHMENT NO. 3

LIBRARY SERVICES

Potential Benefits:

While estimated potential costs and savings of these proposals are not easily attainable to place quantitative measures on potential benefits, these basic benefits are possible through optimum consolidation of library resources and centralized management of library services:

1. Set the stage for improving standardization of systems, Union list holdings, indexing and shelving techniques, central procurement, development of an overall transportation thesauris -- and many other areas in which singleness of management and approach will assist. Savings resulting from this effort should provide the resources needed to furnish library services to those DOT elements not receiving adequate or convenient service.
2. Provide the basis for the Department to begin to improve its total library service at minimum cost. It would afford an opportunity to assemble a staff of library and information retrieval specialists to assist in the development and effectuation of an overall Departmental plan for the improvement of its total library and related informational services.
3. Provide a sound organizational framework upon which to augment the Department's holdings at minimum cost to meet its needs for new or more comprehensive information.
4. Provide a definite avenue for the Department to pursue in improving its library services through the development of a comprehensive DOT library network highly automated and with responsive capability to meet its needs.

ADMINISTRATIVE MANAGEMENT COUNCIL DISCUSSIONS ON  
CONSOLIDATED SUPPORT SERVICES, FRIDAY, JUNE 14, 1968

1. Attendees:

Assistant Secretary Dean, Admiral Sargent, and Messrs. Harper,  
Provan, Weiss, O'Rourke, McGruder and Unti.

2. General Considerations:

The deadlines for implementation of consolidation decisions are imposed by the October 15, 1968, date for completion of Nassif Building space layouts to meet GSA requirements, and the September 1, 1968, date for FY 1970 budget submissions. The studies required as a result of the decisions made below must be planned to meet these deadlines in each case as appropriate.

The definition of the term "centralized management" as used in the fact-and-issue papers is limited to the administrative direction of the service unit only. It does not include matters of intra-administration priority setting, review of service requested by each customer (beyond general regulations governing quantity or quality common to all users) or any other decisions normally occurring prior to the placement of the request for service.

It is assumed that each AMC member is speaking for the appropriate administration in the services consolidation program. Coordination



will be accomplished through each AMC member or his Deputy, although normal staff liaison is authorized for conducting studies etc.

It was agreed to await formal coordination and publication of the actions taken before they are discussed with staff members..

3. Actions Taken:

A. Visual Services:

Mr. Harper did not agree to the principle of centralized management of the visual services and requested that a study be undertaken to determine the merits of such a centralization. Admiral Sargent would agree only if the Nassif Building had suitable facilities to provide the USCG with the same response to priority demands as it now receives. Mr. Dean stated that an implementation task force would assure USCG needs were met. The balance of the Council raised no objections. The Council agreed to have the OST Office of Management Systems (OMS) survey the visuals area, including a forecast of savings. In the event agreement is reached to approve centralization, the working capital fund method of financing was adopted.

B. Payroll Services:

Since it was understood that the IRS in Detroit would continue

to service the USCG civilian payroll needs, it was decided to defer the study of centralized payroll services. USCG military payroll will continue to be processed by CG headquarters personnel.

— C. Travel Services:

It was decided to omit the making of security clearance arrangements from the proposal. The Council discussed the value of having a single knowledgeable person or office to secure passports. It directed OMS to survey the advantages of a centralized service, including the passport service and the remaining travel planning functions listed in the proposal, with the expectation that if savings of time and money could be shown, centralization would be approved. OMS was asked to include a draft order setting forth the procedures for using the centralized service. The option of an office electing not to use the travel service but arranging for its travel directly was retained. The proposed action plan was approved with the deferment of agreement in principle pending the results of the study.

— D. Public Document and Docket Inspection Facilities:

The Council decided to direct OMS, with the cooperation of the administrations and NTSB, to study the merits of the proposed

consolidation, including a thorough review of the legal responsibilities for docket maintenance. The factors to be studied and the remaining elements proposed in the action plan were approved. Mr. Weiss noted the need for keeping certain documents near the NTSB offices which deal with the documents. OMS was instructed to coordinate the study with TPA.

E. Training Rooms:

The Council approved the principle of common training rooms for FOB 10A and the Nassif Building. The OST Office of Personnel and Training (OPT) will chair a task force representing the administrations and NTSB to implement their decision as proposed in the action plan.

F. Credit Union:

It was decided to direct OPT to contact the various Departmental Credit Unions to inform them of the SW consolidation plans and of our interest in planning for appropriate space, etc., for their use. Although charters may require modification, it was agreed that this properly requires membership initiative and action. The Council stated its endorsement of a general policy of full eligibility for membership in at least one credit union for each DOT employee in the SW area.



G. Employee Medical Service:

Admiral Sargent presented the USCG view that for his service the law required the PHS to provide medical services to the military members and must be retained as it is now. OPT was directed to study the feasibility of PHS service to all Nassif Building civilian employees. If this service cannot be arranged, OPT is then to develop for coordination a proposal to extend FAA support to the Nassif Building for civilian employees.

H. Duplicating and Copying Service:

The proposed action plan was adopted with the additional endorsement of the policy that copying machines will be provided upon request to serve an Administrator's immediate needs, and other such special requirements negotiated on an ad hoc basis.

Mr. Unti was asked to expand upon the statement that his office is currently installing additional equipment in FOB 10A.

I. Teletype and Cryptographic Communications:

The action plan was approved with the addition of the request that a subgroup of the DOT Space Task Group be formed consisting of FAA and USCG representatives to develop plans for procedures and equipment installation for coordination between the FOB 10A

and Nassif Building communication centers. Mr. Harper asked Mr. Unti to see him directly on this point. Mr. Unti was also requested to meet with Assistant Secretary Sweeney to develop a program of economic use and sharing of the wire services teletype machines. It was emphasized that plans for the construction and equipping of the communication center and the briefing room (TAB J) should include the special needs of the other Nassif Building users submitted by the administrations and the NTSB. An attempt will be made to include MarAd requirements also.

J. Briefing Room:

Action plan approved.

Q. K. Mail and Messenger Services:

Mr. Provan agreed to the principle of a single Nassif Building mail and distribution service upon assurance from Mr. Dean that the service would contain a single FHWA sort and distribution point and that FHWA would have technical supervision (including specification of frequency of distribution deliveries) but not administrative supervision over its mail processing. Mr. Weiss requested that the NTSB mail be delivered intact to a single point

for subsequent internal sort and distribution. All others agreed to the balance of the proposal as stated, with the exception of the working capital fund element. It was noted that the proposal excluded the correspondence control and other Executive Secretariat functions. The OST Office of Administrative Operations (OAO) will study the appropriate funding methods for centralized service and coordinate its recommendations. The first step of implementation, that of centralizing the management of the FOB 10A and Donohoe services, will take place on April 1, 1969.

10. L. Selected Office Services Functions:

The principle of centralized service for telephone systems, audio visual facilities, space engineering and an administrative equipment loan pool was approved with the reiteration of the importance of confining "management" of these services to the implementation of the decisions made by the several customers of the service units consistent with applicable DOT and GSA standards.

In the warehousing area, OMS will study the merits of a single management of the service while OAO will evaluate the merits



of converting the space to be vacated by the printing plant in Building 159 to additional warehousing space versus the use of available space in Alexandria, Virginia.

OAQ, in coordination with the administrations and NTSB, was directed to develop Departmental standards (beyond general GSA standards) for the use of office space, furniture, carpets, offices and bay areas.

In the area of building operations, centralized management of the services was generally approved in principle. The need for a focal point to deal with Nassif Building managers and liaison with GSA was affirmed. Mr. Harper stated his view that such a position not be placed under a working capital fund arrangement.

Within the context of arrangements to be completed with the parking concessionaire and/or the Nassif Building owners, general guidelines will be prepared and coordinated for the distribution of parking permits in conformance with the Council's decision that the bulk allotments of spaces should be made to each administration for their subsequent assignment.

In motor fleet service management, motor vehicle reporting is to be limited to reporting of a statistical nature and not include matters of disciplinary or legal action.

The Council decided to have two reception areas. (See point below concerning number of Nassif Building entrances.)

In the area of conference room and auditorium use, the Council approved the principle of centralized scheduling, etc., and affirmed the policy that those facilities associated with the immediate offices of the Secretary, the Administrators and with high officials are to remain under the supervision of the various immediate offices. In the use of the common conference rooms and other facilities, a limited pre-emptive right was acknowledged for the top officials of the Department.

The proposed action plan was approved consistent with the decisions above. No specific decisions on the use of working capital fund financing were made.

M. Imprest Fund Cashiers:

OMS was directed to study the benefits of coordinated imprest fund services and coordinate their findings. Mr. Provan stated that the various uses of the funds should be determined by each administration.

N. Collocation of ADP Facilities:

OMS was directed to develop a report on the benefits of collocation, given the FAA's requirements for extensive back-up electrical power. Mr. Harper is to supply the appropriate data. Mr. Unti was asked to contact the Nassif builders and Mr. Phillips of GSA to obtain total assurance that the power stand-by equipment can be installed. The AMC then agreed in principle to collocate if these matters can be resolved, and 70,000 square feet of the second floor of the Nassif Building has been approved for these purposes.

OMS was requested to amend its table on ADP Space Requirements to reflect the HSGT computer space.

O. Library Services:

OMS was directed to complete the rewriting of the library counterpart study and recirculate it for comment, together with the results of a survey of the other Federal agencies' experience with library consolidations. Mr. Provan stated his belief that the Nassif Building dimensions precluded complete collocation of the library in that building and that the possibilities of separate technical libraries for USCG and FHWA be considered. Admiral Sargent concurred.



P. Additional Services:

Mr. Unti was asked to consider the placement of a central bulletin board for classified advertisement notices, etc. He was also asked to immediately contact GSA and Nassif Building officials to arrange for the inclusion of a two-story auditorium if at all possible.

Mr. Unti will also meet with the Nassif builders to discuss the use of only two entrance ways to the elevators serving the Federal portion of the building.

## The Problem of Executive Staffing of the Department

Earlier chapters of this study have indicated that the original Bill submitted to the Congress by the President to establish the Department of Transportation recognized the acute difficulty of obtaining sufficient "super-grade positions" to staff a government agency by providing in Section 9 (b) that the maximum permissible number of supergrade positions (GS-16, GS-17, GS-18) in the government should be raised from 2400 to 2445. Some form of this provision was retained in most of the versions of the Bill that were considered in both houses of Congress until the Senate debate of September 29, 1966. During that debate Senator A. S. Mike Monroney offered an amendment to strike out the provision dealing with increasing the number of supergrades available. He did so, he said, because it was the policy of the Senate Committee on Post Office and Civil Service not to allow a bill authorizing a new activity to carry a provision to permit more supergrades to be created. Such supergrade authorization must be included in a bill which is subject to the jurisdiction of that committee. Monroney's amendment was not designed to cripple the new department, he said, and he assured the Senate that the Committee would consider appropriate legislation in the following session to provide for the needs of the Department of Transportation. The amendment was carried by the Senate.<sup>2</sup>

A2d

That action created for the Department one of its most serious management problems that lasted from April 1, 1967 through the end of the Johnson Administration.

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On its first day of operation the Department had 170 positions carrying supergrade rank and salary. After April, 1967 the Department was in almost constant negotiation with the Civil Service Commission attempting to obtain authorization for more supergrade positions. Many individuals were recruited to fill positions in the Office of the Secretary who either held supergrade appointments in the several Administrations or were promised supergrade appointments at the time of their appointment. Some few officers were detailed in grade from their parent agencies to permit them to work for the new organization. Thus 9 of the 14 supergrade employees on detail came from FAA.

Both in 1967 and in 1968 the Secretary and other officers of the Department appeared before Congressional Committees to support legislation to provide for additional supergrade positions. During his 1968 appearance before the Senate Post Office and Civil Service Committee the Secretary reported that he had established an Executive Personnel Board for the Department, the function of which is to review every proposed position and candidate for a supergrade position to make recommendations for the Secretary's action. In neither year was the proposed legislation enacted, however, so that at the end of the Johnson Administration the Department still had a total of only 229 positions in the supergrade or equivalent salary range. The Secretary indicated to the Congressional committees that good administration would require that he have an allocation of a further 75 supergrade positions, most of which would be allotted to the Office of the Secretary where the shortage is most acute.<sup>3</sup>

The Executive Personnel Board. Establishment of this Board, as reported by the Secretary, met the requirements of Executive Order 11315; it was



established over a considerable amount of objection from the Administrations, since one of its purposes was to reserve to the Secretary the final determination of the positions to be assigned supergrade status, and indeed, of the personnel to occupy the positions. Even after the publication of the Order establishing the Board, however, there were continuing discussions in the Department and in the Executive Personnel Board of the manner in which the Department should manage its supergrade resources. The Secretary therefore restated his policy in a memorandum on December 8, 1967: he would make decisions on assignments to supergrade and special pay positions after receiving advice on individual actions from the Executive Personnel Board. This latter provision was to reject requests made by some Administrations that the Secretary assign them blocks of supergrade positions to be used at the discretion of the Administrator.<sup>4</sup>

After approximately a year of operation, officials of the Secretary's Office decided that the principles laid down in the Order were not yet commonly accepted, and that some additions should be made to the system for establishing personnel designations. A draft revision of the Order was prepared. Though it is not yet accepted at the time of this study, it indicates the trend of thinking in the Secretary's Office, and it will probably be accepted. The Order states as the Secretary's policy that "executive level positions are a resource of the Secretary." In filling these positions, he will give consideration to all qualified employees of the Department and to candidates referred from the Civil Service Commission's inventory of Federal Executives; candidates from outside the government will be considered when they are believed to be among the best qualified for a specific position. But "in no event will a permanent assignment be made to an executive level position without prior

review and approval by the Secretary or his designee." The Order provides definitions for "quota positions," "non-quota positions," and "hard core positions"; it establishes the composition of the Department Executive Personnel Board, and sets up the procedures for filling executive positions. "Quota positions" are defined as those in the GS-16 to GS-18 category that are subject to the numerical limitations in Title 5 of the U.S. Code. A "non-quota" position is a professional position in engineering or science or any other executive level position not subject to Title 5 restrictions. For purposes of planning within the Department, "hard core" positions are those determined by the Secretary to be necessary to complete or maintain the basic organizational framework of the Department. Once a position is designated "hard core" by the Secretary, it is planned that the position will be available to the Administrator or OST official on a continuing basis.

The Department's Executive Personnel Board includes the Under Secretary as Chairman and the Assistant Secretary for Administration as Vice Chairman. Both also serve as members of its executive committee. The head of each Administration is also a member of the Board, and of its executive committee when matters pertaining to his Administration are under consideration. Assistant Secretaries and the General Counsel also serve on the Board and on the executive committee at the call of the Chairman. There is a very great distinction between the functions of the Board and of its Executive Committee, however. The members of the Board are responsible to evaluate and recommend policies relating to executive personnel to the Secretary; the members of the Executive Committee, on the other hand, are charged to review

and evaluate proposed executive level personnel actions for conformance with established guides and policies, and for reviewing and recommending to the Secretary personnel actions with respect to "hard core" positions, and other quota positions, managing vacant spaces "in a manner to assure the availability of a position space for hard core positions and to assure use of other positions of highest priority." All organizations within the Department are required to report vacant executive level positions to the Secretary together with their recommendations for filling the positions. The process of filling such vacancies includes canvassing the rest of the Department for qualified nominees. At the end of the recommending process, the Secretary will, 1) approve the nomination for transmittal to the Civil Service Commission, 2) return the proposal to the Executive Committee for such action as he may desire, or 3) return the proposal to the originator.<sup>5</sup>

The effect of these changes will be to centralize control of the supergrade positions even more firmly in the Office of the Secretary.

The Hard Core Supergrade Exercise. Even before the Secretary considered a revision of the Department Order, the Department had conducted what is referred to as the Hard Core Supergrade Exercise. In effect this was an effort to re-assess the senior executive positions in the Department so that they could be categorized as either "hard core" or "other priority" supergrade positions. Each Administrator and each Assistant Secretary was asked to divide supergrade positions in his organization into "hard core" and "other priority" as the importance of the position dictated.



The lists supplied by the Administrators were then reviewed by the Executive Committee of the Executive Personnel Board to determine which positions should be recommended to the Secretary for designation in either category. The lists prepared by the Executive Committee included among non-quota positions 41 hard core positions and indicated a need for 12 more; also included among non-quota positions were 75 non-hard core positions and 37 vacancies, for a total of 165. Quota positions included 132 established hard core positions and 48 needed hard core positions. Quota positions other than hard core totalled 90 established and 95 needed; these supergrade positions totalled 367 for the entire Department.

The Secretary approved the recommendations of his Executive Personnel Board, with two exceptions. He indicated that the Deputy Director of Management Systems of both the Office of the Secretary and of the Federal Aviation Administration should be made "hard core" instead of "other priority."<sup>6</sup> The Secretary was apparently persuaded by the argument put forward by Assistant Secretary Dean for OST and by the Acting Administrator for FAA in behalf of the higher rating for the Deputy positions.

In the case of the Office of Management Systems of the Office of the Secretary, Mr. Dean reminded the Secretary that that Office carried the heaviest administrative burden in the Department, particularly since the Office had been consolidated with the Office of Logistics and Procurement Policy. This means, said Mr. Dean, that the Director of Management Systems has "Department-wide staff leadership in the areas of logistics and procurement, automatic data processing, design of cost accounting and financial reporting systems, management information, organization and methods survey work, the development of

miscellaneous administrative standards, the operation of the directives systems, and the conduct of the Department's Historical program." In addition the Board had recognized that the Chief of the Logistics and Procurement Policy Division should be a hard core position, so that if the Deputy's position were not to be hard core, the anomalous result would be that an office having a hard core division chief would not be entitled to a hard core Deputy Director.<sup>7</sup>

#### Footnotes

1. DOT 1100.1, March 31, 1967.
2. Congressional Record, September 29, 1966, p. 23442.
3. Statement of Secretary of Transportation, Alan S. Boyd before the Manpower Subcommittee of the House Post Office and Civil Service Committee Concerning H. R. 10376, July 13, 1967 and Testimony by Alan S. Boyd, Secretary of Transportation, Prepared for Delivery Before the Senate Post Office and Civil Service Committee, March 6, 1968.
4. Boyd to Administrators and the Commandant, U. S. Coast Guard, memorandum, December 8, 1967. Subject: "Management of Quota Supergrades."
5. Draft Order, DOT 1100.9 to replace DOT 1100.7 of July 7, 1967.
6. Robson to Boyd, memorandum, October 21, 1968. Subject: "Recommendations of Executive Committee. . ." The Secretary's assent is recorded on this document in his handwriting.
7. Dean to Robson, memorandum, September 28, 1968. Subject: "Action-Request for Additional Hard-Core Positions."



UNITED STATES GOVERNMENT

DEPARTMENT OF TRANSPORTATION

OFFICE OF THE SECRETARY

*Memorandum*

DATE: December 8, 1967

In reply  
refer to:

SUBJECT: Management of Quota Supergrades

FROM: The Secretary

TO: ✓ Administrator, Federal Aviation Administration  
Administrator, Federal Highway Administration  
Administrator, Federal Railroad Administration  
Administrator, St. Lawrence Seaway Development Corporation  
Commandant, U. S. Coast Guard

I have been advised that the question of how the Department will manage its quota supergrade resources has continued to come up in sessions of the Departmental Executive Personnel Board.

I wish, through this memorandum, to affirm my policy in this matter. This policy calls for the assignment of all supergrade and special pay positions by the Secretary after receiving advice on individual actions from the Executive Personnel Board. In making such assignments, I shall give weight to overall Departmental priorities and considerations of equity to individuals.

I have adopted this policy because it will benefit every element in the long run by assuring the fullest and highest priority use of necessarily limited quota supergrade resources. You should also note that under the executive assignment plan implemented by the Civil Service Commission on November 17, 1967, the Civil Service Commission looks to the head of each Department and Agency to provide overall direction and management of both supergrades and the selection of executives. It is my intention that the Department cooperate fully with the Civil Service Commission in carrying out this promising new program by assuring that we have Department-wide management of executive resources.

*Alan S. Boyd*  
Alan S. Boyd

FEDERAL AVIATION AGENCY  
OFFICE OF ADMINISTRATION

DEC 11 2 00 PM '67

# Department of Transportation

Office of the Secretary

Washington, D.C.

ORDER

(5.)

DOT 1100.9

*not official 10/24/68*

SUBJECT: DEPARTMENTAL EXECUTIVE PERSONNEL BOARD

1. PURPOSE. This order establishes the Departmental Executive Personnel Board and describes its composition and function.
2. BACKGROUND. Executive Order 11315 dated November 17, 1966, requires the establishment of a system for the recruitment, selection, development, assignment and utilization of executive personnel. Executive personnel play a unique and powerful role in the leadership and management of any organization. Recognizing this fact, most large organizations in the private sector and many Government departments have established a top level committee on executive manpower. Because executive positions in Government are limited, it is essential that these valuable and scarce resources be wisely used and equitably distributed within the components of this Department. In addition, the Civil Service Commission, under the provisions of the Executive Assignment System, requires high level review of the qualifications of each candidate nominated for assignment to an executive level position. The Executive Personnel Board has been approved by the CSC to accomplish this purpose.
3. CANCELLATION. DOT 1100.9, Departmental Executive Personnel Board dated 7/7/67 is hereby canceled.
4. POLICY. Executive level positions are a resource of the Secretary. # Establishment of executive level positions and assignment of executive personnel in the Department shall be proposed to the Civil Service Commission only after due consideration is given to the total executive needs of the Department. In nominating candidates for these positions, consideration shall be given to all qualified employees of the Department and to applicants referred from the Civil Service Commission inventory of Federal executives. Available candidates outside the Federal service will be considered when they are judged to be among those best qualified for a specific position. In no event will a permanent assignment be made to an executive level position without prior review and approval by the Secretary or his designee. ✓

DISTRIBUTION: All Secretarial Offices  
All operating administrations  
National Transportation Safety Board (info)

OPI: Office of  
Personnel and  
Training



5. DEFINITIONS.

- a. Executive level position - For the purpose of this order, an executive level position is any GS-16, 17, 18 or equivalent salaried civilian position in the Department occupied either by a civilian or military executive. This does not include purely military positions in the U. S. Coast Guard.
- b. Operating Administrations - The Federal Aviation Administration, Federal Highway Administration, Urban Mass Transportation Administration, Federal Railroad Administration, U. S. Coast Guard and St. Lawrence Seaway Development Corporation are each operating administrations of the Department.
- c. Quota executive position - A position that the Civil Service Commission can classify in grades GS-16, 17 and 18, but subject to the numerical limitations in Section 5108(a) of Title 5, U. S. C. For the purpose of this order, Special positions are treated and considered in a manner similar to quota executive positions.
- d. Non-Quota executive position - A GS-16, 17, 18 or equivalent salaried professional engineering or physical or natural science position engaged in research and development activity; also, any other executive level position not subject to the quota limitations of Section 5108(a) of Title 5, U. S. C.
- e. "Hard Core" position. For purposes of this order, a "hard core" position is a position determined by the Secretary as necessary to complete or maintain a basic organizational framework within the Department. Such positions, once approved as "hard core" by the Secretary, would, barring unusual or unforeseen circumstances, be available to the Administrator or OST official on a continuing basis. ✓

6. COMPOSITION OF THE DEPARTMENTAL EXECUTIVE PERSONNEL BOARD.

- a. Chairman - The Under Secretary shall serve as Chairman of the Board and its Executive Committee.
- b. Vice Chairman - The Assistant Secretary for Administration shall serve as Vice Chairman of the Board and its Executive Committee.



c. Members

- (1) The head of each operating administration shall serve as a permanent member of the Board. The head of an operating administration shall serve on the Executive Committee whenever matters pertaining to that operating administration are to be presented for consideration.
- (2) The Assistant Secretaries and the General Counsel shall serve as ad hoc members of the Board at the call of the Chairman. They also serve on the Executive Committee whenever matters involving their respective offices, or a functional counterpart thereof in an operating administration, are presented to the Executive Committee for its consideration.

- d. Executive Secretary - The Departmental Director of Personnel and Training shall serve as the Board's Executive Secretary and will provide staff support for the Executive Personnel Board and the Executive Committee.

7. RESPONSIBILITIES.

- a. Heads of operating administrations, Assistant Secretaries and the General Counsel are responsible for:

- (1) Determining how executive level positions will be filled, i.e., by reassignment, promotion, appointment, etc.
- (2) Establishing the selection criteria to be used in identifying eligible candidates for executive level positions within their respective areas of responsibility.
- (3) Conferring with the appropriate Secretarial Official concerning selection criteria and candidates for an executive position that is a counterpart of an activity or position in the Office of the Secretary.
- (4) Recommending final selections for executive level positions within their respective areas of responsibility, subject to review by the Executive Committee and approval by the Secretary and the Civil Service Commission.

- b. Executive Personnel Board Members are responsible for reviewing, evaluating and recommending proposed general policies relating to executive personnel and so advising the Secretary.

- \* c. Executive Committee Members are responsible for: *hew*

- (1) Reviewing and evaluating proposed executive level actions for conformance with established guides and policies and recommending appropriate action to the Secretary.

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- b. Executive Personnel Board Members are responsible for reviewing, evaluating and recommending proposed general policies relating to executive personnel and so advising the Secretary.
- c. Executive Committee Members are responsible for:
  - (1) Reviewing and evaluating proposed executive level actions for conformance with established guides and policies and recommending appropriate action to the Secretary.



- (2) Periodically reviewing with each OST official and Administrator his "hard core" and all other position requirements, both established and proposed. Recommending to the Secretary upon completion of each review (a) a basic "hard core" list for the entire Department, and (b) a priority list by grade for all other quota positions.
- (3) Managing all vacant spaces in a manner to assure the availability of a position space for "hard core" positions and to assure use for other positions of highest priority.
- (4) Recommending to the Executive Personnel Board any proposals not covered by established guides and policies.

8. PROCEDURES.

- a. Determining Needs for Quota Executive Spaces. The Director of Personnel and Training, on behalf of the Executive Committee, shall provide for a Department-wide canvass at least semi-annually to identify changes in executive level requirements. This will allow a periodic review of operating administration priorities. These lists will be kept current at all times. The DOT priority list for quota positions will include vacant positions not in the "hard core" group and all other proposed quota positions.
- b. Filling Executive Level Spaces.
  - (1) The organization having an existing and occupied executive position will notify the Departmental Director of Personnel and Training as soon as it becomes evident that it is to become vacant.
  - (2) To expedite action on individual cases, and to avoid repeated and sometimes conflicting contacts with the Civil Service Commission, liaison contacts with the Commission will be conducted by the Secretary, members of the Executive Committee, and the staff supporting the Executive Personnel Board.
  - (3) All operating administrations and organizations within the Office of the Secretary having executive level vacancies will propose utilization of such spaces to the Secretary through the Executive Committee in the format prescribed by the Director of Personnel and Training. As appropriate, the Director of Personnel and Training will:
    - (a) Obtain an Executive roster from the Civil Service Commission, develop lists of qualified outside candidates if desired, and transmit these to the organization filling an executive level vacancy.



- (b) Solicit management nominees for the executive level vacancy from the other administrations and the Office of the Secretary and transmit them to the organization having the vacancy.

c. Processing Executive Manpower Proposals

- (1) The Departmental Director of Personnel and Training will process individual case actions as expeditiously as possible. Submitting officials are responsible for securing the appropriate OST counterpart official's concurrence before individual cases are referred to the Director of Personnel and Training and the Executive Committee for action.
- (2) The submitting official should work and consult with the Executive Personnel Board staff as necessary so that preliminary staff work is completed prior to submitting cases for Executive Committee review and consideration.
- (3) Individual cases will be referred to the Executive Committee members for clearance by use of paper "Executive Personnel Proposals" in the interest of holding Committee meetings to a minimum. Executive Committee meetings, when held, will normally be for the purpose of resolving questions on other issues raised by the submitting official, the counterpart official, the Executive Committee members or the staff.

d. The Secretary will:

- (1) Approve nominations for transmittal to the Civil Service Commission; or
  - (2) Return the proposal to the Executive Committee for such further action as he may desire; or
  - (3) Return the proposal to the originator for such action as he may direct.
-

UNITED STATES GOVERNMENT

DEPARTMENT OF TRANSPORTATION

OFFICE OF THE SECRETARY

*Memorandum*

DATE: October 21, 1968

SUBJECT: Recommendations of the Executive Committee of  
the DOT Executive Personnel Board on "Hard  
Core" and "Other Priority" Positions

In reply  
refer to:

FROM: The Under Secretary

TO: The Secretary

The Executive Committee of the DOT Executive Personnel Board has completed a study and review of subject positions. The Committee's preliminary conclusions were referred to each Assistant Secretary, the General Counsel, and the Administrators for their review and reaction. Copies of comments returned (Attachment 1) and a summary of the Committee's further judgments based on these responses (Attachment 2) are enclosed. Red checks have been posted on the comments returned (Attachment 1) and the summary (Attachment 2) to highlight those issues where the Committee decision is at variance with an Assistant Secretary or Administrator reclama. Also enclosed are the Committee recommendations as to "Hard Core" and "Other Priority" supergrade and similar executive level positions within the Department (Attachment 3) with a statistical summary (Attachment 4).

If you approve, we will prepare the necessary memoranda for your signature to properly implement these recommendations. The Executive Committee is available for discussion at your pleasure.

  
John E. Robson

Attachments

Approve: Feel you should permit

Dep. Dir. of Management Systems  
also for FHWA - if required  
10/23/68  
HCB

UNITED STATES GOVERNMENT

DEPARTMENT OF TRANSPORTATION  
OFFICE OF THE SECRETARY*Memorandum*

DATE: September 28, 1968

SUBJECT: ACTION - Request for Additional Hard-Core  
PositionsIn reply  
refer to:

FROM : Assistant Secretary for Administration

TO : <sup>1/2/68</sup>  
The Secretary  
A

In the course of the Board's work on the hard-core submissions of the Administrators and Assistant Secretaries, many positions proposed as hard core could not be accorded that status. In the administrative management area such key division head positions as those concerned with Departmental data processing, financial systems, and personnel programs were not accorded hard-core status. Much as I would like to see these positions, which in my judgment are critical to the development of the Department as an institution, classified as hard core, I recognize that limitations on quota supergrade resources require the exclusion of many important division chief positions from the list. I am, therefore, not appealing these actions.

X There is one recommendation of the Board which I must appeal; that is the exclusion from the hard-core list of the Deputy Director of the Office of Management Systems. This is the most complex office under my supervision and its burdens have been added to by your approving the consolidation of the Office of Management Systems and the Office of Logistics and Procurement Policy. This means that the Director of Management Systems has Department-wide staff leadership in the areas of logistics and procurement, automatic data processing, design of cost accounting and financial reporting systems, management information, organization and methods survey work, the development of miscellaneous administrative standards, the operation of the directives systems, and the conduct of the Department's historical program. I have had more difficulty getting out of this office the performance which I have expected of it than any other under my supervision. In part this is due to the turnover in office directors and in part to the fact that no office director can stay on top of the many and diverse responsibilities assigned to Management Systems without a Deputy.



The Deputy in Management Systems is even more critical than in other offices in that he has the additional duty of assisting the Director in the coordination of management surveys and studies since these are conducted by a group of teams all reporting to the Director. The Board has correctly, I believe, agreed that the Chief of the Logistics and Procurement Policy Division should be hard core recognizing the urgent requirement for strong leadership in this area and the fact that the position has once had office director status. But it is an anomaly to exclude the Deputy Director of an office so important that it has a hard-core division chief.

The above case is made strictly on the continuing merits of the Deputy job as a hard-core position, but I wish also to point out that I desperately need a Deputy now in Management Systems. As you know, John is still concerned with emergency readiness responsibilities and there is the prospect of other shifts in the leadership of the TAD offices which make it vital that a Deputy be in place in Management Systems at the earliest practicable date. Furthermore, with the assistance of the Civil Service Commission, we have identified two highly-qualified candidates in the Department of Defense who have been "cooling their heels" for weeks waiting for the Department to be in a position to act on supergrade cases. With the shortage of supergrades for even hard-core jobs, it is obvious that failure to give hard-core status to the Deputy Director position will indefinitely preclude action to fill this position. Extremely severe adverse effects on all programs of the Office of Management Systems will be the consequence of further delays.

Alan L. Dean

UNITED STATES GOVERNMENT

*Memorandum*1717-16  
DEPARTMENT OF TRANSPORTATION  
OFFICE OF THE SECRETARYSUBJECT: "Hard Core" and "Other Priority"  
Position Recommendations

FROM : General Counsel

TO : The Under Secretary

DATE: October 1, 1968

In reply  
refer to:

This is in response to your memorandum on this subject asking for comments by October 2.

We are glad that the Executive Committee of the Executive Personnel Board approved for presentation to the Secretary the listing of "hard core" and "other priority" supergrade positions as submitted by the Office of General Counsel. We have no changes to propose with respect to this listing. However, if changes are proposed as a result of comments from the other offices, we would appreciate the opportunity to comment further.

In reviewing the other "hard core" positions, we have confined ourselves to legal positions within the Department. We believe that the Chief Counsel, UMTA, merits being placed in the "hard core" category. We would also note that a proposed reorganization of legal services within the Coast Guard probably will require an adjustment of Coast Guard's listings. Specifically, the proposed new position of Deputy Chief Counsel, GS-16, should be recognized as a "hard core" position in lieu of the position of Chief Counsel which under the reorganization will be filled, at least initially, by a military officer. The proposed position of a Special Assistant to the Commandant, GS-16, to be filled by the present incumbent of the Chief Counsel's position, should be considered as an "other priority" supergrade. However, as pointed out in your memorandum, no action would be taken against an individual serving in a position which is not "hard core".

*Stanford G. Ross*

Stanford G. Ross

UNITED STATES GOVERNMENT

*Memorandum*DEPARTMENT OF TRANSPORTATION  
OFFICE OF THE SECRETARY*Mackey*

DATE: October 7, 1968

In reply  
refer to:

SUBJECT: Supergrade Study

FROM : Assistant Secretary for Policy Development

TO : ✓ John E. Robson, Under Secretary  
Alan L. Dean, Assistant Secretary for Administration

The hard-core supergrade paper did not include identification of the job of Director, Office of Transportation Data Research, as part of the hard core. At the time the original memorandum came to me there was some question as to whether this office would remain an office within TPD or be absorbed as a division within the Office of Economics and Systems Analysis. The Secretary subsequently resolved this issue and reaffirmed a commitment to Bob Barraclough as an office director at a grade 17.

In the light of these later developments, there should be an addition to the hard-core list for the Director, Office of Transportation Data Research, in the Office of the Assistant Secretary for Policy Development at a GS-17.



M. Cecil Mackey



UNITED STATES GOVERNMENT

DEPARTMENT OF TRANSPORTATION

OFFICE OF THE SECRETARY

*Memorandum*

DATE:

4 OCT 1968

In reply  
refer to:

SUBJECT: Hard-Core Supergrade Study

FROM : Deputy Assistant Secretary for Research and Technology

TO : Director, Office of Personnel and Training, TAD-10

This memorandum furnishes an additional comment to the verbal ones previously made to your representatives on the subject study. The additional comment is that the study makes no provision for the hard-core or any other supergrade position for Mr. Robert E. Barraclough, Director, Office of Transportation Data Research. It is understood that this requirement will be met out of the Office of Policy Development.

I believe that the study should be revised to indicate that Mr. Barraclough's position will be provided for.

  
James E. Densmore

UNITED STATES GOVERNMENT

DEPARTMENT OF TRANSPORTATION

Administratively Confidential

OFFICE OF THE SECRETARY

*Memorandum*

**ACTION:** Recommendations of the Executive Committee of Executive Personnel Board on  
**SUBJECT:** "Hard Core" and "Other Priority" Positions

**DATE:** OCT 2 1968In reply  
refer to:

**FROM :** Assistant Secretary for International Affairs and Special Programs

**TO :** Under Secretary

DISCUSSION:

We have reviewed the Executive Committee's subject recommendations (9/23/68), and we recognize and appreciate that this is the kind of effort that makes life difficult, challenging, and uncomfortable for everyone involved. Therefore, we do not intend to aggravate the problem, but we do consider it necessary to appeal some of the Committee's recommendations. Our appeal takes the form of offering some comments and raising certain questions that will hopefully help the Committee arrive at a final set of recommendations for the Secretary.

a. Hard Core Determinations for TIA.

The hard core criterion was generally applied consistently and equitably; however, we do want to appeal the determinations that relate to the following positions:

(1) Deputy Director, Office of International Transportation.

This position clearly meets the hard core criterion. We recognize that all Deputy Director positions were not considered hard core, but in this case the continued availability of the position is essential for two reasons. First, the Director and Deputy Director of this office serve as either the Chairman or key delegate to major international conferences and, consequently, one or the other is absent most of the time. For example, the Director is now in Buenos Aires for five weeks at the ICAO Conference. The Deputy Director is preparing to attend a five week U.N. conference in Vienna. Secondly, the Division Chiefs in this organization are specialists in air, maritime and highway matters, respectively, and it therefore becomes inappropriate to

Administratively Confidential

expect one of them to serve as acting Office Director, should we lack a Deputy Director. We submit that this is unlike most organizations in OST. Further, in our opinion, there are some Deputy Director positions categorized as hard core with apparently less justification than we have for this position (e.g. Deputy Director, Office of Planning and Program Review, and Deputy Director, Office of Personnel and Training).

(2) Offices of International Industrial Cooperation, and Technical Assistance Director Alternative. We accept the Committee's recommendation that only one of these two positions be designated as hard core, and our choice is the Director, Office of Technical Assistance position. However, we want to emphasize that making this choice does not mean the Industrial Cooperation position is not considered hard core. The Secretary has approved establishment of both offices and a rational application of the criterion would dictate that both Office Director positions be classified as hard core. Our choice was made because we recognize that supergrade spaces are limited and the Industrial Cooperation position will continue to be filled by *Orwick* a Foreign Service Officer for about two years. We cannot expect, however, to continue this situation indefinitely. Therefore, in the future, we will need hard core supergrade spaces for both positions or the programs will be seriously retarded or lost.

+ (3) Chief, Documentation and Procedures Division, and Chief, Transport System Division. We believe that both of these positions are essential to maintain the Department's present role and to achieve its place of leadership in the facilitation field. These positions, more specifically, provide Department leadership in two areas of vital and immediate national importance -- trade documentation, which costs billions of dollars of unnecessary red tape annually -- and containerization, which is one of the newest and most important factors in achieving a total systems approach to transportation. There are several specific measures of this program's



importance. The Secretary, on numerous occasions, has designated facilitation as one of the top priority programs in the Department, and mainly because it has substantial and immediate payoff potential. The Congress, by its action on our FY 1969 appropriation, also recognized the program's value. In addition, the Director (GS-18) and Assistant Director (GS-17) grade levels serve as an additional indicator of the importance that we, the Executive Personnel Board and the Civil Service Commission attach to this program. Finally, apart from program importance, these positions are staffed by perhaps the top experts in this country on trade documentation and containerization. These two men have waited long and patiently for their promotions, and failure at this point to consider their positions as hard core will almost certainly result in the Department's loss of their services.

b. Designation of Non-Quota Positions.

The attachments to your memorandum of September 23, 1968, fail to designate four of our Office of Telecommunications positions as non-quota. Several footnotes do recognize these as positions that will be tried with the CSC as non-quota, but in the case of other OST organizations, the positions are designated non-quota whether or not they have been submitted to the CSC for space allocation. This oversight makes it appear that TIA is requesting more hard core and "other" quota positions than we actually require. We did request, in the case of one position (Chief, Planning and Analysis Division), that it be shown as both quota and non-quota because the Department had a strong commitment to the incumbent and because it was a borderline non-quota position. However, we want the other three positions to be designated non-quota and the statistics changed accordingly.

c. Inadequacy of Hard Core Criterion as Applied.

Your memorandum states that, in reviewing the designation of hard core positions, the Committee also considered such things as the priority of a given program or function at this time. However, apparently the Committee did not apply this consideration across organizational boundaries in OST because such an application would logically lead, for example, to weighing the "value" of a Deputy position against the "value" of a Division Chief position. The key point is that we cannot lose sight

of the fact that in distributing a limited number of spaces, they must go first to the positions where they are needed most, notwithstanding their organizational level or location.

d. The System in Operation.

Determination of hard core positions is only part of the supergrade allocation problem. I am equally concerned (because of equity problems such as those outlined above) about the actual distribution of available spaces. If it has not already been done, I recommend that the Executive Committee develop a supergrade priority list so that we can all consider immediately the order in which available spaces will be assigned. This will give the hard core determinations more meaning, it will help to guard against inequitable or unbalanced space allocations, and it will help us in our continuous efforts to attract and retain executives because it will be clear where positions stand on the priority list. Ideally, the priority list should be submitted to the Secretary along with the hard core recommendations.

RECOMMENDATION:

a. That the following positions be designated as hard core:

- (1) Director, Office of Technical Assistance;
- (2) Deputy Director, Office of International Transportation;
- (3) Chief, Documentation and Procedures Division, Office of Facilitation; and
- (4) Chief, Transport Systems Division, Office of Facilitation

b. That the Director, Office of Telecommunications and the three division chiefs in that office be designated as non-quota and the statistics be changed accordingly. We make this recommendation with full knowledge that the OST Personnel Office is not entirely confident that the Chief, Planning and Analysis Division position can be allocated as non-quota. However, at this point, our understanding is that this position will be proposed to the CSC for a decision on the non-quota question.

c. That a priority listing be established and reviewed by the Assistant Secretaries prior to submitting the hard core recommendations to the Secretary.

d. That in addition to considering organizational level in making the hard core determinations, the factor of program priority should be given careful attention.

  
Donald G. Agger



DEPARTMENT OF TRANSPORTATION  
FEDERAL AVIATION ADMINISTRATION

WASHINGTON, D.C. 20590



OFFICE OF  
THE ADMINISTRATOR

DATE: OCT 3 1969  
IN REPLY  
REFER TO: PT-1  
SUBJECT: Comments on "Hard Core" Recommendations

TO: The Under Secretary

We have reviewed the recommendations of the DOT/EPB Executive Committee relative to the "hard core" positions of the FAA. Since most of the recommendations are in consonance with the basic philosophy we originally initiated, we agree with them with a few exceptions.

The FAA maintains its original position that its "Hard core" should be the positions of the General Counsel and his deputy, the Associate Administrators and their deputies, Office and Service Heads and their deputies, Regional Directors and their deputies, Center Directors and their deputies, Area Managers, and the Manager, Washington National Airport. Although a generally similar approach has been taken by the Committee in recommending "hard core" positions elsewhere in the Department, it is not believed that complete uniformity and comparability can be possible. We do not believe that similar functions in all parts of the Department can be treated the same as to the numbers of executive spaces to be allocated solely on the basis of the similarity of function.

Specific comments on, and reclama to, the recommendations presented are as follows:

- + Deputy Assistant Administrator for Appraisal. Our recommendation in this case follows our basic policy of "hard core" determinations. Although it may not have been known at the time of your consideration, a change in process enhances to a considerable degree the responsibilities and functions of this office. This will involve the centralization in the organization of all appraisal and evaluation functions of the FAA. The direction of a function of this magnitude will be of a scope to certainly necessitate a supergrade deputy position for adequate direction.
- + Deputy Director, Office of Management Systems. Considering the scope and diversity of functions assigned to this office, this position is considered to be definitely in the "hard core" category. The wide variety of management functions, both in Washington and the field, requiring policy guidance and leadership, and the extra assignment of Working Group leader for the Financial Management Improvement Program to this position, make this an extremely strong GS-16 job warranting the "hard core" designation.
- + Manager of Headquarters Operations. As an office head, this position is identified as a "hard core" requirement under the basic plan. The size, diversity of function, scope of operation, and continuing need to attract and retain high caliber direction in a very difficult and sensitive position requires the identification of this position as "hard core." Apparently,

it was eliminated on the expectation of some reduction in functions by transfers to the Office of the Secretary. Such transfers have not taken place. If they do, we would then agree that the "hard core" designation should be reviewed.

+ Deputy Director of Information Services. Our recommendation in this position follows our basic policy. Further, the scope and diversity of this program requires the presence of a supergrade deputy to insure the continuance of the present high level of quality of our news and information service, employee communications, and publications.

+ Deputy Assistant Administrator for International Aviation Affairs. Our recommendation for this position follows our basic policy. It should be recognized that the widespread and diverse functions of this organization requires extensive travel and frequent absence of the Assistant Administrator. The continuing need for a deputy as a "hard core" in this recommendation is a needed and continuing requirement.

Director, National Airspace Systems Programs Office, Deputy Associate Administrator for Development. The FAA originally identified each of these positions as "hard core" requirements. It is our plan to discontinue the present arrangement whereby one person fills both of these positions. Each of these are key and critical positions, full time unto themselves and it was on this basis that we identified each of them as a "hard core" requirement.

+ Office of the Associate Administrator for Personnel and Training. The Directors of the Office of Training and the Office of Personnel were identified by FAA as "hard core" requirements following our basic policy. The position of the Associate Administrator for Personnel and Training was also identified as a "hard core" requirement. We feel that the recommendation of the Committee in this area fails to take into account several points. The Associate Administrator for Personnel and Training is not solely a Director of Personnel. As with all Associate Administrators, his position transcends a functional program area. He participates on the major policy councils of the FAA where his variety of experience and background are utilized to the fullest rather than in relation to a single program, e.g. personnel and training. The identification of his position as a "hard core" requirement should be on the basis of an Associate Administrator and not tied to a functional program area. The two Offices, Personnel and Training, under his jurisdiction should also be identified as "hard core" requirements as Offices. The cancelling of the deputy position in the Personnel and Training area is already sufficient loss to this organization without further depriving it of executive position leadership.



X Deputy Director, Europe, Africa, Middle East Region

Our recommendation in this position follows our basic policy. The extremely wide dispersion of functions and extensive travel requirements, coupled with program activity, requires that there be a supergrade deputy in this important function. The high level of contact and the representing of the United States abroad also justifies the need of this position as a "hard core" requirement.

Systems Research and Development Service. In consonance with our policy, we do not feel that additional non-quota positions should be identified as "hard core."

Deputy Federal Air Surgeon; Deputy Director, Aircraft Development Service.

We feel these two positions should be identified as non-quota "hard core" requirements in keeping with our basic policy and need for executive leadership.

We have attempted to provide some comment which might be a basis for your reconsideration of the recommendations made on our "hard core" requirements. We will be glad to appear before the Committee to elaborate on these or to answer questions you may have. I am sure you will agree that our basic plan of "hard core" designations was extremely conservative and cut our basic needs to the lowest possible level. We do not feel that we can provide high level continuity of direction of our basic programs if further inroads or reductions are made to the conservative policy we used to establish our "hard core" requirements.

I hope that the comments and reclama we have made to your recommendations will receive your favorable consideration.

*D. D. Thomas*

D. D. Thomas  
Acting Administrator



*Memorandum*

DATE: October 1, 1968

In reply  
refer to:

TO : The Under Secretary

FROM : The Administrator

SUBJECT: ACTION: Memo of September 23 on "Hard Core" Supergrades

I have carefully reviewed the material which you forwarded under date of September 23 relating to the recommendations of the Executive Committee of the Executive Personnel Board on supergrade positions. I find the decisions of the Executive Committee with regard to FRA supergrades completely in accord with my own thinking; except that I am at a loss to understand the recommendations with regard to the Office of High Speed Ground Transportation.

I note on the first page of your memorandum that "the essentiality and importance of positions to continuing functions of the Department" is one of the criteria for the designation of executive positions as "hard core." The High Speed Ground Transportation Program is a continuing function of the Department, lodged here by statute.


I note further that "the priority of a given program or function at this time" is yet another criterion. I sat at Airlie House and listened to all of the top officers of DOT tell me that the HSGT program was the highest priority item in the Department today. I have heard similar statements made by people both inside and outside the Office of the Secretary, including the Secretary himself, on countless occasions in the past.

I note further that "...decisions reached at this time are not immutable." I judge from this statement that possible future changes in organizational structure will be reflected in changes in the designation of "hard core" positions, and that such possible changes should not therefore be taken as a basis for not designating a position "hard core" at this time. Presumably, this would apply to the High Speed Ground Transportation Program, as well as to other elements of DOT where possible future organizational changes are expected.

In this latter regard, I might point out that any careful rationalization of the office structure within the Office of the Secretary (which rationalization it is not unreasonable to expect will occur under a new administration) would lead to significant changes in the supergrade requirements there. I am at a loss to understand why the supergrade requirements for the Office of High Speed Ground Transportation should be treated any differently.

In brief, there is no supportable reason for the top management positions in the Office of High Speed Ground Transportation not having been designated as "hard core." There are, in fact, many supportable reasons for so designating these top management jobs. Is there something that I have missed?

I have also reviewed the draft order on the Departmental Executive Personnel Board. I find it completely satisfactory.

  
A. Scheffer Lang

RA-1:ASLang/10/1/68

*Memorandum*

DATE: October 7, 1968

In reply  
refer to:

TO : The Under Secretary

FROM : Administrator, Urban Mass Transportation Administration

SUBJECT: Comments on Executive Personnel Board Action on  
"Hard Core" and "Other Priority" Positions

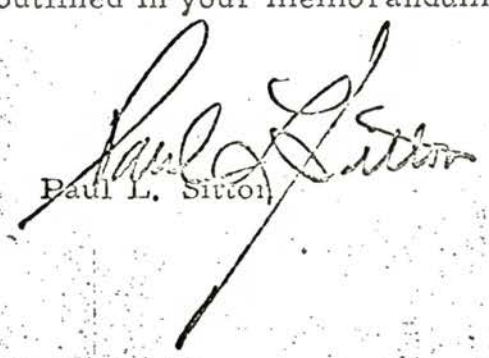
Your memorandum of September 23, 1968, transmitted subject recommendations and requested my comments. Subsequent information and evaluation have necessitated a revision in UMTA priorities. Accordingly, the following offsetting changes are believed necessary:

X Office of Research

Chief, Research Project Management -- move  
from "Other Priority" to "Hard Core"

Assistant Administrator for Public Affairs --  
move from "Hard Core" to "Other Priority"

I concur in all other listings as outlined in your memorandum.

  
Paul L. Sitton



*Memorandum*

DATE: October 8, 1968

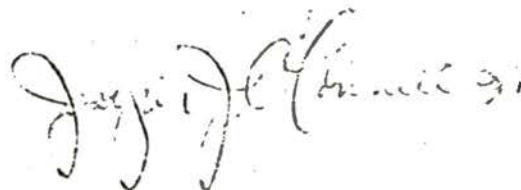
In reply  
refer to:

TAD-16

TO : John E. Robson  
The Under SecretaryFROM : Joseph J. O'Connell, Jr.  
Chairman, NTSBSUBJECT: Recommendations of the Executive Committee of  
Executive Personnel Board on "Hard Core" and  
"Other Priority" Positions

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We have the subject memorandum dated September 23, 1968, and the criteria for the designation of "hard core" and "other priority" supergrade positions established by the Executive Committee of the Executive Personnel Board. We will continue to keep the Committee advised of necessary changes in the Safety Board's designation of priority supergrade position requirements.



UNITED STATES GOVERNMENT

U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL HIGHWAY ADMINISTRATION*Memorandum**5-10-68  
M. H. Ray*TO : Mr. John E. Robson  
Under Secretary of Transportation

DATE: October 3, 1968

In reply refer to: 24-10

FROM : Lowell K. Bridwell  
Federal Highway Administrator

SUBJECT: Supergrades - "hard core" and "other priority"

We are extremely disappointed at the results of the review of "hard core" and "other priority" supergrade positions. Although recognizing that the shortage of quota spaces is widespread in Government, the exclusion of certain positions from those I can proceed immediately to fill will severely handicap program operations in my Administration.

The proposed removal of these critically essential positions is particularly unfortunate where they, in our minds, do not even fall in the doubtful category under the criteria for "hard core." I believe this results in part from inadequate understanding of the true nature of the positions and their real importance to the programs and functions of the Administration. I urge full reconsideration of my essential and critical staffing needs at least for the positions further described and justified below.

CHIEF COUNSEL

My initial proposal included five "hard core" and two "other priority" positions. The Office of the Secretary of Transportation list places two in "hard core" and five in "other priority." The General Counsel's Office in the Office of the Secretary has five of their eight positions in "hard core." I agree with this and contend that the importance of Federal Highway Administration regulations, legislation and general law functions justify equal treatment. I recommend that the Assistant Chief Counsel in all three areas be returned to "hard core."

AUDITS AND INVESTIGATIONS

The Assistant Secretary for Administration has the positions of both the Director of Audit and the Director of Investigations and Security in "hard core." The same is true of the Federal Aviation Administration positions of Director of Audit and Director of Compliance and Security. The Federal Highway Administration's Office of Audits and Investigations, in contrast, received only one "hard core" position although it combines the functions of the position cited. The Deputy Director of Audits and Investigations is clearly needed to maintain minimum operations in these critical areas and should be recognized as "hard core."

- m o r e -



BUY U.S. SAVINGS BONDS REGULARLY ON THE PAYROLL SAVINGS PLAN

+ SCIENCE ADVISOR

My Science Advisor, recommended for "hard core" was placed in the "other priority" group. The Assistant Secretary for Research and Technology received nine "hard core" and 20 "other priority" positions. The Science Advisor in the U.S. Coast Guard is "hard core." I cannot understand how the sole science advisor to the Administrator of large research, development and science-based programs in two major bureaus could be other than absolutely necessary for minimum operations.

+ OFFICE OF POLICY PLANNING

The Federal Aviation Administration was allotted everything they asked for: three "hard core" positions for the Associate Administrator for Plans and two "hard core" positions for the Office of Policy Development. Of the 15 positions in the Department's Office of the Assistant Secretary for Policy Development, seven were recognized as "hard core."

I agree with this obvious recognition that policy planning is critical to establishing and carrying out an agency's programs and had asked for four "hard core" positions which I considered the bare minimum operating requirements. I again urge that the two eliminated positions, the Assistant Director, Highway Safety, and the Urban Planner be restored as "hard core."

+ OFFICE OF THE ADMINISTRATOR

The nature of the position of Special Assistant to the Federal Highway Administrator and the mutual confidence and trust necessary in carrying out a variety of assignments critical to Federal Highway Administration programs justify placing this position in the "hard core" group.

+ BUREAU OF PUBLIC ROADS

The omission of the Special Assistant for Operations from the "hard core" group can only result from failure of the "Special Assistant" title to convey the significant and urgent responsibilities of the position. The responsibilities include coordination and control, for the Bureau Director, of program development, legislative proposals and program execution. The "Special Assistant" serves as the right hand of the Bureau Director in execution of the largest program in any bureau in the Department. The program involves extensive field operations which generate a host of problems requiring intra-Bureau, Administration and Departmental coordination.



NATIONAL HIGHWAY SAFETY BUREAU

Office of Plans and Program Implementation

The placement of the position of Director of this Office in "other priority" indicates lack of understanding of its scope and significant role in the continuity and furtherance of bureau programs. Responsibilities range from recommending policies and plans for achieving bureau objectives to coordinating the development and operation of bureauwide action programs. This Office is the central point for translating total bureau program proposals into balanced, effective operating programs in accordance with bureau policy. It serves as top management's primary control of achievement of bureau objectives. These responsibilities clearly fit the "hard core" definition. I urgently request that this position be placed in the "hard core" category as essential to management and program integration within the Bureau.

Office of Research and Program Synthesis

The Deputy Director recommendation for "hard core" status was based upon recognition of the highly technical and complex nature of these operations and their importance to National Highway Safety Bureau programs. I consider this deputy position more critical than backup positions in budget, which were accorded "hard core" status in Federal Aviation and in the Department.

National Highway Accident and Injury Analysis Center

The Assistant (really Deputy) Director of the Center was placed in the "other priority." The functions of the Center, developing scientific data supporting motor vehicle and safety programs are the key to effective bureau programs. Additionally, Center programs are entirely new and require continuing backup in the planning and staffing of programs of a scientific nature. The importance of the programs and functions justify, I am sure, recognition of this deputy position as "hard core." I believe this Center deserves the same treatment as Federal Aviation Administration's Aeronautical Center and National Aviation Facilities Experimental Center, both of which have "backup" positions in "hard core."

It is with reluctance that I appeal only for the above positions. Without any question others are essential for minimal program operations. I have, however, critically reviewed my own needs in light of the "hard core" criteria and eliminated any positions on which questions could be raised because of current quota space problems.

- m o r e -

The decision on the Federal Highway Administration Deputy Regional Federal Highway Administrators is presumably based on the fact that the Regional Administrators are classified at the GS-16 level. I firmly believe that eventually the latter positions will be approved at the GS-17 level, at which time their deputies will be recognized as GS-16's in the "hard core" category.

It is noted that the statistics include references to established "hard core" positions recommended for upgrading. Although no such references are made in the Federal Highway Administration statistics, 15 established "hard core" positions are recommended for upgrading. I would assume that lack of recognition of these in the final summary was an oversight.

ORGANIZAT	POSITION	RECLAMA	EXECUTIVE COMMITTEE AC	JN
TPD	Director, Office of Transportation Data Research	Calls attention to the fact OTDR now organizationally placed in TPD. Recommends Director position be "HC".	Designated "HC".	
TRT	" "	TRT makes similar recommendation as TPD concerning Director, OTDR.	" "	
TIA	Deputy Director, Office of International Transportation	Should be "HC"	<del>Tentatively</del> agreed to designate as "HC".	
	Director, Office of Technical Assistance	TIA given option of designating either the Office of Technical Assistance or the Office of Industrial Cooperation for "HC". TIA recommends Technical Assistance.	Designated the position of Direct Office of Technical Assistance as "HC".	
	X Chief, Documentation and Procedures Division (Facilitation) ] Chief, Transport Systems Division (Facilitation) ] Deputy Assistant Secretary Office of Telecommunications	TIA recommends both Division Chief positions be designated "HC" because of importance to the organization and competence and qualifications of the incumbents. Omitted from first summary. TIA requests positions be identified as non-quota since they were submitted to CSC that way.	Designated "other priority" in both cases. Restored second Deputy; designate "other priority". Identified as non-quota.	
TAD	X Deputy Director, Office of Management Systems	TAD requests position be designated as "HC".	Designated "other priority;" Vice Chairman dissents.	



ORGANIZATI	POSITION	RECLAMA	EXECUTIVE COMMITTEE AC	N
USCG	Assistant Chief Counsel	GC(OST) recommends that new position of Assistant Chief Counsel be designated "HC" when established. No comments submitted from USCG.	Designated as "HC".	
UMTA	X Chief, Research Project Management	UMTA requests change from "other" to "HC".	Designated "other priority".	
	Assistant Administrator for Public Affairs	UMTA requests change from "HC" to "other".	Designated "other priority".	
	Chief Counsel	GC(OST) recommends that new Chief Counsel position be "HC".	Designated "HC".	
FHWA	X 3 positions in Office of Chief Counsel	FHWA originally designated 5 "HC" positions in Chief Counsel's office. Executive Committee approved only two. FHWA asks reconsideration be given to other three.	Declined request.	
	X Deputy Director of Audits and Investigations	FHWA requests this be designated "HC".	Designated "other priority".	
	X Science Advisor	FHWA requests this be designated "HC".	Designated "other priority". Executive Committee considers this position more like a Special Assistant. The new Coast Guard position cited by FHWA has been established to emerge as the top civilian program job.	
	X Assistant Director, Office of Policy Planning ]	FHWA requests these be designated "HC".	Retained as "other priority". Executive Committee felt an adequate number of planning positions had been designated "HC" in BPR and elsewhere within FHWA.	
	X Urban Planner ]			
	X Special Assistant, Office of the Administrator	FHWA requests this be designated "HC".	Designated "other priority". No special assistant position has been designated "HC" by Executive Committee.	

ORGANIZAT	POSITION	RECLAMA	EXECUTIVE COMMITTEE AC	ON
FHWA (Contd)	X Special Assistant, Bureau of Public Roads	FHWA requests this be designated as "HC".	Designated "other priority". No special assistant position has been designated "HC".	
	Director, Office of Plans and Program Implementation, National Highway Safety Bureau	" " " " "	Designated "HC".	
	X Deputy Director, Office of Research and Program Synthesis	" " " " "	Designated "other priority".	
	X Assistant Director, National Highway Accident and Injury Analysis Center	" " " " "	" " "	
SLSDC		Verbal concurrence received.		
NTSB		Acknowledged receipt of Executive Committee report.		

DEPARTMENT OF TRANSPORTATION

OFFICE OF THE SECRETARY

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Office of the Secretary			
Secretary	I		
Under Secretary	II		
Deputy Under Secretary	V		
Special Assistant	GS-17		X
Special Assistant	GS-17		X
Executive Secretary	GS-17		X
Contract Appeals Board			
Chairman	GS-17	X	
Equal Opportunity Program			
Chief	GS-16	X	



# OFFICE OF THE SECRETARY

## GENERAL COUNSEL

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Office of the General Counsel			
General Counsel	IV		
Deputy General Counsel	GS-18	X	
Office of Operations and Legal Counsel			
Assistant General Counsel	GS-17	X	
Dep. Asst. Gen. Coun. International Affairs	GS-16		X
Dep. Asst. Gen. Coun. Procurement	GS-16		X
Office of Regulations			
Assistant General Counsel	GS-17	X	
Office of Litigation			
Assistant General Counsel	GS-17	X	
Dep. Asst. Gen. Counsel	GS-16		X
Office of Legislation			
Assistant General Counsel	GS-17	X	

OFFICE OF THE SECRETARY  
ASSISTANT SECRETARY FOR PUBLIC AFFAIRS

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Office of the Assistant Secretary	IV		
Assistant Secretary	GS-18	X	
Deputy Assistant Secretary			
Office of Public Information			
Director	GS-17	X	
Deputy Director	GS-16		X
Office of Government Liaison			
Chief Local Liaison	GS-16	X	
Office of Industry and Labor Liaison			
Chief Industrial Liaison	GS-16	X*	
Chief Labor Liaison	GS-16	X*	
Office of Legislative Affairs			
Chief Congressional Liaison	GS-17	X	
Chief Legislative Affairs	GS-16		X

\* One of the two positions to be hardcore

OFFICE OF THE SECRETARY

ASSISTANT SECRETARY FOR POLICY DEVELOPMENT

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Office of the Assistant Secretary			
Assistant Secretary	IV		
Deputy Assistant Secretary	GS-18	X	
Office of Planning & Program Review			
Director	GS-18	X	
Deputy Director	GS-17	X	
Chief Program Review Division	GS-16		X
Chief Special Projects Division	GS-16		X
Office of Policy Review			
Director	GS-18	X	
Deputy Director	GS-17		X
Principal Analyst	GS-16		X
*Office of Systems Analysis			
Director	GS-18NQ	X	
Deputy Director	GS-17NQ	X	
Systems Analyst	GS-16NQ		X
*Office of Economics			
Director	GS-18		X
Economist	GS-17	X	
Economist	GS-16		X
Chief Statistics Division	GS-16		X
Office of Trans. Data Research			
Director	GS-17	X	

\*These offices being combined.



OFFICE OF THE SECRETARY

ASSISTANT SECRETARY FOR RESEARCH AND TECHNOLOGY

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Office of the Assistant Secretary			
Assistant Secretary	IV		
Deputy Assistant Secretary	GS-18NQ	X	
Assistant for Research Coord.	GS-17NQ	X	
Executive Assistant	GS-16		X
Office of Systems Engineering			
Director	GS-18NQ	X	
Deputy Director	GS-17NQ		X
Senior Science Advisor	GS-17NQ		X
Senior Science Advisor	GS-16NQ		X
Senior Science Advisor	GS-16NQ		X
Office of Physical Sciences			
Director	GS-18NQ	X	
Chief Trans. Sci. Division	GS-17NQ		X
Chief Trans. Proj. Division	GS-17		X
Chief Programs Division	GS-17		X
Chief Terrestrial Branch	GS-16NQ		X
Chief Aeronautical Branch	GS-16NQ		X
Chief Marine Branch	GS-16NQ		X
Office of Life Medical Sciences			
Director	GS-18NQ	X	
Deputy Director	GS-17NQ		X
Medical Doctor	GS-16NQ		X
Office of Noise Abatement			
Director	GS-17NQ	X	
Chf. Reg. Pol. & Stds. Div.	GS-16NQ		X
Chf. Plans & Programs Div.	GS-16	X	
Office of Pipeline Safety			
Director	GS-17NQ	X	
Deputy Director	GS-16NQ		X
Chf. Technical Division	GS-16NQ		X
Chf. Regulations Div.	GS-16		X
Chf. State/Industry Liaison	GS-16		X
Office of Hazardous Materials			
Director	GS-17	X	
Division Chief	GS-16		X
Division Chief	GS-16NQ		X

OFFICE OF THE SECRETARY

ASSISTANT SECRETARY FOR INTERNATIONAL AFFAIRS

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Office of the Assistant Secretary			
Assistant Secretary	IV		
Deputy Assistant Secretary	GS-18	X	
Deputy Assistant Secretary	GS-18		X
Office of Facilitation			
Director	GS-18	X	
Assistant Director	GS-17	X	
Chief Docum. & Proced. Division	GS-16		X
Chief Transport. Sys. Division	GS-16		X
Office of International Transportation			
Director	GS-18	X	
Deputy Director	GS-17	X (tentative)	
Chief Maritime Division	GS-16		X
Chief Aviation Division	GS-16		X
Chief Land Transport. Div.	GS-16		X
Office of Industrial Cooperation			
Director	GS-18		X
Assistant Director	GS-16		X
Assistant Director	GS-16		X
Office of Technical Assistance			
Director	GS-18	X	
Chief Econ. & Invest. Division	GS-16		X
Chf. Oper. Div. & Foreign Partic.	GS-16		X
Office of Telecommunications			
Director	GS-18NQ	X	
Assistant Director	GS-16NQ		X
Chief Plan. & Analy. Division	GS-16NQ		X
Chief Systems Division	GS-16NQ		X
Chief Technical Division	GS-16NQ		X

OFFICE OF THE SECRETARY  
ASSISTANT SECRETARY FOR ADMINISTRATION

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Office of the Assistant Secretary			
Assistant Secretary	V		
Deputy Assistant Secretary	GS-18	X	
Office of Management Systems			
Director	GS-18	X	
Deputy Director	GS-17		X
Chf. Organ. & Surveys Div.	GS-16		X
Chf. Accounting Sys. Div.	GS-17		X
Chf. Data Systems Division	GS-17		X
Chf. Logistics and Procurement	GS-17	X	
Chf. Emergency Transportation	GS-17		X
Office of Audit			
Director	GS-17	X	
Deputy Director	GS-16		X
Office of Budget			
Director	GS-17	X	
Deputy Director	GS-16	X	
Office of Administrative Operations			
Director	GS-16	X	
Office of Investigations & Security			
Director	GS-17	X	
Office of Personnel and Training			
Director	GS-17	X	
Chf. Comp. & Exec. Staffing	GS-16	X*	
Chf. Plng. & Eval. Division	GS-16	X*	
Chf. Personnel Programs Div.	GS-16	X*	

\* One of the three positions to be hardcore upon assignment of additional duties as Deputy.



# FEDERAL AVIATION ADMINISTRATION

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Office of the Administrator			
Administrator	II		
Deputy Administrator	IV		
Executive Secretary	GS-17		X
Regulatory Council			
Executive Director	GS-17		X
Office of Appraisal			
Assistant Administrator	Special	X	
Deputy Assistant Administrator	GS-17		X
Office of Information Services			
Director	GS-17	X	
Deputy Director	GS-16		X
Office of General Aviation Affairs			
Assistant Administrator	Special	X	
Office of Congressional Liaison			
Assistant Administrator	Special	X	
Office of the General Counsel			
General Counsel	Statutory	(X)	
Deputy General Counsel	GS-17	X	
Associate General Counsel, Litigation	GS-16		X
Chief Attorney, Contrac. Relationships	GS-16		X
Assoc. Gen. Counsel, Regs. & Cod.	GS-16		X
Assoc. Gen. Counsel, (Enforcement)	GS-16		X
Office of Aviation Medicine			
Federal Air Surgeon	PL-313	X	
Deputy Federal Air Surgeon	PL-313	X	
Chief, Aeromedical Application Division	PL-313		X
Chief, Aeromedical Standards Division	GS-16NQ		X
Office of International Aviation Affairs			
Assistant Administrator	Special	X	
Deputy Assistant Administrator	GS-17		X
Special Assistant to the Asst. Admin.	Special		X
U.S. Member, Aviation Navigation Comm.	GS-16		X
Bureau of National Capital Airports			
Director	GS-17	X	
Deputy Director	Special	X	
Manager, Washington National Airport	GS-16	X	

## FEDERAL AVIATION ADMINISTRATION

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
<b>Office of Supersonic Transport Development</b>			
Director	Military	X	
Deputy Director	GS-18NQ	X	
Assistant to the Director	GS-16NQ		X
Economic Advisor	Special		X
Director, Engineering Division	GS-18NQ		X
Chief, Airframe Branch	GS-17NQ		X
Structural Dynamicist, Airframe Branch	PL-313		X
Chief Structural Engineer, Airframe Branch	GS-16NQ		X
Chief, Propulsion Branch	GS-17NQ		X
Chief, Engine Section, Prop. Branch	GS-16NQ		X
Chief, Systems Branch	GS-16NQ		X
Chief, Analysis and Control Division	GS-17NQ		X
Chief, Program Analysis Branch	GS-16NQ		X
Chief, Program Control Branch	GS-16NQ		X
Reliability Engineer	GS-16NQ		X
Chief, Technical Operations Division	GS-17NQ		X
Chief, Operations and Training Branch	GS-16NQ		X
<b>Associate Administrator for Administration</b>			
Associate Administrator	Statutory	(X)	
Deputy Associate Administrator	Special	X	
<b>Office of Audit</b>			
Director	GS-16	X	
<b>Office of Management Systems</b>			
Director	Special	X	
Deputy Director	GS-16		X
Chief, Accounting Division	GS-16		X
Chief, Data Systems Division	GS-16		X
<b>Office of Budget</b>			
Director	GS-17	X	
Deputy Director	GS-16	X	
<b>Office of Compliance and Security</b>			
Director	GS-16	X	
<b>Office of Headquarters Operation</b>			
Manager	GS-16		X

## FEDERAL AVIATION ADMINISTRATION

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Associate Administrator for Development			
Associate Administrator	Statutory	(X)	
Deputy Associate Administrator	Special	X	
National Airspace System Program Office			
Director		X	
Deputy Director	GS-17	X	
Chief, Systems Division	GS-16NQ		X
Chief, Engineering Branch	PL-313		X
Chief, Test and Deployment Division	GS-16		X
Technical Advisor to Director	PL-313		X
Aircraft Development Service			
Director	PL-313	X	
Deputy Director	PL-313	X	
Program Management Director			
General Aviation Cockpit Display	PL-313		X
Chief, Engineering and Safety Division	GS-16NQ		X
Chief, Aircraft Division	PL-313		X
Logistics Service			
Director	Special	X	
Deputy Director	GS-17	X	
Chief, Procurement Operations Division	Special		X
Chief, Logistics Policy and Standards Div.	GS-16		X
Chief, Evaluation Staff	GS-16		X
Systems Research and Development Service			
Director	PL-313	X	
Deputy Director	PL-313	X	
Member System Design Team (Communications)*	GS-16NQ		X
Chief, ATC Development Division	GS-17NQ		X
Technical Assistant, ATC Development Division	PL-313		X
Chief, Display Branch	GS-16NQ		X
Traffic & Economic Analysis Program Area Mgr.*	GS-16		X
Chief, Data Processing Branch	GS-16NQ		X
Chief, Navigation Development Division	GS-17		X
Asst. Chief, Navigation Development Division	GS-16		X
Chief, Approach and Landing Branch	GS-16		X
Chief, Communications Development Division	GS-17NQ		X
Tech. Asst. to Chief, Communications Dev. Div.	PL-313		X
Chief, Detection Systems Branch	GS-16NQ		X



## FEDERAL AVIATION ADMINISTRATION

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
<b>Systems Research and Development Service (Cont'd)</b>			
Chief, Voice Communications Branch	GS-16NQ		X
Chief, Data Transfer Systems Branch	GS-16NQ		X
Chief, Environmental Development Division	GS-17NQ		X
Chief, Support Systems Branch	GS-16NQ		X
Chief, Facility Systems Branch	GS-16NQ		X
Chief, Frequency Management Division	GS-16		X
<b>Associate Administrator for Operations</b>			
Associate Administrator	Special	X	
Deputy Associate Administrator	Special	X	
Chief, Program Requirements Staff	GS-17		X
<b>Air Traffic Service</b>			
Director	GS-18	X	
Deputy Director	GS-17	X	
Chief, ATC Systems Requirements Division	GS-17		X
Chief, Air Traffic Operations & Procedures Div.	GS-17		X
Chief, Flight Information Division	GS-16		X
Chief, Airspace & Air Traffic Rules Division	GS-16		X
Chief, Evaluation Staff	GS-16		X
<b>Systems Maintenance Service</b>			
Director	GS-18	X	
Deputy Director	GS-17	X	
Chief, Maintenance Engineering Division	GS-16		X
Chief, Programs Division	GS-16		X
<b>Airports Service</b>			
Director	Special	X	
Deputy Director	GS-17	X	
Chief, Development Programs Division	GS-16		X
Chief, Standards Division	GS-16NQ		X
<b>Flight Standards Division</b>			
Director	GS-18	X	
Deputy Director	GS-17	X	
Chief Operations Division	GS-17		X
Chief Maintenance Division	GS-16		X
Asst. Chief Maintenance Division	GS-16		X
Chief Aircraft Programs Division	Special		X
Chief, Engineering & Manufacturing Div.	Special		X
Chief, Regulations Staff	GS-16		X
Chief, Evaluation Staff	GS-16		X

FEDERAL AVIATION ADMINISTRATION

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Associate Administrator for Personnel & Trng.			
*Associate Administrator	Special	X	
	GS-17	X	
Director, Manpower Planning Staff	GS-16		X
Office of Personnel			
*Director	GS-16	X	
Office of Training			
*Director	GS-16	X	
Associate Administrator for Plans			
Associate Administrator	Special	X	
Deputy Associate Administrator	Special	X	
Office of Noise Abatement			
Director		X	
Office of Policy Development			
Director	GS-17	X	
Director		X	
Eastern Region (New York)			
Director	GS-18	X	
Deputy Director	GS-17	X	
Chief, Flight Standards Division	GS-16		X
Chief, Air Traffic Division	GS-16		X
Chief, Airway Facilities Division	GS-16		X
Area Manager, New York	GS-16	X	
Area Manager, Cleveland	GS-16	X	
Area Manager, Boston	GS-16	X	
Area Manager, Washington	GS-16	X	
Regional Counsel	GS-16		X
Southern Region (Atlanta)			
Director	GS-17	X	
Deputy Director	GS-16	X	
Chief, Flight Standards Division	GS-16		X
Chief, Air Traffic Division	GS-16		X
Chief, Airway Facilities Division	GS-16		X
Area Manager, Atlanta	GS-16	X	
Area Manager, Miami	GS-16	X	
Area Manager, Memphis	GS-16	X	
Regional Counsel	GS-16		X

\*A total of two hardcore spaces are allocated for the OPT function.

FEDERAL AVIATION ADMINISTRATION

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
<b>Southwest Region (Fort Worth)</b>			
Director	GS-17	X	
Deputy Director	GS-16	X	
Executive Officer	GS-16		X
Chief, Flight Standards Division	GS-16		X
Chief, Air Traffic Division	GS-16		X
Chief, Airway Facilities Division	GS-16		X
Area Manager, Fort Worth	GS-16	X	
Area Manager, Houston	GS-16	X	
Regional Counsel	GS-16		X
<b>Central Region (Kansas City)</b>			
Director	GS-18	X	
Deputy Director	GS-17	X	
Chief, Flight Standards Division	GS-16		X
Chief, Air Traffic Division	GS-16		X
Chief, Airway Facilities Division	Special		X
Area Manager, Chicago	GS-16	X	
Area Manager, Kansas City	GS-16	X	
Area Manager, Minneapolis	GS-16	X	
Regional Counsel	GS-16		X
<b>Western Region (Los Angeles)</b>			
Director	GS-18	X	
Deputy Director	GS-17	X	
Executive Officer	GS-16		X
Chief, Aircraft Engineering Division	GS-16		X
Chief, Flight Standards Division	GS-16		X
Chief, Air Traffic Division	GS-16		X
Chief, Airway Facilities Division	GS-16		X
Area Manager, Los Angeles	GS-16	X	
Area Manager, San Francisco	GS-16	X	
Regional Counsel	GS-16		X
Regional Flight Surgeon	GS-16NQ		X
<b>Alaskan Region (Anchorage)</b>			
Director	GS-17	X	
Deputy (Mil)			X
<b>Pacific Region (Honolulu)</b>			
Director	GS-17	X	
Deputy (Mil)			X



# FEDERAL AVIATION ADMINISTRATION

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Europe, Africa, and Middle East			
Assistant Administrator	Special	X	
Deputy Assistant Administrator	GS-16		X
Aeronautical Center			
Director	GS-17	X	
Deputy Director	GS-16	X	
Chief, FAA Depot	GS-16		X
Superintendent, FAA Academy	Special		
Chief, Civil Aeromedical Institute	PL-313		X
Chief, Aeromedical Research Branch	PL-313		X
Chief, Aircraft Services Base	GS-16		X
Chief, Protection & Survival Br, CAMI	GS-16NQ		X
National Aviation Facilities Experimental Ctr.			
Director	GS-17	X	
Deputy Director	GS-16	X	
NAFEC Chief Scientist	PL-313		X
Chief, Test and Evaluation Division	GS-16NQ		X
Chief, Air Traffic Control Systems Br.	GS-16NQ		X
Chief, Communications Branch	GS-16NQ		X
Chief, Aircraft Branch	GS-16NQ		X
Chief, Guidance Branch	GS-16NQ		X

# FEDERAL HIGHWAY ADMINISTRATOR

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
<b>Office of the Administrator</b>			
Administrator	III	X	
Deputy Administrator	IV	X	
Special Assistant	GS-16		X
Science Advisor	GS-18NQ		X
<b>Office of Chief Counsel</b>			
Chief Counsel	GS-18	X	
Deputy Chief Counsel	GS-17	X	
Assistant Chief Counsel (Regulations)	GS-17		X
Assistant Chief Counsel (Legislation)	GS-16		X
Assistant Chief Counsel (General Law)	GS-16		X
Assistant Chief Counsel (Land Use)	GS-16		X
Assistant Chief Counsel (Litigation)	GS-16		X
<b>Office of Policy Planning</b>			
Director	GS-18NQ	X	
Assistant Director	GS-17	X	
Assistant Director	GS-16NQ		X
Urban Planner	GS-16		X
Transportation Economist (Finance)	GS-16		X
Economist (Public Transportation)	GS-16		X
Economist (Goods Movement)	GS-16		X
Data Systems Officer	GS-16		X
<b>Office of Public Affairs</b>			
Director	GS-17	X	
Assistant Director (Congress. Rela.)	GS-16	X	
Assistant Director (Public Information)	GS-16		X
<b>Office of Audits and Investigations</b>			
Director	GS-17	X	
Deputy Director	GS-16		X
<b>Office of Administration</b>			
Director	GS-18	X	
Deputy Director	GS-17	X	
Chief, Management Systems Division	GS-16	X	
Chief Personnel & Training Division	GS-16	X	
Chief Budget Division	GS-16	X	
Chief Finance Division	GS-16		X
Chief Computer Services Division	GS-16		X

BUREAU OF PUBLIC ROADS

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Office of the Director			
Director	IV	X	
Deputy Director	GS-18	X	
Special Assistant	GS-16		X
Highway Beautification Coordinator	GS-17	X	
Deputy Highway Beautification Coord.	GS-16		X
Office of Research & Development			
Associate Director	PL-313	X	
Deputy Associate Director	GS-16NQ	X	
Science Advisor	GS-16NQ		X
Chief, Div. of Structures & Applied Mechanics	GS-16NQ		X
Chief, Traffic Systems Division	GS-16NQ		X
Office of Planning			
Associate Director	GS-17NQ	X	
Deputy Associate Director	GS-16	X	
Chief, Urban Planning Division	GS-16NQ	X	
Office of Right-of-Way & Location			
Associate Director	GS-17	X	
Deputy Associate Director	GS-16	X	
Chief, Environmental Division	GS-16	X	
Office of Engineering and Operations			
Associate Director	GS-18	X	
Deputy Associate Director (Eng)	GS-17	X	
Deputy Associate Director (Op)	GS-16	X	
Chief, Hwy. Standards & Design Div.	GS-16NQ		X
Chief, Bridge Division	GS-16NQ		X
Office of Traffic Operations			
Associate Director	GS-17	X	
Deputy Associate Director	GS-16	X	



NATIONAL HIGHWAY SAFETY BUREAU

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Office of the Director			
Director	V	X	
Deputy Director	GS-18NQ	x	
Special Asst. to Director	GS-17		X
Special Asst. to Deputy Director	GS-16		X
Office of Special Projects			
Director	GS-16		X
Office of Plans and Program Implementation			
Director	GS-16	X	
Office of Principal Scientist			
Chief Scientist (Medicine)	GS-17NQ	X	
Chief Scientist (Public Health)	GS-17NQ		X
Chief Scientist (Engineering)	GS-17NQ		X
Chief Scientist (Math - Stat.)	GS-17NQ		X
Chief Scientist (General Economics)	GS-17		X
Chief Scientist (Sociology)	GS-17		X
Chief Scientist (Psych. - Eng.)	GS-17		X
Office of Research and Program Synthesis			
Director	GS-17NQ	X	
Deputy Director	GS-16NQ		X
Div. of Research Program Synthesis	GS-16NQ		X

NATIONAL HIGHWAY SAFETY BUREAU

Motor Vehicle Safety Performance Service

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priorit</u>
Office of the Director			
Director	GS-18NQ	X	
Deputy Director	GS-17NQ	X	
Office of Standards on Accident Avoidance			
Director	GS-17NQ	X	
Div. Stds. on Vehicle Driver Perf.	GS-16NQ		X
Div. of Stds. on Brakes & Tires	GS-16NQ		X
Div. of Stds. on Info. Display	GS-16NQ		X
Office of Standards on Crash Inj. Reduc.			
Director	GS-17NQ	X	
Div. of Stds. on Crash Worthiness	GS-16NQ		X
Div. of Stds. on Ped. & Cyclist Protec.	GS-16NQ		X
Div. of Stds. on Driv. & Pass. Protec.	GS-16NQ		X
Office of Standards on Post Crash Factors			
Director	GS-17NQ	X	
Deputy Director	GS-16NQ		X
Div. Stds. on Escape & Remov. of Inj.	GS-16NQ		X
Div. Stds. on Fire Prev. & Protec.	GS-16NQ		X
Office of Performance Analysis			
Director	GS-17NQ	X	
Deputy Director	GS-16NQ		X
Validation Division	GS-16NQ		X
Verification Division	GS-16NQ		X
Defects Control Division	GS-16NQ		X
Office of Standards Preparation			
Director	GS-16	X	
Office of Product Cost and Lead Time Analysis			
Director	GS-17NQ	X	
Div. of Product Cost Analysis	GS-16NQ		X
Div. of Lead Time Analysis	GS-16NQ		X
Div. of Consumer Economics	GS-16		X
Div. of Reliability Determination	GS-16NQ		X

NATIONAL HIGHWAY SAFETY BUREAU

Highway Safety Programs Service

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Office of Director			
Director	GS-18	X	
Deputy Director	GS-17	X	
Office of Motor Vehicle Programs			
Director	GS-17	X	
Chief Div. Motor Vehicle Inspec. Stds.	GS-16		X
Chief Div. Motorcycle Safety	GS-16		X
Chief, Div. School Bus Safety	GS-16		X
Chief Div. Emergency Vehicle Safety	GS-16		X
Office of Driver and Community Programs			
Director	GS-17	X	
Chief Div. Driver Licensing & Perform.	GS-16		X
Chief Div. Vehicle Laws & Codes	GS-16		X
Chief Div. Driv. Education & Training	GS-16		X
Office of Driving Environment Programs			
Director	GS-17	X	
Deputy Director	GS-16		X
Office of Systems Operations Programs			
Director	GS-17	X	
Chief, Div. Enforcement Processes	GS-16		X
Chief, Div. Accident Investigation	GS-16		X
Chief, Div. of Emergency Medical Treat.	GS-16NQ		X
Office of Grants and Liaison			
Director	GS-17	X	
Chief, Div. of Grants Review	GS-16		X



NATIONAL HIGHWAY SAFETY BUREAU  
National Highway Safety Institute

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Office of the Director			
Director	GS-18NQ	X	
Deputy Director	GS-17NQ	X	
Office of Safety Demonstration Projects			
Director	GS-16	X	
Office of Safety Manpower Development			
Director	GS-16	X	
National Highway Safety Research Ctr.			
Director	GS-17NQ	X	
Task Force Leader	GS-16NQ		X
Task Force Leader	GS-16NQ		X
Task Force Leader	GS-16NQ		X
Task Force Leader	GS-16NQ		X
Task Force Leader	GS-16NQ		X
Task Force Leader	GS-16NQ		X
Office of Highway Safety Research Devel. and Test Facilities			
Director	GS-17NQ	X	
Deputy Director	GS-16NQ	X	
Facilities Operations Division	GS-16NQ		X
Facilities Mgmt Div.	GS-16NQ		X
National Highway Accident and Injury Analysis Ctr			
Director	GS-17NQ	X	
Assistant Director	GS-16NQ		X
Chief, Mathematical Analysis Div.	GS-16NQ		X
Chief, Div. of Nat'l Hwy. Saf. Regis.	GS-16		X
Chief, Div. of Comp. Networks Sys. Design	GS-16		X
National Highway Safety Documentation Ctr			
Director	GS-16	X	

BUREAU OF MOTOR CARRIER SAFETY

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priorit</u>
Office of the Director			
Director	GS-17	X	
Deputy Director	GS-16	X	

# FEDERAL HIGHWAY ADMINISTRATION

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Regional Fed. Hwy. Adm. Nine (9) positions	GS-17	X	
Deputy Reg. Fed. Hwy. Adm. Nine (9) positions	GS-16		X



# FEDERAL RAILROAD ADMINISTRATION

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Office of the Administrator			
Administrator	III		
Deputy	V		
Office of the Chief Counsel			
Chief Counsel	GS-17	X	
Chief Legislation & L.A. Div	GS-16		X
Chief Enforcement Division	GS-16		X
Office of Administration			
Director	GS-16		X
Office of Hearings			
Chief Hearing Officer	GS-16NQ	X	
Office of Policy & Program Analysis			
Director	GS-18	X	
Chief Policy Development Div.	GS-17	X	
Chief Program Analysis Division	GS-16		X
Chief Science & Technology	GS-16NQ	X	
Office of High Speed Ground Trans.			
Director	GS-18	X	
Chf. Research & Engineering Div	GS-16NQ		X
Chief Demonstrations Division	GS-16		X
Chf. Transport Systems Planning	GS-16		X
Engineer	GS-16NQ		X
Special Assistant	GS-16NQ		X
Bureau of Railroad Safety			
Director	GS-18	X	
Deputy Director	GS-17	X	
Chf. Engr. & Accid. Analy.	GS-16		X
Chief General Safety Division	GS-16		X

# UNITED STATES COAST GUARD

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Office of the Commandant			
Chief Counsel	GS-17	X	
Assistant Chief Counsel	GS-16	X	
Chief Hearing Examiner	GS-16NQ	X	
Science Advisor	GS-17NQ	X	
Office of Operations			
Physical Science Admin.	GS-16NQ	X	
Office of Merchant Marine Safety			
Chf. Merchant Vessel Documentation	GS-16	X	
Office of Public and International Affairs			
Chf. Frequency Management	GS-16	X	
Office of Engineering			
Technical Advisor	GS-16		X

# URBAN MASS TRANSPORTATION ADMINISTRATION

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Office of the Administrator			
Administrator	III		
Deputy	V		
Office of Programs Operations			
Assistant Administrator	GS-18	X	
Chief Project Development Div.	GS-17	X	
Chief Project Management Div.	GS-16		X
Chief Technical Studies Div.	GS-16		X
Office of Research			
Assistant Administrator	GS-18NQ	X	
Chf. Environmental Research Div.	GS-17	X	
Chief Technology Div.	GS-17NQ	X	
Chief Research Proj. Mgmt. Div.	GS-16NQ		X
Office of Policy Development			
Assistant Administrator	GS-18	X	
Chief Planning Coord. Div.	GS-17		X
Chief Program Development Div.	GS-17		X
Chief Program Evaluation Div.	GS-16		X
Office of Chief Counsel			
Chief Counsel	GS-17	X	
Office of Public Affairs			
Assistant Administrator	GS-16		X
Office of Administration			
Assistant Administrator	GS-16	X	
Regional Offices			
Regional Directors (Four Positions)	GS-16		X



SAINT LAWRENCE SEAWAY DEVELOPMENT CORPORATION

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Office of the Administrator			
Administrator	IV		
Assistant Administrator	GS-18	X	
Office of the Chief Engineer			
Chief Engineer	GS-16		X
Office of Policy Review and Information			
Chief	GS-16		X

# NATIONAL TRANSPORTATION SAFETY BOARD

<u>Organization Title</u>	<u>Grade</u>	<u>Hardcore</u>	<u>Other Priority</u>
Office of the Board			
Chairman	III		
Board Members (Four)	IV		
Office of the Executive Director			
Executive Director	GS-18	X	
Deputy Executive Director	GS-16		X
Office of Public Affairs			
Director	GS-16		X
Office of General Counsel			
General Counsel	GS-18	X	
Deputy General Counsel	GS-17		X
Office of Hearing Examiners			
Chief Hearing Examiner	GS-16NQ	X	
Examiner	GS-16NQ	X	
Examiner	GS-16NQ	X	
Examiner	GS-16NQ	X	
Examiner	GS-16NQ	X	
Bureau of Aviation Safety			
Director	GS-18	X	
Deputy Director	GS-17	X	
Assistant Director	GS-16		X
Chief Central Invest. Div.	GS-17	X	
Asst. Chf. Central Invest. Div.	GS-16NQ		X
Chf. Field Invest. Div.	GS-17	X	
Asst. Chf. Field Invest. Div.	GS-16		X
Chf. Safety Anal. & Prog. Div.	GS-17NQ	X	
Asst. Chf. Saf. Analysis & Prog. Div.	GS-16		X
Bureau of Surface Transportation			
Director	GS-18	X	
Deputy Director	GS-17	X	
Assistant Director	GS-16		X
Chf. Rail & Pipeline Safety Div.	GS-16	X	
Chf. Highway Safety Div.	GS-16	X	
Chf. Marine Safety Div.	GS-16	X	

DEPARTMENT OF TRANSPORTATION

NON QUOTA POSITIONS

HARD CORE

OTHER

COMBINED  
TOTALS

EST'B

NEEDS

TOTAL

EST'B

NEEDS

TOTAL

OST

OS	-	-	-	-	-	-	-
GC	-	-	-	-	-	-	-
PA	-	-	-	-	-	-	-
PD	2	-	2	1	-	1	3
RT	2	5	7	-	14	14	21
IA	-	1	1	-	4	4	5
AD	-	-	-	-	-	-	-
TOTALS	4	6	10	1	18	19	29
FAA	8	1	9	48	-	48	57
FHWA	18	3	21	22	17	39	60
TA	2	-	2	2	1	3	5
USCG	3	-	3	-	-	-	3
UMTA	-	2 <sup>a</sup>	2 <sup>a</sup>	1 <sup>a</sup>	1	2 <sup>a</sup>	4 <sup>a</sup>
SLSDC	-	-	-	-	-	-	-
NTSB	6	-	6	1	-	1	7
GRAND TOTAL	41	12	53	75	37	112	165

<sup>a</sup> One established non quota position will be absorbed in new organization and could satisfy one hard core non quota need; total positions - 3: 2 HC and 1 Other



# DEPARTMENT OF TRANSPORTATION

## QUOTA POSITIONS

	HARD CORE			OTHER			COMBINED TOTALS
	EST'B	NEEDS	TOTAL	EST'B	NEEDS	TOTAL	
OST							
OS	0	2	2	2	1	3	5
GC	3	2	5	-	3	3	8
PA	2	3	5	2 <sup>a</sup>	3	5	10 <sup>a</sup>
PD	3 <sup>b</sup>	3	6	3	4	7	13
RT	-	2	2	-	6	6	8
IA	4	2	6	0	11	11	17
AD	4 <sup>b</sup>	6	10	3	5	8	18
TOTALS	16	20	36	10	33	43	79
FAA	65	6	71	63	4 <sup>d</sup>	67	138
FHWA	37	8	45	12	34	46	91
FRA	4 <sup>b</sup>	2	6	1	7	8	14
CG	2 <sup>b</sup>	2	4	-	1	1	5
UMTA	-	6 <sup>c</sup>	6 <sup>c</sup>	3 <sup>c</sup>	10	13	19 <sup>c</sup>
SLSDC	1 <sup>b</sup>	-	1	-	2	2	3
NTSB	7	4	11	1	6	7	18
GRAND TOTAL	132	48 <sup>e</sup>	180	90 <sup>e</sup>	97	187	367

a Two established other positions to be absorbed in new organization and could satisfy two HC needs...Total positions - 8: 5 HC; 3 Other

b One Est'b HC to be upgraded

c Three established quota positions will be absorbed in new organization and could satisfy three HC needs: Total positions - 16: 8 HC and 8 Other

d Two Deputy Regional Directors are currently military

e A total of five quota "other" positions are to be absorbed in new organizations and could satisfy five hard core needs