

Federal Employment  
Policy Handbook:

*Veterans and the  
Civil Service*



United States  
Office of  
Personnel  
Management

Employment  
Service

SPO-417  
April 1967

Veterans Guide

---

## *VetGuide / Contents*

- ❶ Introduction . . . . . page 3
- ❷ Veterans' Preference in Appointments . . . . . page 5
- ❸ Veterans' Preference in Reduction in Force . . . . . page 19
- ❹ Miscellaneous Provisions Pertaining  
to Veterans. . . . . page 23
- ❺ Service Credit . . . . . page 27
- ❻ Special Appointing Authorities for Veterans . . . . . page 31
- ❼ Restoration after Uniformed Service . . . . . page 35
- ❽ Special Redress and Appeals . . . . . page 41

## ① Introduction

*VetGuide* explains the special rights and privileges that veterans enjoy in Federal civil service employment. The guide conveniently summarizes in one place material from many laws and regulations that affect the employment of veterans. The guide will help Federal personnel specialists ensure that veterans receive the advantages they have earned.

The Office of Personnel Management (OPM) administers entitlement to veterans' *preference* in employment under title 5, United States Code, and oversees other statutory employment requirements in titles 5 and 38. (Title 38 also governs veterans' entitlement to *benefits* administered by the Department of Veterans Affairs (VA).)

Both title 5 and title 38 use many of the same terms, but in different ways. For example, service during a "war" is used to determine entitlement to veterans' preference and service credit under title 5. OPM has always interpreted this to mean a war declared by Congress. But title 38 defines "period of war" to include many non-declared wars, including Korea, Vietnam, and the Persian Gulf. Such conflicts entitle a veteran to VA benefits under title 38, but not necessarily to preference or service credit under title 5. Thus it is critically important to use the correct definitions in determining eligibility for specific rights and benefits in employment.

For additional information, including the complete text of the laws and regulations on veterans' rights, consult the references cited ❖.

---

## ② Veterans' Preference in Appointments

### ☆ Why Preference is Given

Since the time of the Civil War, veterans of the Armed Forces have been given some degree of preference in appointments to Federal jobs. Recognizing their sacrifice, Congress enacted laws to prevent veterans seeking Federal employment from being penalized for their time in military service. Veterans' preference recognizes the economic loss suffered by citizens who have served their country in uniform, restores veterans to a favorable competitive position for Government employment, and acknowledges the larger obligation owed to disabled veterans.

Veterans' preference in its present form comes from the Veterans' Preference Act of 1944, as amended, and is now codified in various provisions of title 5, United States Code. By law, veterans who are disabled or who served on active duty in the Armed Forces during certain specified time periods or in military campaigns are entitled to preference over others in hiring from competitive lists of eligibles and also in retention during reductions in force.

In addition to receiving preference in **competitive** appointments, veterans may be considered for special **noncompetitive** appointments for which only they are eligible. See Chapter 4.

### ☆ When Preference Applies

Preference in hiring applies to permanent and temporary positions in the competitive and excepted services of the executive branch. Preference does not apply to positions in the Senior Executive Service or to executive branch positions for which Senate confirmation is required. The legislative and judicial branches of the Federal Government also are exempt from the Veterans' Preference Act **unless** the positions are in the competitive service (Government Printing Office, for example) or have been made subject to the Act by another law.

Preference applies in hiring from civil service examinations conducted by the Office of Personnel Management (OPM) and agencies under delegated examining authority, for most excepted service jobs including Veterans' Readjustment Appointments (VRA), and when agencies make temporary, term, and overseas limited appointments. Veterans' preference does not apply to promotion, reassignment, change to lower grade, transfer or reinstatement.

Veterans' preference does not require an agency to use any particular appointment process. Agencies have broad authority under law to hire from any appropriate source of eligibles including special appointing authorities. An agency may consider

candidates already in the civil service from an agency-developed merit promotion list or it may reassign a current employee, transfer an employee from another agency, or reinstate a former Federal employee. In addition, agencies are required to give priority to displaced employees before using civil service examinations and similar hiring methods.

◆ *Civil service examination:* Title 5 United States Code (U.S.C.) 3304-3330, title 5 Code of Federal Regulations (CFR) Part 332, OPM Delegation Agreements with individual agencies, OPM Examining Handbook, OPM Delegated Examining Operations Handbook; *Excepted service appointments, including VRA's:* 5 U.S.C. 3320; 5 CFR Part 302; *Temporary and term employment:* 5 CFR Parts 316 and 333; *Overseas limited employment:* 5 CFR Part 301; *Career Transition Program:* 5 CFR Part 330, Subparts F and G.

## ☆ Types of Preference

To receive preference, a veteran must have been separated from active duty in the Armed Forces with an honorable or general discharge. As defined in 5 U.S.C. 2101(2), "Armed Forces" means the Army, Navy, Air Force, Marine Corps and Coast Guard. The veteran must also be eligible under one of the preference categories below (also shown on the Standard Form (SF) 50, *Notification of Personnel Action*).

Military retirees at the rank of major, lieutenant commander, or higher are not eligible for preference in appointment unless they are disabled veterans.

Active duty for training or inactive duty by National Guard or Reserve soldiers does not qualify as "active duty" for preference.

For purposes of this chapter and 5 U.S.C. 2108, "war" means only those armed conflicts declared by Congress as war and includes World War II, which covers the period from December 7, 1941, to April 28, 1952.

When applying for Federal jobs, eligible veterans should claim preference on their application or resume. Applicants claiming 10-point preference must complete Standard Form (SF) 15, *Application for 10-Point Veteran Preference*, and submit the requested documentation.

The following preference categories and points are based on 5 U.S.C. 2108 and 3309 as modified by a length of service requirement in 38 U.S.C. 5303A(d). (The letters following each category, e.g., "TP," are a shorthand reference used by OPM in competitive examinations.)

---

### ▼ 5-Point Preference (TP)

Five points are added to the **passing** examination score or rating of a veteran who served:

- During a war;

or

- During the period April 28, 1952 through July 1, 1955;

or

- For more than 180 consecutive days, other than for training, any part of which occurred after January 31, 1955, and before October 15, 1976;

or

- In a campaign or expedition for which a campaign medal has been authorized. Any Armed Forces Expeditionary medal or campaign badge, including El Salvador, Lebanon, Grenada, Panama, Southwest Asia, Somalia, and Haiti qualifies for preference. For more information, see Chapter 7 of *The Guide to Processing Personnel Actions*, an OPM operating manual.

A campaign medal holder who originally enlisted after September 7, 1980, (or began active duty on or after October 14, 1982, and has not previously completed 24 months of continuous active duty) must have served continuously for 24 months or the full period called or ordered to active duty. The 24-month service requirement does not apply to 10-point preference eligibles separated for disability incurred or aggravated in the line of duty, or to veterans separated for hardship or other reasons under 10 U.S.C. 1171 or 1173.

### ▼ 10-Point Compensable Disability Preference (CP)

Ten points are added to the **passing** examination score or rating of:

- A veteran who served at any time and who has a compensable service-connected disability rating of at least 10 percent but less than 30 percent.

---

**▼ 10-Point 30 Percent Compensable Disability Preference (CPS)**

Ten points are added to the passing examination score or rating of a veteran who served at any time and who has a compensable service-connected disability rating of 30 percent or more.

**▼ 10-Point Disability Preference (XP)**

Ten points are added to the passing examination score or rating of:

- A veteran who served at any time and has a present service-connected disability or is receiving compensation, disability retirement benefits, or pension from the military or the Department of Veterans Affairs but does not qualify as a CP or CPS;

or

- A veteran who received a Purple Heart.

**▼ 10-Point Derived Preference (XP)**

Ten points are added to the passing examination score or rating of spouses, widows, widowers, or mothers of veterans as described below. This type of preference is usually referred to as "derived preference" because it is based on service of a veteran who is not able to use the preference.

Both a mother and a spouse (including widow or widower) may be entitled to preference on the basis of the same veteran's service if they both meet the requirements. However, neither may receive preference if the veteran is living and is qualified for Federal employment.

***Spouse***

Ten points are added to the passing examination score or rating of the spouse of a disabled veteran who is disqualified for a Federal position along the general lines of his or her usual occupation because of a service-connected disability. Such a disqualification may be presumed when the veteran is unemployed and

- is rated by appropriate military or Department of Veterans Affairs authorities to be 100 percent disabled and/or unemployable;

or

- has retired, been separated, or resigned from a civil service position on the basis of a disability that is service-connected in origin;

or

- has attempted to obtain a civil service position or other position along the lines of his or her usual occupation and has failed to qualify because of a service-connected disability.

Preference may be allowed in other circumstances but anything less than the above warrants a more careful analysis.

**NOTE:** Veterans' preference for spouses is different than the preference the Department of Defense is required by law to extend to spouses of active duty members in filling its civilian positions. For more information on that program, contact the Department of Defense.

#### *Widow/Widower*

Ten points are added to the passing examination score or rating of the widow or widower of a veteran who was not divorced from the veteran, has not remarried, or the remarriage was annulled, and the veteran either:

- served during a war or during the period April 28, 1952, through July 1, 1955, or in a campaign or expedition for which a campaign medal has been authorized;

or

- died while on active duty that included service described immediately above under conditions that would not have been the basis for other than an honorable or general discharge.

#### *Mother of a deceased veteran*

Ten points are added to the passing examination score or rating of the mother of a veteran who died under honorable conditions while on active duty during a war or during the period April 28, 1952, through July 1, 1955, or in a campaign or expedition for which a campaign medal has been authorized;

and

she is or was married to the father of the veteran;

and

- she lives with her totally and permanently disabled husband (either the veteran's father or her husband through remarriage);

or

- she is widowed, divorced, or separated from the veteran's father and has not remarried;

or

- she remarried but is widowed, divorced, or legally separated from her husband when she claims preference.

#### *Mother of a disabled veteran*

Ten points are added to the passing examination score or rating of a mother of a living disabled veteran if the veteran was separated with an honorable or general discharge from active duty performed at any time and is permanently and totally disabled from a service-connected injury or illness; and the mother:

- is or was married to the father of the veteran;

and

- lives with her totally and permanently disabled husband (either the veteran's father or her husband through remarriage);

or

- is widowed, divorced, or separated from the veteran's father and has not remarried;

or

- remarried but is widowed, divorced, or legally separated from her husband when she claims preference.

**Note: Preference is not given to widows or mothers of veterans who qualify for preference under 5 U.S.C. 2108 (1) (B) or (2). Thus, the widow or mother of a disabled veteran who served after 1955, but did not serve in a war, campaign, or expedition, would not be entitled to preference.**

◆ 5 U.S.C. 2108 and 3309; 38 U.S.C. 5303A

### ☆ Adjudication of Veterans' Preference Claims

Agencies are responsible for adjudicating all preference claims except claims for preference based on common-law marriage, which should be sent to the Office of Personnel Management (OPM), Office of the General Counsel, Washington, DC 20415.

Detailed instructions on adjudicating veterans' preference claims are contained in Chapter 7 of *The Guide to Processing Personnel Actions*, an OPM operating manual. That guide describes evidence needed as proof of service, honorable discharge, campaign service, the existence of a service-connected disability, and proof required of a spouse, widow, widower, or mother of a veteran.

◆ 5 U.S.C. 3309, 3313 and 5 CFR 332.401, 337.101

### ☆ Crediting Experience of Preference Eligibles

In evaluating experience, an examining office must credit a preference eligible's Armed Forces service as an extension of the work performed immediately prior to the service, or on the basis of the actual duties performed in the service, or as a combination of both, whichever would most benefit the preference eligible.

The examining office must also give all applicants credit for job-related experience, paid and unpaid, including experience in religious, civic, welfare, service and organizational activities.

◆ 5 U.S.C. 3311, 5 CFR 337.101

### ☆ Physical Qualifications

In determining qualifications, agencies must waive a medical standard or physical requirement when there is sufficient evidence that the employee or applicant, with or without reasonable accommodation, can perform the essential duties of the position without endangering the health and safety of the individual or others.

Special provisions apply to the proposed disqualification of a preference eligible with a 30 percent or more compensable disability. See *Disqualification of 30 Percent or more Disabled Veterans* below.

◆ 5 U.S.C. 3312, 5 CFR Part 339.204

## ☆ Preference in Competitive Examinations

Preference eligibles who are qualified for a position (achieve a score of 70 to 100) have 5 or 10 extra points added to their numerical ratings depending on which of the previously described categories of preference they meet. This means the highest possible rating is 110 (a disabled veteran who earns a score of 100 has 10 extra points added).

Names of eligible applicants are placed on lists, or registers of eligibles, in the order of their ratings. Registers are established as standing registers from which selections will be made over a period of time and for case examining in which a register is used to fill a single position or a group of positions and is closed after the needed selection(s) is made.

**For scientific and professional positions in grade General Schedule (GS) - 9 or higher, names of all qualified applicants are listed on a register in order of ratings, augmented by veteran preference, if any.**

**For all other positions, the names of 10-point preference eligibles who have a compensable, service-connected disability of 10 percent or more (CP and CPS) are listed at the top of the register in the order of their ratings ahead of the names of all other eligibles. The names of other 10-point preference eligibles, 5-point preference eligibles, and other applicants are listed in order of their numerical ratings.**

A preference eligible is listed ahead of a nonpreference eligible having the same final rating.

◆ 5 U.S.C. 3309, 3313 and 5 CFR 332.401 and 337.101

## ☆ Filling a Position From a Competitive Examination

### • Announcing the Vacancy

To fill a vacancy by selection from a competitive examination the selecting official requests a list of eligibles from the examining office. The examining office must announce the competitive examination to the public and report it to the Office of Personnel Management (OPM), which notifies the State employment service. Subsequently, the examining office determines which applicants are qualified, rates

and ranks them based on their qualifications, and issues a **certificate of eligibles**, which is a list of eligibles with the highest scores from the top of the appropriate register. A certificate of eligibles may be used for permanent, term, or temporary appointment.

• **The "Rule of Three" and Veteran Passovers**

Selection must be made from the highest three eligibles on the certificate who are available for the job--the "rule of three." However, an agency may not pass over a preference eligible to select a nonpreference eligible with the same or lower score.

**Example:** If the top person on a certificate is a 10-point disabled veteran (CP or CPS) and the second and third persons are 5-point preference eligibles, the appointing authority may choose any of the three.

**Example:** If the top person on a certificate is a 10-point disabled veteran (CP or CPS), the second person is not a preference eligible, and the third person is a 5-point preference eligible, the appointing authority may choose either of the preference eligibles. The appointing authority may not pass over the 10-point disabled veteran to select the nonpreference eligible unless an objection has been sustained.

☆ **Disqualifications of Preference Eligibles**

A preference eligible can be eliminated from consideration only if the examining office sustains the agency's objection to the preference eligible for adequate reason. These reasons, which must be recorded, include medical disqualification under 5 CFR Part 339, suitability disqualification under 5 CFR Part 731, or other reasons considered by the Office of Personnel Management (OPM) or an agency under delegated examining authority to be **disqualifying**.

OPM must approve the sufficiency of an agency reason to **medically disqualify** or pass over a preference eligible on a certificate based on medical reasons to select a nonpreference eligible. **Special provisions apply to the proposed disqualification or pass over for any reason of a preference eligible with a 30 percent or more compensable disability. See *Disqualification of 30 Percent or more Disabled Veterans below.***

Agencies must refer suitability disqualifications to OPM for final approval, unless OPM has delegated authority to the agency in accordance with 5 CFR Part 731.

The preference eligible (or his or her representative) is entitled on request to a copy of the agency's reasons for the proposed pass over and the examining office's response.

An appointing official is not required to consider a person who has three times been passed over with appropriate approval or who has already been considered for three separate appointments from the same or different certificates for the same position. But in each of these considerations, the person must have been within reach under the rule of three and a selection must have been made from that group of three. Further, the preference eligible is entitled to advance notice of discontinuance of certification.

◆ 5 U.S.C. 3317, 3318 and 5 CFR 332.402, 332.404, 332.405, 332.406, and Parts 339 and 731

### ☆ Disqualification of 30 Percent or More Disabled Veterans

The following special provisions apply to disabled veterans with a compensable service-connected disability of 30 percent or more:

- If an agency proposes to pass over a disabled veteran on a certificate to select a person who is not a preference eligible, or to disqualify a disabled veteran based on the physical requirements of the position, it must at the same time notify both the Office of Personnel Management (OPM) and the disabled veteran of the reasons for the determination and of the veteran's right to respond to OPM within 15 days of the date of the notification.
- The agency must provide evidence to OPM that the notice was timely sent to the disabled veteran's last known address.
- OPM must make a determination on the disabled veteran's physical ability to perform the duties of the position, taking into account any additional information provided by the veteran.
- OPM will notify the agency and the disabled veteran of its decision, with which the agency must comply. If OPM agrees that the veteran cannot fulfill the physical requirements of the position, the agency may select another person from the certificate of eligibles. If OPM finds the veteran able to perform the job, the agency may not pass over the veteran.
- OPM is prohibited by law from delegating this function to any agency.

◆ 5 U.S.C. 3312, 3318

#### • Preference Eligibles and the Nepotism Provision

A public official may not advocate a relative for appointment, employment, promotion, or advancement, or appoint, employ, promote, or advance a relative, to a

position in an agency in which the public official is employed or over which he or she exercises jurisdiction or control.

This restriction does not, however, prohibit the appointment of a preference eligible whose name is within reach for selection on an appropriate certificate of eligibles when an alternative selection cannot be made from the certificate without passing over the preference eligible and selecting an individual who is not a preference eligible.

◆ 5 U.S.C. 3110(e) and 5 CFR Part 310, Subpart A

### ☆ Filing Late Applications

A veteran may file a late application under the following circumstances by contacting the employing agency. Agencies are responsible for accepting, retaining, and considering their applications as required by law and regulation regardless of whether the agency uses case examining or maintains a continuing register of eligibles.

Applications from 10-point preference eligibles must be accepted, as described below, for future vacancies that may arise after a case examining register or continuing register is closed. Agencies must accept applications from other individuals who are eligible to file on a delayed basis only as long as a case examining register exists.

- A 10-point preference eligible may file a job application with an agency at any time. If the applicant is qualified for positions filled from a register, the agency must add the candidate to the register, even if the register is closed to other applicants. If the applicant is qualified for positions filled through case examining, the agency will ensure that the applicant is referred on a certificate as soon as possible. If there is no immediate opening, the agency must retain the application in a special file for referral on certificates for future vacancies for up to three years. The Office of Personnel Management's *Delegated Examining Operations Handbook* provides detailed instructions.
- A preference eligible is entitled to be reentered on each register (or its successor) where previously listed if he or she applies within 90 days after resignation without delinquency or misconduct from a career or career-conditional appointment.
- A preference eligible is entitled to be entered on an appropriate existing register if he or she applies within 90 days after furlough or separation without delinquency or misconduct from a career or career-conditional appointment or if found eligible to apply after successfully appealing a furlough or discharge from career or career-conditional appointment.

- A person who lost eligibility for appointment from a register because of **active duty** in the Armed Forces is entitled to be restored to the register (or its successor) and receive priority consideration when certain conditions are met. See 5 CFR 332.322 for more details.
- A person who was unable to file for an open competitive examination or appear for a test because of **service in the Armed Forces or hospitalization** continuing for up to 1 year following discharge may file after the closing date if the register of eligibles still exists.
- A **Federal employee** who was unable to file for an open competitive examination or appear for a test because of **active Reserve duty** continuing beyond 15 days may file after the closing date of an existing register.

◆ 5 U.S.C. 3305, 3314, 3315, and 5 CFR 332.311, 332.312, 332.321, 332.322

### ☆ Temporary Appointment Outside of Competitive Registers

In making a temporary appointment not to exceed 1 year, agencies may use competitive registers as discussed above or an alternative ranking process called "outside the register." (Agencies may also make noncompetitive temporary appointments under the limited situations in 5 CFR 316.402(b). These noncompetitive appointments may be made without regard to competitive examining or outside-the-register procedures but agencies must notify the Office of Personnel Management (OPM) of the vacancy when the appointment will be for 90 days or more and the agency will consider applicants from outside the agency.)

Agencies may use "outside-the-register" procedures, described in 5 CFR Part 333, to make a temporary appointment even if they have competitive examining authority or an existing register for permanent appointment to a similar position. **Veterans' preference** is applied as described below. Employees selected do not acquire status or noncompetitive eligibility for a career-conditional appointment.

Here is a summary of the Part 333 outside-the-register process for making temporary appointments to competitive service positions. Agencies:

- Issue job announcements and report the announcement to OPM which then notifies State employment service offices of the vacancy. (See 5 CFR 333.102.)
- Screen applicants to determine whether they meet OPM's qualification standard for the position.

- Disqualify applicants, as necessary, for medical reasons as provided in 5 CFR Part 339. OPM must approve the sufficiency of an agency reason to medically disqualify or pass over a preference eligible on a certificate based on medical reasons to select a nonpreference eligible. **Special provisions apply to the proposed disqualification or Pass over for any reason of a preference eligible with a 30 percent or more compensable disability. See *Disqualification of 30 Percent or more Disabled Veterans* above.**
- Refer suitability disqualifications to OPM for final approval, unless OPM has delegated authority to the agency in accordance with 5 CFR Part 731.
- Rank eligible applicants according to one of two methods:

### Method 1

Method 1 is the same as the process for making a permanent appointment from a competitive examination. The agency assigns numerical ratings of 70-100 based on the degree to which each applicant possesses knowledge, skills, and abilities required by the job to be filled and grants an additional 5 or 10 points to preference eligibles, as described above under *Types of Preference*. The agency ranks candidates as described above under *Preference in Competitive Examinations* and makes a selection as described above under *Filling a Position From a Competitive Examination*. Method 1 is preferable when the position requires specialized skills.

OR

### Method 2

The agency ranks eligible candidates on the basis of their veterans' preference status. Method 2 is preferable for jobs that require no specialized qualifications or when all applicants have substantially the same qualifications.

**For professional and scientific jobs at the GS-9 level or above, all preference eligibles are listed ahead of nonpreference eligibles, but no distinction is made in the type of preference a candidate has. In other words, an agency may select any candidate entitled to veterans' preference.**

**For all other jobs, agencies first refer preference eligibles with compensable service-connected disabilities of 10 percent or more (CP and CPS), then all other preference eligibles, then candidates without veterans' preference.**

A nonpreference eligible may not be selected when a preference eligible is available, except when objections to preference eligibles are sustained as

discussed above under *Filling a Position From a Competitive Examination*, or an appointing authority has three times with appropriate approval passed over the eligible for the same position and selected another eligible, or the appointing authority has considered the preference eligible, when within reach, for three separate appointments for positions at the same grade level and for the same line of work and selected another eligible.

◆ 5 CFR Part 316, Subpart D; 330.102; and Part 333

### ☆ Excepted Service Employment

The Veterans' Preference Act requires an appointing authority in the executive branch to select from among qualified applicants for appointment to excepted service vacancies in the same manner and under the same conditions required for the competitive service by 5 U.S.C. 3308-3318. Appointments made with the advice and consent of the Senate are exempt.

Office of Personnel Management regulations governing the application of veterans' preference in excepted appointments are in 5 CFR Part 302.

◆ 5 U.S.C. 3320 and 5 CFR Part 302

### ☆ Administration and Enforcement of Veterans' Preference

Office of Personnel Management (OPM) is charged with prescribing and enforcing regulations for the administration of veterans' preference in the **competitive service** in executive agencies. OPM is charged with prescribing regulations for the administration of veterans' preference in the **excepted service** in executive agencies. Agencies themselves are generally responsible for enforcement.

◆ 5 U.S.C. 1302

### ③ Veterans' Preference in Reduction in Force

Veterans have advantages over nonveterans in a reduction in force (RIF). Also, special provisions apply in determining whether retired military members receive preference in RIF and whether their military service is counted. This chapter deals with RIF in the competitive service; some, but not all, of the provisions apply in the excepted service.

#### Eligibility for Veterans' Preference in RIF

Determinations of veterans' preference eligibility are made in accordance with the information under **Preference in Appointments** in Chapter 2, except that a **retired member** of a uniformed service must meet an additional condition to be considered a preference eligible for RIF purposes. This condition differs depending on the rank at which the individual retired from the uniformed service. Uniformed service as defined in 5 United States Code (U.S.C.) 2101 means the Armed Forces, the commissioned corps of the Public Health Service, and the commissioned corps of the National Oceanic and Atmospheric Administration.

**Retirees below the rank of major (or equivalent) get preference if:**

- Retirement from the uniformed service is based on disability that either resulted from injury or disease received in the line of duty as a direct result of armed conflict, or was caused by an instrumentality of war and was incurred in the line of duty during a period of war as defined in section 101(11) of title 38, U. S. C. "Period of war" includes World War II, the Korean conflict, Vietnam era, the Persian Gulf War, or the period beginning on the date of any future declaration of war by the Congress and ending on the date prescribed by Presidential proclamation or concurrent resolution of the Congress;

or

- The employee's retired pay from a uniformed service is not based on 20 or more years of full-time active service, regardless of when performed but not including periods of active duty for training;

or

- The employee has been continuously employed in a position covered by the 5 U.S.C. chapter 35 since November 30, 1964, without a break in service of more than 30 days.

**Retirees at or above the rank of major (or equivalent) get preference if they are disabled veterans as defined in 5 U.S.C. 2108(2) (includes XP, CP, and CPS) and also meet one of the criteria above for a person retired below the rank of major.**

A preference eligible who at age 60 becomes eligible as a reservist for retired pay under 10 U.S.C. chapter 1223 (previously chapter 67) and who retires at or above the rank of major (or equivalent) is considered a preference eligible for RIF purposes at age 60 only if he or she is a disabled veteran as defined in 5 U.S.C. 2108(2) (includes categories XP, CP, and CPS). Receipt of retired pay under chapter 1223 meets the requirement that retired pay not be based on 20 or more years of full-time active service. Eligibility for retired reservist pay occurs at age 60; up to that time a reservist is not considered a retired member of a uniformed service and, if otherwise eligible, is a preference eligible for reduction in force purposes.

♦ 5 U.S.C. 3501, 3502; 5 Code of Federal Regulations (CFR) 351.501

### **RIF Retention Standing**

Employees are ranked on retention registers for competitive levels (groups of similar jobs) based on four factors: tenure, veterans' preference, length of service, and performance.

First they are placed in Tenure Group I, II, or III, depending on their type of appointment. Within each group, they are placed in a subgroup based on their veteran status:

- Subgroup AD includes each preference eligible who has a compensable service-connected disability of 30 percent or more.
- Subgroup A includes all other preference eligibles not in Subgroup AD, including employees with derived preference (see Chapter 2).
- Subgroup B includes all employees not eligible for veterans' preference.

Within each subgroup, employees are ranked in descending order by the length of their creditable Federal civilian and military service, augmented by additional service according to the level of their performance ratings.

When a position in a competitive level is abolished, the employee affected (released from the competitive level) is the one who stands the lowest on the retention register. Because veterans are listed ahead of nonveterans within each tenure group, they are the last to be affected by a RIF action.

Employees are not subject to a **reduction in force** while they are serving in the uniformed services. After return from active duty, they are protected from RIF action. If they served for more than 180 days, they may not be separated by RIF for 1 year after their return. If they served for more than 30 but less than 181 days, they may not be separated by RIF for 6 months.

◆ 5 U.S.C. 3502; 5 CFR 351.404(a), 351.606(a), and Subpart E

### Assignment Rights (Bump and Retreat)

When an employee in Tenure Group I or II with a minimally successful performance rating is released from a competitive level within the competitive area where the RIF takes place, he or she is entitled under certain circumstances to displace another employee with lower retention standing. The superior standing of preference eligibles gives them an advantage in being retained over other employees. These displacement actions apply to the competitive service although an agency may, at its discretion, adopt similar provisions for its excepted employees.

- **Bumping**

An employee may bump in the same competitive area to a position no more than **three grades (or grade intervals)** lower than the position from which the employee is released that is held by an employee in a lower group or subgroup.

- **Retreating**

An employee may retreat in the same competitive area to a position held by another employee with lower retention standing in the same tenure group and subgroup that is essentially identical to one **previously held** by the retreating employee and is no more than **three grades (or grade intervals)** lower than the position from which the employee is released.

A preference eligible with a **compensable service-connected disability of 30 percent or more** may retreat to a position up to **five grades (or grade intervals)** lower.

An employee with an unacceptable performance rating has no right to bump or retreat.

An employee with a performance rating of **minimally successful** may retreat only to positions held by an employee with the same or lower rating.

- **Qualifications**

In reviewing the qualifications of a preference eligible to determine assignment rights in a RIF, the agency must waive requirements as described under *Physical Qualifications* in Chapter 2. If the veteran involved has a 30 percent or more compensable disability, special procedures apply as described under *Disqualification of 30 Percent or more Disabled Veterans* in Chapter 2. OPM must approve the sufficiency of the agency's reasons to medically disqualify a 30 percent or more compensably disabled veteran for assignment to another position in a RIF.

◆ 5 U.S.C. 3502, 3504; 5 CFR Part 351, Subpart G, and Part 339

### **Appeal of RIF Actions**

An employee who has been furloughed, separated, or demoted by RIF action has the right to appeal the action to the Merit Systems Protection Board except when a negotiated procedure must be used. Assignment to a position at the employee's same grade or representative rate is not appealable. Appeals must be filed during the period beginning on the day after the effective date of the RIF action and ending 30 days after the effective date. Time limits for filing a grievance under a negotiated procedure are contained in the negotiated agreement.

◆ 5 CFR 351.901, Part 1201

### **Reemployment Priority for Separated Employees**

After a RIF, separated competitive service employees in tenure groups I and II are listed on the agency's Reemployment Priority List. The agency generally may not hire from most outside sources when qualified employees are on the List. In hiring from the List, preference eligibles receive preference over other employees. Excepted service employees separated by RIF receive similar priority in excepted employment.

◆ 5 U.S.C. 3315; 5 CFR Part 330, Subpart B, and Part 302

## ④ Miscellaneous Provisions Pertaining to Veterans

### ☆ Jobs Restricted to Preference Eligibles

Appointment through competitive examination and "outside the register" procedures for positions of guards, elevator operators, messengers, and custodians are restricted to preference eligibles when they are available.

◆ title 5 United States Code (U.S.C.) 3310; Title 5 Code of Federal Regulations (CFR) Part 330, Subpart D

### ☆ Reinstatement

Preference eligibles, including those with derived preference, who served under career or career-conditional appointment for any period of time have lifetime reinstatement eligibility to any competitive service position for which qualified. They have this eligibility regardless of whether their Armed Forces service occurred before or after career or career-conditional appointment. Competition under the agency's merit promotion plan is required if the position is at a higher grade level or has more promotion potential than a position previously held.

◆ 5 U.S.C. 3316; 5 CFR Part 315, Subpart D

### ☆ 180-Day Restriction on Department Of Defense (DOD) Employment of Military Retirees

A retired member of the Armed Forces may not be appointed to a civilian position in DOD (including a nonappropriated fund position) within 180 days after retirement unless:

- the Secretary concerned authorizes the appointment;
- or
- the position is authorized special pay under 5 U.S.C. 5305;
- or
- a state of national emergency exists.

Although the Office of Personnel Management (OPM) approval is required by law, OPM has delegated the authority to DOD to make these determinations.

◆ 5 U.S.C. 3326; no regulation

## ☆ Reduction in Military Retired Pay

Retired regular officers, including warrant officers, of all uniformed services (including the Armed Forces and the commissioned corps of the Public Health Service and the National Oceanic and Atmospheric Administration) under any work schedule must take a reduction in military retired or retainer pay when employed in a permanent or temporary Federal civilian job in the executive, legislative or judicial branch, including the U.S. Postal Service and nonappropriated fund instrumentalities (NAFI).

Retired Reserve officers and enlisted personnel are not subject to a reduction unless the sum of retired pay and civilian basic pay (excluding locality pay) exceeds the pay cap. The pay cap is the basic pay of level V of the Executive Schedule.

There is no reduction:

- for retired regular officers during the first 30 days of a temporary, part-time, or intermittent appointment;

or

- when the military retired or retainer pay is based in whole or in part on a disability incurred in the line of duty as a direct result of armed conflict or caused by an instrument of war during a period of war as defined in 38 U.S.C. 101(11). "Period of war" includes World War II, the Korean conflict, Vietnam era, the Persian Gulf War, or the period beginning on the date of any future declaration of war by the Congress and ending on the date prescribed by Presidential proclamation or concurrent resolution of the Congress;

or

- when OPM approves a specific exception on a case-by-case basis in exceptional and unusual circumstances. These circumstances are limited to exceptional difficulty in recruiting or retaining a qualified employee for a specific job and to emergency conditions that pose an immediate and direct threat to life or property. OPM may delegate authority to an agency head to approve exceptions in these emergency situations.

---

- **Calculating the Reduction**

Reductions are adjusted annually according to changes in the Consumer Price Index. Amounts effective for 1996 are as follows:

Retired regular officers who entered a uniformed service prior to 8/1/86 have their retired pay reduced to an annual rate equal to the first \$9,819.69 of their retired pay, plus one half of any remainder.

The annual rate for those who entered uniformed service on or after 8/1/86 is \$8,999.27, plus one half of any remainder.

## ☆ **Affirmative Action for Certain Veterans Under Title 38**

Section 4214 of title 38, U.S.C., was enacted as part of the Veterans' Readjustment Appointment Act of 1974. This act placed into law the provisions of the executive order that authorized the noncompetitive appointment of Vietnam era veterans under Veterans' Readjustment Appointment (VRA).

The law also requires a separate affirmative action program for disabled veterans as defined in 38 U.S.C. 4214. The program is part of agency efforts to hire, place, and advance persons with disabilities under the Rehabilitation Act of 1973 [29 U.S.C. 791(b)]. Title 38 does not provide any preference for veterans; preference is provided only under title 5, U.S.C. Rather, section 4214 calls upon agencies to:

- provide placement consideration under special noncompetitive hiring authorities for VRA eligibles and 30 percent or more disabled veterans;

and

- ensure that all veterans are considered for employment and advancement under merit system rules;

and

- establish an affirmative action plan for the hiring, placement, and advancement of disabled veterans.

◆ 38 U.S.C. 4214; 5 CFR Part 720, Subpart C

## ⑤ Service Credit

### ☆ Service Credit for Leave Rate Accrual and Retirement

#### • Not Retired from Uniformed Service

For non-retired members, full credit for uniformed service (including active duty and active duty for training) performed under honorable conditions is given for leave accrual purposes, and for retirement purposes provided a deposit, as required by law, is made to the retirement fund. Uniformed service as defined in 5 U.S.C. 2101 means the Armed Forces, the commissioned corps of the Public Health Service, and the commissioned corps of the National Oceanic and Atmospheric Administration.

Veterans first employed in a position covered by the Civil Service Retirement System (CSRS) on or after October 1, 1982, or in a position covered by the Federal Employee Retirement System (FERS) on or after January 1, 1984, must make a **deposit to the retirement fund** of 7 percent (for CSRS) or 3 percent (for FERS) of basic military pay to obtain retirement credit.

Veterans employed in civil service positions before October 1, 1982, have the option of either making a deposit to cover their military service or having their civil service annuity recomputed to delete post-1956 military service if they are eligible for social security at age 62.

If civilian service is interrupted by uniformed service, special rules apply (see Chapter 7, Restoration After Uniformed Service).

#### • Retired from Uniformed Service

Credit for uniformed service is substantially limited for retired members. In enacting the Dual Compensation Act in 1964, Congress adopted a compromise between the view that retired members should receive preference and full credit for their service and the view that there should be no advantage for retired members.

**For leave accrual**, retirees receive credit only for:

- actual service during a war declared by Congress (includes World War II covering the period December 7, 1941, to April 28, 1952) or while participating in a campaign or expedition for which a campaign badge is authorized;

or

- all active duty when retirement was based on a disability received as a direct result of armed conflict or caused by an instrumentality of war and incurred in the line of duty during a period of war as defined in 38 U.S.C. 101(11). "Period of war" includes World War II, the Korean conflict, Vietnam era, the Persian Gulf War, or the period beginning on the date of any future declaration of war by the Congress and ending on the date prescribed by Presidential proclamation or concurrent resolution of the Congress.

**For retirement:**

An employee must waive military retired pay to receive any credit for military service unless the retired pay is awarded based on a service-connected disability incurred in combat with an enemy of the United States or caused by an instrumentality of war and incurred in the line of duty during a period of war as defined by 38 U.S.C. 301, or awarded under 10 U.S.C. chapter 1223 (previously chapter 67).

- ◆ 5 U.S.C. 6303, 8332 and 8411(e); and the CSRS and FERS Handbook

**Creditable Service for RIF--Not Retired from Uniformed Service**

- Total time in active service in the Armed Forces, including active duty and active duty for training as defined in 37 U.S.C. 101, is credited for reduction in force purposes for those who are not retired members, regardless of the type of discharge.
- If civilian service is interrupted by uniformed service, special rules apply (see Chapter 5 on "Restoration After Uniformed Service").

**Creditable Service for RIF--Retired from Uniformed Service**

- Credit for uniformed service is substantially limited for retired members. In enacting the Dual Compensation Act in 1964, Congress adopted a compromise between the view that retired members should receive preference and full credit for their service and the view that there should be no advantage for retired members. Thus, retirees receive credit only as follows:
  - A uniformed services retiree who is a preference eligible for RIF purposes receives service credit for all active duty. Other retirees receive service credit only for active duty during a war as defined in Chapter 2, or service in a campaign or expedition for which a campaign badge has been authorized. See *Eligibility for Veterans' Preference in RIF* in this chapter to determine if a retiree is a preference eligible for RIF purposes.

- ◆ 5 U.S.C. 3501, 3502; 5 CFR 351.501(d), 351.503

---

### Creditable Service for Severance Pay

- In computing the amount of severance pay a separated employee receives, credit is given only for military service performed by an employee who returns to civilian service by exercising a restoration right under law, executive order, or regulation. Military service performed prior to an individual's Federal civilian service is not creditable for severance pay purposes.

◆ 5 U.S.C. 5595; 5 CFR 550.708

## ⑥ Special Appointing Authorities for Veterans

### ☆ Veterans' Readjustment Appointment (VRA) Authority

The VRA is a special authority by which agencies can, if they wish, appoint eligible veterans **without competition** to positions at any grade level through General Schedule (GS) 11 or equivalent. (The promotion potential of the position is not a factor.) VRA appointees are hired under excepted appointments to positions that are otherwise in the competitive service.

If the agency has more than one VRA candidate for the same job and one (or more) is a preference eligible, the agency must apply the **veterans' preference** procedures prescribed in 5 Code of Federal Regulations (CFR) Part 302 in making VRA appointments. A veteran who is eligible for a VRA appointment is not automatically eligible for veterans' preference.

After two years of satisfactory service, the agency **must** convert the veteran to career or career-conditional appointment, as appropriate.

#### • Eligibility Requirements

To be eligible for a VRA a veteran must:

- ▼ have served in the Armed Forces on **active duty** (not active duty for training or inactive duty as a Reservist) for more than 180 days, any part of which occurred after August 4, 1964, (or February 28, 1961, for those who actually served in the Republic of Vietnam) and received other than a dishonorable discharge. If the component block at the top of DD form 214, *Certificate of Release or Discharge from Active Duty*, indicates enlistment in the Reserves, the person does not have active duty qualifying for VRA appointment.

The 180-day requirement does not apply to veterans who were discharged or released from active duty because of a service-connected disability, or members of the Reserve or National Guard ordered to active duty under 10 United States Code (U.S.C.) 12301(a), (d), or (g), 12302, or 12304 for service during a period of war as defined in 38 U.S.C. 101(11) or in a campaign or expedition for which a campaign badge is authorized. "Period of war" includes World War II, the Korean conflict, Vietnam era, the Persian Gulf War, or the period beginning on the date of any future declaration of war by the Congress and ending on the date prescribed by Presidential proclamation or concurrent resolution of the Congress;

and

▼ meet the qualification requirements for the position. The individual's military service is considered qualifying for positions at GS-3 and below. For positions above GS-3, the appointee must meet the qualification requirements, but the agency may waive any written test requirement. If a test is required, a designated agency examiner may administer the test noncompetitively.

#### • Time Limits

A Vietnam-era veteran with service between August 5, 1964, (or February 28, 1961, for those who actually served in the Republic of Vietnam) and May 7, 1975, may be appointed within 10 years of last discharge or separation.

A post-Vietnam-era veteran whose initial service was after May 7, 1975, may be appointed within 10 years of last discharge or separation or until December 31, 1999, whichever is later.

These time limits do not apply to a veteran with a 30 percent or more service-connected disability.

#### • Making Appointments

Ordinarily, an agency may simply appoint any VRA eligible who meets the basic qualifications requirements for the position to be filled without having to announce the job or rate and rank applicants. However, as noted, veterans' preference applies in making appointments under the VRA authority. This means that if an agency has 2 or more VRA candidates and 1 or more is a preference eligible, the agency must apply veterans' preference. Furthermore, an agency must consider all VRA candidates on file who are qualified for the position and could reasonably expect to be considered for the opportunity; it cannot place VRA candidates in separate groups or consider them as separate sources in order to avoid applying preference or to reach a favored candidate.

#### • Terms and Conditions of Employment

A VRA appointee may be promoted, demoted, reassigned, or transferred in the same way as a career employee. As with other competitive service employees, the time in grade requirement applies to the promotion of VRAs. If a VRA-eligible employee is qualified for a higher grade, an agency may, at its discretion, give the employee a new VRA appointment at a higher grade up through GS-11 (or equivalent) without regard to time-in-grade.

Agencies must establish a training or education program for any VRA appointee who has less than 15 years of education. This program should meet the needs of both the agency and the employee.

- **Appeal Rights**

During their first year of employment, VRA appointees have the same limited appeal rights as competitive service probationers, but otherwise they have the appeal rights of excepted service employees. This means that VRA employees who are preference eligibles have adverse action protections after one year (see Chapter 7). VRA's who are not preference eligibles do not get this protection until they have completed 2 years of current continuous employment in the same or similar position.

- **Nonpermanent Appointment Based on VRA Eligibility**

Agencies may make a noncompetitive temporary or term appointment based on an individual's eligibility for VRA appointment. The temporary or term appointment must be at the grades authorized for VRA appointment but is not a VRA appointment itself and does not lead to conversion to career-conditional.

◆ 38 U.S.C. 4214; 5 CFR Part 307; 5 CFR 752.401 (e)(3)

## ☆ 30 Percent or More Disabled Veterans

An agency may give a noncompetitive temporary appointment of more than 60 days or a term appointment to any veteran:

- retired from active military service with a disability rating of 30 percent or more

or

- rated by the Department of Veterans Affairs (VA) within the preceding year as having a compensable service-connected disability of 30 percent or more.

There is no grade level limitation for this authority, but the appointee must meet all qualification requirements, including any written test requirement.

The agency may convert the employee, without a break in service, to a career or career-conditional appointment at any time during the employee's temporary or term appointment.

◆ 5 U.S.C. 3112; 5 CFR 316.302, 316.402 and 315.707

## ☆ Disabled Veterans Enrolled in a VA Training Program

Disabled veterans eligible for training under the VA vocational rehabilitation program may enroll for training or work experience at an agency under the terms of an agreement between the agency and VA. While enrolled in the VA program, the veteran is **not a Federal employee** for most purposes but is a beneficiary of the VA.

Training is tailored to the individual's needs and goals, so there is no set length. If the training is intended to prepare the individual for **eventual appointment** in the agency rather than just provide work experience, the agency must ensure that the training will enable the veteran to meet the qualification requirements for the position.

Upon successful completion, the host agency and VA give the veteran a Certificate of Training showing the occupational series and grade level of the position for which trained. The Certificate of Training allows any agency to appoint the veteran noncompetitively under a status quo appointment which may be converted to career or career-conditional at any time.

◆ 38 U.S.C. chapter 31; 5 CFR 3.1 and 315.604

## 7 Restoration after Uniformed Service

### ☆ Basic Entitlement

Any Federal employee, permanent or temporary, in an executive agency other than an intelligence agency, but including the U.S. Postal Service, Postal Rate Commission, and nonappropriated fund activity, who performs duty with a uniformed service (including active duty, active duty for training, or inactive duty training), whether voluntary or involuntary, is entitled to be restored to the position he or she would have attained had the employee not entered the uniformed service, provided the employee:

- gave the agency advance notice of departure except where prevented by military circumstances;

and

- was released from uniformed service under honorable conditions;

and

- served no more than a cumulative total of 5 years (exceptions are allowed for training and involuntary active duty extensions, and to complete an initial service obligation of more than 5 years);

and

- applies for restoration within the appropriate time limits.

Employees in the intelligence agencies have substantially the same rights, but are covered under agency regulations rather than the Office of Personnel Management's (OPM) and have different appeal rights.

While on duty with the uniformed services, the agency carries the employee on leave without pay unless the employee requests separation. A separation under these circumstances does not affect restoration rights.

Uniformed service as defined in 38 United States Code (U.S.C.) 4303(16) means the Armed Forces; the Army and Air National Guard when engaged in active duty for training, inactive duty training, or full-time National Guard duty; the commissioned corps of the Public Health Service; and any other category of persons designated by the President in time of war or emergency.

♦ Title 38 U.S.C. chapter 43; Title 5 Code of Federal Regulations (CFR) Part 353

## ☆ Advising Employees / Resolving Employment Conflicts

Agencies must tell employees who enter the service about their entitlements, obligations, benefits, and appeal rights.

Employees in a Reserve component have an obligation both to the military and to their civilian employers. Because of military downsizing, the Reserves are being used increasingly to complement the active duty component on operational missions that go beyond week-end drills and summer training. As a result, some conflict may be unavoidable and good-faith efforts by the employee and the agency are needed to resolve any differences.

Agencies may not question the timing, frequency, duration, and nature of the uniformed service, but employees are obligated to try to minimize the agency's burden. For example, Department of Defense (DOD) directives provide that it is DOD policy for Reserve component members to give their employer as much advance written notice as practicable of any pending military duty.

When there is a conflict between the Reserve duty and the legitimate needs of the agency, the agency may contact appropriate military authorities (typically, the unit commander) to express concern or to determine if the military service could be rescheduled or performed by another member. If military authorities determine that the service is necessary, the agency is required to permit the employee to go.

## ☆ Time Limits

Employees who served in the uniformed services:

- **Less than 31 days** (or who leave to take a fitness exam for service) must report back to work at the beginning of the next regularly scheduled work day following their completion of service and the expiration of 8 hours after a time for safe transportation back to the employee's residence.
- **More than 30 but less than 181 days** must apply for reemployment no later than 14 days after completion of service.
- **More than 180 days** have 90 days after completion of service to apply for restoration.

Employees who fail to meet these time limits are subject to disciplinary action.

Agencies must reemploy as soon as practicable, but no later than 30 days after receiving the application. Agencies have the right to ask for documentation

showing the length and character of the employee's service and the timeliness of the application.

### ☆ Positions to Which Restored

- **Employees who served less than 91 days** must be placed in the position for which qualified that they would have attained had their employment not been interrupted. If not qualified for such position after reasonable efforts by the agency to qualify the person, the employee is entitled to be placed in the position he or she left.
- **Employees who served more than 90 days** have essentially the same rights as described above except that the agency has the option of placing the employee in a position for which qualified of like seniority, status, and pay.
- **Employees with service-connected disabilities** who are not qualified for the above must be reemployed in a position that most closely approximates the position they would have been entitled to, consistent with the circumstances in each case.
- **Employees who were under time-limited appointments** finish the unexpired portion of their appointments upon their return.

### ☆ Service Credit

Upon restoration, employees are generally treated as though they had never left. This means that time spent in the uniformed services counts for seniority, within-grade increases, completion of probation, career tenure, retirement, and leave rate accrual. (Employees do not earn sick or annual leave while off the rolls or in a nonpay status.)

To receive civil service retirement credit for military service, a deposit to the retirement fund is usually required to cover the period of military service. Only active, honorable military service is creditable for retirement purposes. If the employee is under the Civil Service Retirement System (CSRS), a deposit of 7 percent of military basic pay (plus interest under certain conditions) is required. The deposit is 3 percent if the employee is under the Federal Employees Retirement System (FERS). However, these amounts may be different if:

- the employee's creditable civilian service was interrupted by military duty;
- and
- reemployment occurred pursuant to 38 U.S.C. chapter 43 on or after August 1, 1990.

In such a situation, the contribution is either the above-prescribed amount or the amount of civilian retirement deductions which would have been withheld had the individual not entered uniformed service if this amount is less than the normal deposit for military service.

- **National Guard Service**

Special rules apply to crediting National Guard service.

Prior to the enactment of Public Law 103-353 in October 1994, National Guard service was creditable military service for civil service retirement only when the National Guard was activated in the service of the United States.

**The 1994 law made full-time National Guard service (as defined by 10 U.S.C. 101(d)) which interrupted creditable Federal civilian employment under CSRS or FERS and was followed by restoration under chapter 43 of title 38, U.S.C., on or after August 1, 1990, creditable as military service.**

## ☆ OPM Placement

If the employing agency is unable to reemploy an individual returning from duty with a uniformed service, OPM will order placement in another agency when:

- OPM determines that it is impossible or unreasonable for an agency in the executive branch (other than an intelligence agency) to reemploy the person;

or

- an intelligence agency or an agency in the legislative or judicial branch notifies OPM that it is impossible or unreasonable to reemploy the person, and the person applies to OPM for placement assistance;

or

- a noncareer National Guard technician who is not eligible for continued membership in the Guard for reasons beyond his or her control applies to OPM for placement assistance.

## ☆ Employee Protections

Employees are not subject to a **reduction in force** while they are serving in the uniformed services. If they served for more than 180 days, they may not be separated, **except for cause**, for 1 year after their return. If they served for more than

30 but less than 181 days, they may not be separated, except for cause, for 6 months. (Reduction in force is not considered "for cause" under OPM's regulations.)

The law expressly prohibits any kind of discrimination or act of reprisal against an applicant or employee because of his or her application, membership or service in the uniformed services.

### ☆ Paid Military Leave

Each fiscal year, employees under permanent appointment are entitled to 15 calendar days of military leave, with pay, to perform active duty as a member of a Reserve component. Part-time employees are entitled to military leave pro-rated according to the tour of duty, e.g., an employee who works 20 hours a week earns 7 ½ days of military leave.

Employees may carry over 15 days of unused military leave into a new fiscal year. Therefore, potentially they may have a total of 30 days to use in any one fiscal year. This means that Reservists whose military duty spans two fiscal years may use up to 45 days of military leave at one time. Nonworkdays count against the 15 days of military leave allowed during the year except when the non-workdays occur at the beginning or end of the military leave period.

Reservists may not use annual leave or leave without pay interchangeably with military leave, on a selective basis, to avoid being charged military leave during weekends and holidays. Also, except for Postal Service employees, Reservists may not use military leave to cover drill periods since monthly drills are considered inactive duty training and paid military leave is intended only for periods of active duty. They may, however, use annual leave or leave without pay.

The Comptroller General has held that generally an employee must be in a pay status either immediately before or after taking military leave. The test for determining entitlement to military leave is whether, but for the active duty, the employee would have been in a civilian pay status.

Upon request, an employee performing duty with the uniformed services is entitled to use either accrued annual leave or military leave for such service. However, military leave cannot be used for inactive duty, e.g., drills.

↪ 5 U.S.C. 6323; 11 Comp. Gen. 469; 29 Comp. Gen. 269; 31 Comp. Gen. 204; 17 Comp. Gen. 174; and 37 Comp. Gen. 608

## ☆ Life and Health Insurance

The life insurance of an employee who takes leave without pay to enter the uniformed services continues for up to 12 months. If the employee separates, life insurance continues for up to 12 months, or 90 days after uniformed service ends, whichever is sooner. There is no cost to the employee for this extension of coverage.

Employees who enter the uniformed services may elect to have their health insurance coverage continue for up to 12 months, and the employee continues to pay his or her share of the premium. Employees who remain in the uniformed services beyond 12 months may continue their health insurance for an additional 6 months by paying 102 percent of the premium, i.e., the employee's share, the Government's share, and a 2 percent administrative fee.

◆ 5 CFR Parts 870.501 and 890.303, 304, 305, 502

## ☆ Thrift Savings

Employees who perform uniformed service may make up any contributions to the thrift savings plan they missed because of such service.

◆ 5 CFR Part 1620

## ⑧ Special Redress And Appeals

The redress and appeal rights available to veterans under law depend upon the nature of the action being appealed. These actions fall into the following categories:

### ☆ Adverse Actions

Preference eligibles have protections against adverse actions, including demotion, suspension for more than 14 days, furlough for 30 days or less, and removal. These protections include advance notice, a reasonable time to respond, representation by an attorney or other person, a final written decision, and an appeal right to the Merit Systems Protection Board.

The law provides adverse action rights to preference eligibles of any rank who are:

- under career or career-conditional appointment and not serving probation.
- under competitive service appointments other than a temporary appointment not to exceed 1 year or less and who have completed 1 year of continuous service.
- under excepted appointment in an executive agency, the U.S. Postal Service or the Postal Rate Commission and who have completed 1 year of current continuous service in the same or similar positions. Because the law also exempts certain categories of excepted employees, it is always necessary to check the law in specific cases.

◆ Title 5 United States Code (U.S.C.) 2108 (4) chapters 43 and 75; Title 5 Code of Federal Regulations (CFR) Parts 432 and 752

### ☆ Reduction in Force

Employees who believe that an agency has not complied with the law or with the Office of Personnel Management's (OPM) regulations governing reduction in force may appeal to the Merit Systems Protection Board as discussed in Chapter 3.

◆ 5 CFR 351.901

## ☆ Restoration after Uniformed Service

Applicants or employees who believe that an agency has not complied with the law or with OPM regulations governing the restoration rights of employees who perform duty with the uniformed services may file a complaint with the Department of Labor's local Veterans' Employment and Training Service office or appeal directly to the Merit Systems Protection Board.

◆ 38 U.S.C. chapter 43

## ☆ Other Actions

### • Memorandum of Understanding between OPM and Department of Labor

By law, the Department of Labor's Veterans' Employment and Training Service (VETS) is required to monitor the application of veterans' preference in agencies and the posting of job vacancies with the State Employment Service. When VETS finds that an agency has failed to carry out its responsibilities, VETS reports the matter to OPM for corrective action.

OPM and VETS have entered into a Memorandum of Understanding (MOU) for applying these provisions. An eligible veteran may file a complaint with the local VETS office within 45 days of an action covered by the MOU.

The MOU covers the following actions:

- agency failure to list with OPM and the State Employment Service, as required by 5 U.S.C. 3327(b), competitive vacancies for which it is soliciting "outside" candidates;
- agency failure to accord veterans' preference in initial employment to a veteran who is entitled to preference under 5 U.S.C. 2108, and
- agency failure to promote the maximum of employment and job advancement opportunities for disabled veterans and veterans eligible for a Veterans' Readjustment Appointment as required by 38 U.S.C. 4214(a).

The MOU does not cover:

- matters which are grievable or appealable to other third parties such as arbitrators, the Merit Systems Protection Board, the Equal Employment Opportunities Commission, or the Office of Special Counsel;

- alleged discrimination against a veteran that is not directly related to the denial of a right or benefit provided for under the MOU;
- actions such as promotions that are not within the purview of the statutes that the MOU implements. For example, the veterans' preference laws do not give veterans' preference in promotion. If a veteran believes he or she was improperly excluded from the best-qualified group in a promotion action, the proper remedy is to file a grievance under the agency administrative or negotiated grievance procedures.

To be eligible to file a complaint under the MOU, a veteran must:

- have served on active duty in the Armed Forces for more than 180 days (other than for training) and been released or discharged with other than a dishonorable discharge,

or

- have been released or discharged from active duty because of a service-connected disability,

or

- as a member of a Reserve component ordered to active duty under 10 U.S.C. 12301(a), (d), or (g), 12302, or 12304, have served on active duty during a period of war as defined in 38 U.S.C. 101(11) or in a campaign or expedition for which a campaign or expeditionary medal is authorized, such as El Salvador, Lebanon, Grenada, Panama, Southwest Asia, Somalia, and Haiti and been released or discharged from active duty with other than a dishonorable discharge.

"Period of war" includes World War II, the Korean conflict, Vietnam era, the Persian Gulf War, or the period beginning on the date of any future declaration of war by the Congress and ending on the date prescribed by Presidential proclamation or concurrent resolution of the Congress

◆ Title 38 U.S.C. 4103(c)(13) and (14); Interagency Advisory Group memo of 1/18/94 from OPM to Directors of Personnel, subject: Special Employment Complaint Procedure for Veterans under 38 U.S.C. 4103.

#### • Veterans' Preference

OPM is committed to ensuring that veterans' preference is properly applied and will look into any credible complaint from a veteran who believes his or her rights or benefits were denied. The veteran may present a complaint to the local OPM Service

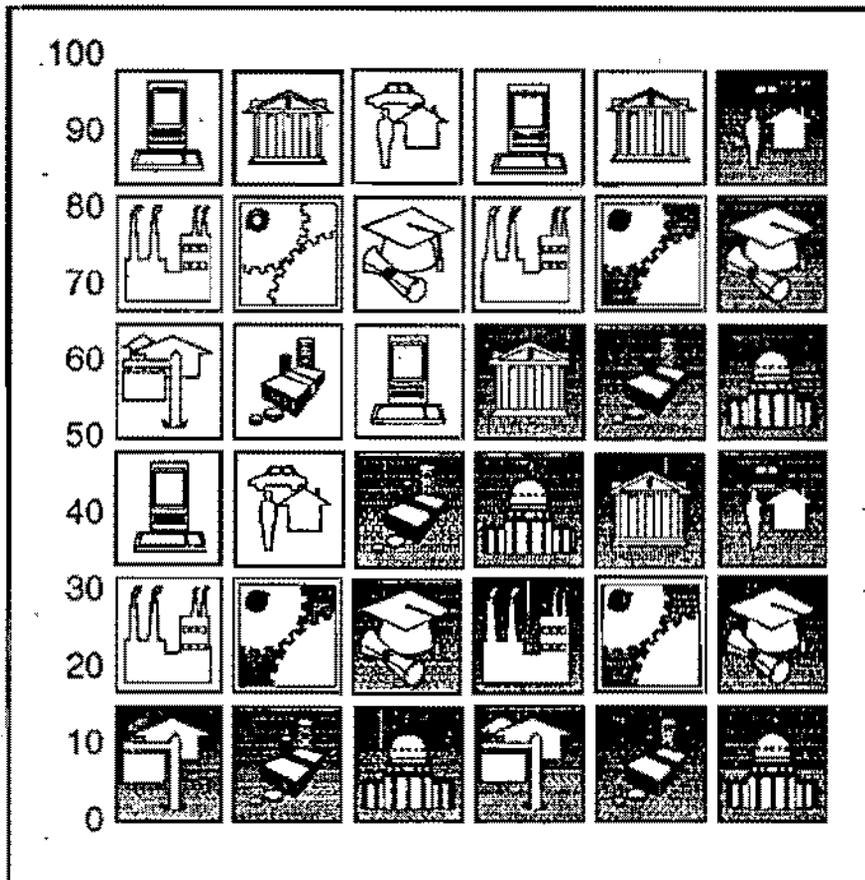
Center or to the OPM Office of Merit Systems Oversight and Effectiveness, Washington, DC 20415. This OPM service is in addition to the formal appeal rights veterans have under law.

### ☆ Prohibited Personnel Practice

It is a prohibited personnel practice for an officer or employee of the Department of Defense or member of the Armed Forces having authority to take, direct, recommend, or approve a personnel action to take such actions, or fail to do so, if the action violates veterans' preference. Coverage includes veterans' preference under title 5, United States Code, and other laws. A person who believes a prohibited personnel practice has occurred may file a complaint with the Office of Special Counsel.

◆ Pub. L. 104-201, sec. 1615

**ORGANIZATIONAL PROCESS  
DIMENSIONS UNDERLYING  
EFFECTIVE ORGANIZATIONS:  
DIMENSIONS TO INCLUDE IN  
OPM'S ORGANIZATIONAL  
ASSESSMENT SURVEY**



UNITED STATES OFFICE OF  
PERSONNEL MANAGEMENT

Report Number 94-3  
December 1993

**ORGANIZATIONAL PROCESS DIMENSIONS UNDERLYING  
EFFECTIVE ORGANIZATIONS:  
DIMENSIONS TO INCLUDE IN OPM'S  
ORGANIZATIONAL ASSESSMENT SURVEY**

Prepared by:

Jodi Schneider, Ph.D.

**U.S. OFFICE OF PERSONNEL MANAGEMENT**  
Personnel Research and Development Center  
Organizational Effectiveness Division

December, 1993

This report provides theoretical and empirical support for the dimensions included in OPM's Organizational Assessment Survey (OAS). That is, it summarizes a literature review (e.g., articles, documents, books, surveys) that was conducted to identify the organizational process dimensions that are related to organizational effectiveness. The following 18 dimensions were identified for inclusion in the OAS:

- Fairness and Treatment of Employees
- Training and Career Development
- Rewards/Recognition
- Innovation and Risk-Taking
- Customer Focus
- Leadership and Commitment to Quality
- Valuing Diversity
- Open Communications
- Employee Involvement
- Teamwork
- Health-Enhancing Work Environments
- Resource Allocation/Utilization
- Family/Work/Life Balance
- Supervision/Management
- Social Responsibility
- Job Security and Commitment to Workforce
- Strategic Planning
- Measurement and Analysis

The following information is provided for each dimension:

1) A definition based on a synthesis of the literature

2) Corresponding dimensions from other sources:

- 1994 Presidential Award for Quality criteria (based on the 1994 Malcolm Baldrige National Quality Award criteria)
- Healthy Companies Pathways
- OPM Leadership Effectiveness Survey
- GSA Climate Assessment Survey
- DoD Climate Survey
- Dictionary of Occupational Titles
- Ford Pulse Survey
- MetLife Employee Attitude Survey

3) Examples of theoretical and empirical support

- The amount of theoretical and empirical support for each dimension varies. We plan to add more support for dimensions, as it becomes available.

Because of the potential for linking Federal Government survey results with private sector survey results, the Organizational Assessment Survey covers all the Healthy Companies' dimensions (in some cases we have made slight name changes). The survey also assesses dimensions included in two private sector surveys that contain the core Mayflower items (i.e., Ford Pulse Survey, MetLife Employee Attitude Survey).

This report includes a dimension crosswalk table which compares dimensions from the eight sources previously indicated with dimensions from the Organizational Assessment Survey (see Appendix A). This table illustrates the potential for linking results from the OAS with results from other public and private sector surveys.

## **1. FAIRNESS AND TREATMENT OF EMPLOYEES**

### **Definition**

Organization protects the rights of all employees to a fair and respectful work relationship; provides fair personnel policies/practices (e.g., training opportunities, discipline); promotes trust; protects individual rights to privacy; provides a fair system to resolve disputes; and treats its employees well.

### **Corresponding Dimensions from Other Sources**

- Healthy Companies - Institutional Fairness
- Dictionary of Occupational Titles - Institutional Fairness

### **Examples of Theoretical and Empirical Support**

- Sheridan (1992) found that accounting firms that promoted values and norms of fairness, tolerance, and respect for people experienced less turnover than accounting firms that did not promote these values and norms.
- Ouchi and Johnson (1978) examined the cultures of two electronics companies and found that the financial performance of the humanistic company was superior to the financial performance of the other company.
- Peters and Waterman (1982) studied over 60 financially successful firms and found that these companies had humanistic cultures (i.e., cared about their employees).
- Driscoll (1978) found a strong relationship between employee trust in their organization's leaders and employee satisfaction with their organization.
- Kouzes and Posner (1987) argued that building trust is necessary when leaders are "accomplishing extraordinary things in organizations" (e.g., substantially improving the quality of products and services).
- Schneider and Gunnarson (1990) argued that employees deliver the kind of service to consumers that is consistent with the way they are treated as employees. When employees feel that they belong to a family and have a sense of community at work, they will create a similar experience for their customers.

• Healthy Companies (1992) argues that "nothing more clearly defines the difference between healthy and unhealthy organizations than the way a workplace embodies—or does not embody—a sense of fundamental fairness in its overall operations" (p. 26).

• Healthy Companies (1992) suggests that reduced employee commitment, loyalty, and enthusiasm, as well as increased employee turnover, may be associated with the unfair treatment of employees.

## 2. TRAINING AND CAREER DEVELOPMENT

### Definition

Organization provides employees with the training and guidance necessary for effective job performance; has an ongoing commitment to the training and career development of all employees; provides continuous education and learning opportunities for employees; conducts training needs assessment; and evaluates and improves its training programs on a continuing basis.

### Corresponding Dimensions from Other Sources

- 1994 FQI Presidential Award for Quality Criteria - Human Resource Development and Management
- OPM Leadership Effectiveness Survey - Personnel Policies
- Healthy Companies - Learning and Renewal
- GSA Climate Assessment Survey - Employee Training and Recognition
- Ford Pulse Survey - Training and Development
- MetLife Employee Attitude Survey - Training; Career Opportunities

### Examples of Theoretical and Empirical Support

- Schneider and his associates have consistently found that employee training, development, and career counseling are related to bank customer perceptions of service quality (Schneider & Bowen, 1985; Schneider, Parkington, & Buxton, 1980).
- Schneider and Bowen (1993) found that organizational practices related to employee career growth and development, as well as the orientation and training of new employees, were associated with bank customer reports of service quality.
- The National Advisory Commission on Work-Based Learning (1992) found that companies that were the most successful in implementing "Total Quality" (i.e., a way of managing that focuses on improving the quality of products and services) made greater investments in training and trained a broader cross-section of the workforce than companies operating under traditional lines. These companies shared the assumption that the growth and success of the organization depends on the growth and development of its employees.

- Guzzo, Jette, and Katzell (1985) conducted a meta-analysis of studies that examined the impact of various organizational interventions on employee productivity. They found that training programs had a large impact on productivity.
- Bragar (1992) studied 24 organizations with reputations for making significant strides in "Total Quality" (three of these companies were recipients of the Malcolm Baldrige National Quality Award). She found that the managers of these organizations viewed training as "an investment, not an expense" (p. 53). These managers also promoted the continuous learning and development of all employees.
- Bartel (in press) studied 155 manufacturing firms and found that those firms that implemented a formal training program experienced, on the average, a 19% greater increase in productivity over a three year period than those firms that did not introduce a training program.
- The Towers Perrin study (undated) sampled CEOs and human resource executives from Fortune 500 Companies in 12 countries, along with human resource faculty and consultants, to identify human resource practices that may lead to a competitive advantage in the 21st century. Participants unanimously indicated that continuous training and retraining of employees would be an important human resource practice for gaining competitive advantage in the future.
- Healthy Companies (1992) argues that organizations should provide continuous opportunities for all its employees to learn, update, and expand their knowledge and skills.
- The Secretary's Commission on Achieving Necessary Skills (SCANS) report, Government as a High Performance Employer, links an ongoing commitment to training and development for all employees to high performance in Government.
- The National Performance Review (1993) concluded that investing in employee training is important for enhancing the effectiveness of Federal agencies. Its recommendations include: 1) giving employees better tools for job training; 2) upgrading technology training for all employees; and 3) eliminating restrictions on employee training.
- The 1994 Presidential Award for Quality evaluates organizations on the extent to which they train and educate the entire workforce; base training/education programs on a comprehensive needs assessment; and evaluate the effectiveness of these programs (Federal Quality Institute, 1993).
- Organizations that have won the Malcolm Baldrige National Quality Award "make heavy investments in comprehensive training and education" and evaluate their training and education programs (Reimann, 1990, p. 23).

### **3. REWARDS AND RECOGNITION**

#### **Definition**

Organization uses a diverse set of rewards and incentives to recognize the full contributions of employees; rewards excellence; values and recognizes employees for their involvement in quality improvements; creates a reward system that employees perceive as fair; ensures reward system reflects important organizational values (e.g., customer service, creativity, teamwork).

#### **Corresponding Dimensions from Other Sources**

- 1994 FQI Presidential Award for Quality Criteria - Human Resource Development and Management
- OPM Leadership Effectiveness Survey - Personnel Policies
- Healthy Companies - Equitable Rewards and Recognition
- GSA Climate Assessment Survey - Employee Training and Recognition
- DoD Climate Survey - Consequential Constraints
- Ford Pulse Survey - Quality Emphasis
- MetLife Employee Attitude Survey - Recognition; Compensation

#### **Examples of Theoretical and Empirical Support**

- Schneider and his associates have consistently demonstrated that organizations that provide employees with incentives for providing excellent customer service have customers who report higher quality service than organizations that do not provide these incentives (Schneider & Bowen, 1985; Schneider, Parkington, & Buxton, 1980).
- Garvin (1983, 1988) studied American and Japanese manufacturing companies and found that the companies that produced the highest quality products based rewards and performance evaluations more on quality than on quantity of outputs.

- Participants in the Towers Perrin/IBM study identified the implementation of an incentive system that rewards employees for customer service and productivity gains as an important human resource practice for gaining competitive advantage in the 21st century (Towers Perrin, undated).
- Healthy Companies (1992) stresses the importance of a fair reward system.
- The leadership literature suggests that an organization's reward system signals to employees what is valued and considered appropriate behavior (Kouzes & Posner, 1987; Peters, 1987; Yukl, 1989). For example, if an organization wants its employees to provide excellent customer service, it must reward its employees for providing excellent service.
- The 1994 Presidential Award for Quality evaluates organizations on the extent to which they use a "variety of formal, informal reward/recognition mechanisms across the organization for all grade levels, types of employees," and on the extent to which the organization's reward system "emphasizes teamwork; is strongly linked to quality..." (Federal Quality Institute, 1993, p. 32).
- Organizations that have won the Malcolm Baldrige National Quality Award recognize individual and team contributions. Quality is one of the key areas for recognition and awards (Reimann, 1990).
- Providing incentives and rewards is an important component of performance management in the Australian public sector. The Australian Public Service Commission (1992) recommends providing high performing employees with monetary rewards, non-monetary rewards, and advancement opportunities.

## 4. INNOVATION AND RISK-TAKING

### Definition

Organization encourages and rewards innovation, creativity, and risk-taking; is responsive to change; adopts new technologies that enhance efficiency and job performance; continually updates work processes, materials, and equipment; provides technological training.

### Corresponding Dimensions from Other Sources

- FQI Presidential Award for Quality - Human Resource Development and Management
- OPM Leadership Effectiveness Survey - Innovation
- Healthy Companies - People-Centered Technology
- GSA Climate Assessment Survey - Creativity and Innovation
- DoD Climate Survey - Strategic Focus

### Examples of Theoretical and Empirical Support

- Peters and Waterman (1982) studied over 60 successful companies (financially productive) and found that "they made heroes of innovators." These companies encouraged risk-taking and tolerated occasional failures.
- CEOs and human resource executives from Fortune 500 Companies, along with human resource faculty and consultants, indicated that rewarding innovation/creativity and opening creative opportunities would lead to a competitive advantage for organizations in the 21st century (Towers Perrin, undated).
- Keston (1992) studied two Government agencies that won public service excellence awards (e.g., organizations that made measurable productivity improvements) and found that their leaders supported innovation.
- Kanter (1982) studied five companies to identify managerial behaviors that were related to innovation. Innovative managers tended to be visionary and comfortable with change. She argued that "a company's productivity depends to a great degree on how innovative its middle managers are" (p. 95).

- Locke et al. (1991) argue that "a leader's ability to create and manage change is crucial to...the success and survival of the organization" (p. 95-96).
- The SCANS Report, Government as a High Performance Employer, links the creation of a work climate where risk-taking and innovation are rewarded/encouraged to high performance in Government.
- The leadership literature suggests that successful organizations have leaders who initiate and foster change and innovation (Bennis and Nanus, 1985; Kouzes and Posner, 1987).
- The Australian Public Service Commission (1992) recommends that leaders adopt and manage change, innovate, and encourage risk-taking.
- The 1994 Presidential Award for Quality evaluates organizations on the extent to which they use a variety of strategies to increase risk-taking, innovation, and creativity (Federal Quality Institute, 1993).

## **5. CUSTOMER FOCUS**

### **Definition**

Organization has a strong customer focus; demonstrates commitment to providing customers with high-quality, ethically sound products and services; promotes personnel policies/practices that support the delivery of high quality products and services (e.g., rewards, training); empowers employees to resolve customer problems; obtains customer feedback about the quality of products and services; employees have knowledge about and respond to the needs and expectations of their customers.

### **Corresponding Dimensions from Other Sources**

- 1994 FQI Presidential Award for Quality Criteria - Customer Focus and Satisfaction; Management of Process Quality
- OPM Leadership Effectiveness Survey - Quality Orientation
- Healthy Companies - Meaningful Work
- GSA Climate Assessment Survey - Client Focus
- DoD Climate Survey - Customer Orientation
- Dictionary of Occupational Titles - Customer Focus
- Ford Pulse Survey - External Customer Focus; Quality Emphasis
- MetLife Employee Attitude Survey - Quality

### **Examples of Theoretical and Empirical Support**

- Schneider and Bowen (1985) found that bank customers reported better service quality when meeting customer needs was more important to the organization than following rules and policies.
- Schneider, Parkington, and Buxton (1980) found a strong relationship between organizations that had members who understood their customers' expectations and customer reports of service quality.

- The National Advisory Commission on Work-Based Learning (1992) found that the companies that were most successful in implementing "Total Quality" adopted strategies that incorporated the needs of their customers. These companies experienced improvements in the quality of their products and services.
- Bragar (1992) found that organizations that had reputations for making significant strides in "Total Quality" had a strong customer focus and aimed to understand and meet the needs of their customers.
- Peters and Waterman (1982) studied over 60 high performing organizations (e.g., profitable, long-term growth), and found that almost all of these organizations had a strong customer focus. They understood and responded to the needs of their customers.
- The SCANS report, Government as a High Performance Employer, links high performance in Government to organizations that make efforts to exceed customer requirements.
- Peters (1987) recommended that organizations become more responsive to their customers' needs and define quality in terms of the customer. His argument was based on interviews and observations of leaders in companies that have been very successful at implementing quality improvement programs (e.g., IBM, Federal Express, Ford).
- The National Performance Review (1993) concluded that Government agencies must "Put Customers First" in order to be effective. Specific actions called for include: 1) surveying customers to identify the types of services they want, and the level of quality they expect; 2) setting high service standards; 3) surveying customers to determine their satisfaction with current services; and 4) training employees in customer service skills.
- The 1994 Presidential Award for Quality evaluates organizations on the extent to which they: 1) have knowledge of their customers' needs and expectations; 2) establish and maintain customer relationships; and 3) assess customer satisfaction (Federal Quality Institute, 1993).
- Reimann (1990) found that companies that scored high on the Malcolm Baldrige National Quality Award had a clear understanding of their customers' expectations, set customer service standards, and empowered their front-line employees to resolve customer problems.

## **6. LEADERSHIP AND COMMITMENT TO QUALITY**

### **Definition**

Management promotes quality and continuous improvement throughout the organization; makes it clear to employees through their words, actions, and choices that quality is important; inspires pride and a commitment to quality from all employees; creates, communicates, and sustains organizational vision, goals and values that are related to quality and continuous improvement; provides resources necessary for quality improvements; challenges employees.

### **Corresponding Dimensions from Other Sources**

- 1994 FQI Presidential Award for Quality Criteria - Leadership
- OPM Leadership Effectiveness Survey - Quality Orientation
- GSA Climate Assessment Survey - Top Management Leadership and Support
- DoD Climate Survey - Leadership and Management; Strategic Focus
- Ford Pulse Survey - Quality Emphasis; Supervision
- MetLife Employee Attitude Survey - Quality

### **Examples of Theoretical and Empirical Support**

- Schneider and Bowen (1985) found that bank customers reported greater service quality when bank managers set standards of high quality customer service.
- Schneider, Parkington, and Buxton (1980) found that bank customers reported higher service quality when bank managers were committed to quality service.
- The National Advisory Commission on Work-Based Learning (1992) found that companies that were most successful in implementing "Total Quality" practiced continuous improvement. This cycle of continuous improvement led to higher quality products and services.

- Bragar (1992) studied 24 organizations with reputations for making significant strides in "Total Quality." She found that the leaders of these organizations placed "enormous, continuing emphasis on embracing the values of quality" (p. 51). Leaders continually promoted the vision of quality throughout the organization.
- Garvin (1983, 1988) studied American and Japanese manufacturing companies and found that the companies that produced the highest quality products had leaders who were deeply committed to quality and clearly communicated this commitment.
- Kouzes and Posner (1987) found that senior executives communication of their company's vision was related to organizational productivity, as well as employee satisfaction and commitment.
- Keston (1992) studied two Government agencies that won public service excellence awards (e.g., organizations that achieved measurable productivity improvements). He found that the leaders in these organizations created a vision that was capable of bringing the workforce to "a new place", and developed commitment for this vision.
- The SCANS report, Government as a High Performance Employer, argues that leadership and support from top management are the most critical components of high performance in Government. Managers must be committed to implementing a system of high performance.
- Peters (1987) studied organizations that have been very successful in implementing quality improvement programs. He found that the managers of all these organizations were obsessed with and committed to quality. For example, quality was at the top of every manager's agenda.
- The 1994 Presidential Award for Quality evaluates organizations on the extent to which their leaders are committed to and involved in creating, maintaining, and communicating a vision and values that are related to quality (Federal Quality Institute, 1993).
- Reimann (1990) found that organizations that scored high on the Malcolm Baldrige National Quality Award had leaders who were "highly visible and very committed and knowledgeable about quality" (p.19)

## **7. VALUING DIVERSITY**

### **Definition**

Organization values differences in employee backgrounds, perspectives, and attitudes; embraces the broadest ethnic, racial, religious, and cultural diversity in the workforce; assures equality of employment and opportunity; works to prevent discrimination, prejudice, and sexual harassment; has policies and programs that promote diversity in the workplace; accepts and accommodates the needs of persons with disabilities; employees treat each other with courtesy and respect.

### **Corresponding Dimensions from Other Sources**

- 1994 FQI Presidential Award for Quality Criteria - Human Resource Development and Management
- Healthy Companies - Valued Diversity
- Dictionary of Occupational Titles - Diversity

### **Examples of Theoretical and Empirical Support**

- The National Advisory Committee on Work-Based Learning (1992) found that companies that have been most successful in implementing "Total Quality" valued diversity among their employees. These companies viewed differences in employee backgrounds and perspectives as an asset. These diversity programs led to greater employee commitment and motivation.
- Gowing and Armitage (1992) argue that valuing cultural diversity is an important human resource practice for attracting and managing the current and future Federal workforce.
- A growing body of research shows that companies that make significant investments in diversity programs have healthier and more productive employees (e.g., Healthy Companies, 1992).
- The National Performance Review (1993) encourages agencies to demonstrate a strong commitment to equal employment opportunity and diversity.

## **8. OPEN COMMUNICATIONS**

### **Definition**

**Organization shares information with employees at all levels; promotes top-down, bottom-up and horizontal information flow; employees receive sufficient and accurate information necessary for performing their jobs; employees and managers exchange information freely; different divisions/departments share information necessary to attain organizational goals.**

### **Corresponding Dimensions from Other Sources**

- **1994 FQI Presidential Award for Quality Criteria - Leadership**
- **OPM Leadership Effectiveness Survey - Communication**
- **Healthy Companies - Open Communications**
- **GSA Climate Assessment Survey - Communication**
- **DoD Climate Survey - Communications**
- **MetLife Employee Attitude Survey - Communication**

### **Examples of Theoretical and Empirical Support**

- **Garvin (1983, 1988) studied American and Japanese manufacturing companies and found that the companies that produced the highest quality products shared information with employees at all levels of the organization. In less successful companies, information was typically only available at higher levels of management.**
- **Steel, Shane, and Kennedy (1990) found a relationship between the accessibility of information in an organization (e.g., co-workers share their ideas and opinions) and employee job satisfaction and commitment to the organization.**
- **Schoorman and Schneider (1988) studied the relationship between different organizational variables and work unit effectiveness in two types of organizations (a university and a financial-services telemarketing organization). Employees reported that the availability of job-relevant information was related to the effectiveness of their work unit.**

- Peters and O'Connor (1980) developed an empirically based taxonomy of organizational factors related to work performance. The taxonomy indicates that the availability of job-related information (e.g., about company rules, procedures, policies) is related to work performance.
- The management literature consistently demonstrates that communication is often the missing link in ineffective organizations (e.g., Lewis, 1987).
- CBOs and human resource executives from Fortune 500 Companies, along with human resource faculty and consultants, indicated that communicating business directions, plans, and problems would be an essential human resource practice for gaining competitive advantage in the 21st century (Towers Perrin, undated).
- The SCANS report entitled, Government as a High Performance Organization, links open communication to high performance in Government.
- The 1994 Presidential Award for Quality evaluates organizations on the extent to which "communication is two-way, clear, open and covers all issues" (Federal Quality Institute, 1993, p. 22)

## 9. EMPLOYEE INVOLVEMENT

### Definition

Organization promotes employee involvement and participation throughout the organization (e.g., in improving products/services/processes, work design, setting organizational goals, making decisions); values the contributions and ideas of employees; solicits employee ideas and suggestions; opens decision-making processes widely within the organization; provides employees with the authority necessary to accomplish work objectives; places a strong emphasis on developing leaders at entry level; employees are responsible for accomplishing work goals; contribute ideas and suggestions.

### Corresponding Dimensions from Other Sources

- 1994 FQI Presidential Award for Quality Criteria - Human Resource Development and Management
- OPM Leadership Effectiveness Survey - Decision Latitude
- Healthy Companies - Employee Involvement
- GSA Climate Assessment Survey - Employee Empowerment and Teamwork; Decision Making
- DoD Climate Survey - Involvement
- Ford Pulse Survey - Empowerment

### Examples of Theoretical and Empirical Support

- The National Advisory Commission on Work-Based Learning (1992) found that the companies that were most successful in implementing "Total Quality" diffused decision-making throughout the organization. These companies experienced improvements in the quality of their products and services.
- Butterfield and Posner (1979) examined factors that were related to the effectiveness (profit, growth) of twenty branch offices of an insurance company. They found that employee power (i.e., the perception of being able to influence what was going on in one's own offices) was the most significant predictor of branch office effectiveness (cited in Kouzes & Posner, p. 164).

- Denison (1984) studied 34 firms representing 25 different industries. He found that employee involvement in work-related decisions predicted the financial performance of organizations (sales and return on investment).
- Schneider and Bowen (1985) found a relationship between employee participation in decision-making and customer perceptions of service quality in banks.
- Bragar (1992) found that organizations that made significant strides in "Total Quality" involved employees at all levels of the organization in making decisions, solving problems, and setting goals.
- Lawler et al. (1992) studied Fortune 1000 companies that used at least one practice aimed at increasing the responsibility of employees (e.g., job enrichment, self-managing work teams, survey feedback). They found that 70% of these companies experienced increased productivity and 60% experienced improved quality (as measured by employee perceptions of the impact of the practices).
- Balutis (1992) interviewed leaders of companies that have won the Malcolm Baldrige National Quality Award and found that these leaders involved all employees in the continuous improvement process. For example, employees were involved in solving and preventing problems, and designing and developing products.
- Tannenbaum and Cooke (1979) conducted research on organizational power and influence in a variety of public and private sector organizations. They found that the "more people believe that they can influence and control the organization, the greater organizational effectiveness and member satisfaction will be" (cited in Kouzes & Posner, 1987, p. 163).
- The organizational development literature suggests that most employees will be more motivated, perform better, and exhibit greater health when they participate in making decisions that directly influence them. Healthy organizations open their decision processes widely within the organization to draw on the fullest range of individual ideas (e.g., Healthy Companies, 1992).
- The job enrichment literature consistently demonstrates that employees are more motivated and satisfied when their jobs are restructured to make them more meaningful and challenging (Hackman & Oldham, 1976; Umstot, Bell, & Mitchell, 1976). One strategy for enriching jobs is to provide employees with greater responsibility and autonomy.
- Participants in the Towers Perrin study (undated) unanimously indicated that full employee involvement would be an important human resource practice for gaining competitive advantage in the 21st century.
- The SCANS Report, Government as a High Performance Employer, links high performance in the public sector to the full involvement of the entire workforce in improving quality.

- The National Performance Review (1993) concluded that "Empowering Employees to Get Results" is critical for creating a more effective Federal Government. Its recommendations include: 1) delegating decision making authority to employees; and 2) holding employees accountable for results.

- The 1994 Presidential Award for Quality evaluates organizations on the degree to which they involve and empower their employees (Federal Quality Institute, 1993).

- Reimann (1990) found that organizations that scored high on the Malcolm Baldrige National Quality Award empowered their employees. "These [employees were] given broad latitude to act on behalf of the company" (p. 23).

- Participative management is an important component of performance management in the Australian public sector. The Australian Public Service Commission (1992) recommends that managers draw on the experiences, knowledge, and suggestions of their employees when designing jobs, setting goals, and making decisions.

- Manz and Sims (1989) challenged the traditional assumptions about leadership practices by suggesting that effective leaders lead others to lead themselves (as opposed to keeping all control and power). They argued that "the principal means of establishing the commitment and enthusiasm necessary to achieve long-term excellence in an organization is to unleash the self-leadership potential within each person" (p. 5). That is, leaders must develop leadership potential in all their employees.

- Block (1987) argued that all employees must assume some aspect of the leadership role in order to create a high performing, customer-oriented organization.

## 10. TEAMWORK

### Definition

Organization encourages teamwork and cooperation; fully involves teams in improving products/services/work processes and solving problems; provides team-based incentives; departments coordinate their efforts to achieve organizational goals; employees cooperate to accomplish work objectives.

### Corresponding Dimensions from Other Sources

- 1994 FQI Presidential Award for Quality Criteria - Human Resource Development and Management
- OPM Leadership Effectiveness Survey - Teamwork
- GSA Climate Assessment Survey - Employee Empowerment and Teamwork
- DoD Climate Survey - Cooperation
- Ford Pulse Survey - Workgroup/Teamwork
- MetLife Employee Attitude Survey - Working Relationships; Coordination and Organization

### Examples of Theoretical and Empirical Support

- Schneider, Wheeler, and Cox (1992) demonstrated that support, coordination, and cooperation between functional units was necessary to create an organizational climate that facilitates the delivery of high quality services.
- Sheridan (1992) found that accounting firms that had team-oriented cultures experienced less turnover than accounting firms that did not have team-oriented cultures.
- Steel, Shane, and Kennedy (1990) found a positive relationship between group cohesion (e.g., a spirit of teamwork among coworkers) and employee attitudes, such as job satisfaction and commitment to the organization. Group cohesion also predicted employee turnover and absenteeism.
- Bragar (1992) found that organizations that had reputations for making significant strides in "Total Quality" used teams in the quality improvement process (e.g., to make decisions, set goals, develop ideas, and solve problems).

- Peters (1987) found that companies that were most successful in quality improvements used cross-functional teams.
- Research in NCR Corporation indicated that high quality plants (e.g., plants that had effective quality programs, high quality products) placed a greater emphasis on cooperation and teamwork than low quality plants (Ulrich, Halbrook, Meder, Stuchlik, & Thorpe, 1991).
- The Towers Perrin study (undated) revealed that the use of cross-functional teams/work groups would be an important human resource practice for increasing the competitive advantage of organizations in the 21st century.
- Shea and Guzzo (1987) studied an organization that introduced team-based rewards and found that it experienced improved customer service (as reported by sales teams). The organization also experienced higher overall sales.
- The 1994 Presidential Award for Quality evaluates organizations on the degree to which their managers support teamwork (Federal Quality Institute, 1993).
- The SCANS Report, Government as a High Performance Organization, links teamwork and team-based incentives to high performance in Government.

## 11. HEALTH-ENHANCING WORK ENVIRONMENTS

### Definition

Organization provides a pleasant, healthy, and safe work environment; works to prevent physical and psychological harm in the workplace; provides programs that encourage good health practices; creates physical conditions (e.g., temperature, noise, cleanliness) that are conducive to effective performance; provides work space and physical facilities that are acceptable.

### Corresponding Dimensions from Other Sources

- 1994 FQI Presidential Award for Quality - Human Resource Development and Management
- Healthy Companies - Health-Enhancing Work Environments
- OPM Leadership Effectiveness Survey - Working Environment
- GSA Climate Assessment Survey - Environment
- MetLife Employee Attitude Survey - Management Practices and Working Conditions

### Examples of Theoretical and Empirical Support

- Peters and O'Connor (1980) developed an empirically based taxonomy of organizational factors related to work performance. This taxonomy indicates that the following aspects of the work environment are related to work performance: temperature, noise, lighting, appropriateness of the work area, and safety.
- Schoorman and Schneider (1988) found that the physical conditions and safety of work facilities were related to employee perceptions of the effectiveness of their work unit.
- The work design and ergonomics literatures show that the arrangement of the work environment has a major effect on employee health (e.g., Healthy Companies, 1992).
- Corbin (1992) argues that the work environment of an office is related to employee productivity. She argues that the key to higher employee productivity may be as easy as reorganizing office space.
- The National Performance Review report (1993) discusses the importance of maintaining a safe and healthy workplace.
- The 1994 Presidential Award for Quality evaluates organizations on the extent to which they provide services to improve employee well-being (Federal Quality Institute, 1993).

• The Australian public sector provides its employees with a safe and healthy working environment. This human resource practice is based on the assumption that "a harmonious workplace contributes to morale, behavior, and performance" (The Australian Public Service Commission, 1992, p. 51).

## 12. RESOURCE ALLOCATION/UTILIZATION

### Definition

Organization provides resources (e.g., personnel, supplies, equipment) necessary for effective job performance; makes appropriate materials and supplies available; has sufficient personnel with job-relevant competencies; keeps interruptions to a minimum; employee workloads are appropriate.

### Corresponding Dimensions from Other Sources

- OPM Leadership Effectiveness Survey - Resource Allocation/Utilization
- GSA Climate Assessment Survey - Environment
- DoD Climate Survey - Task Characteristics
- Ford Pulse Survey - Workload/Stress
- MetLife Employee Attitude Survey - Management Practices and Working Conditions; Workload

### Examples of Theoretical and Empirical Support

- Schneider and his associates have consistently found that bank customers report higher service quality when the bank's equipment and facilities are appropriate and well-maintained, and when staff are sufficient in numbers (Schneider & Bowen, 1985; Schneider, Parkington, & Buxton, 1980).
- Peters and O'Connor (1980) developed an empirically based taxonomy of organizational factors related to work performance. The taxonomy indicates that the availability of tools, equipment, materials, and supplies that are necessary to do the job is related to work performance.
- Olson, Borman, Roberson, and Rose (1984) found that the presence of appropriate resources, tools, and equipment was related to work performance. They also found that the size of employee workloads was related to performance.

### 13. FAMILY/WORK/LIFE BALANCE

#### Definition

Organization creates conditions that help employees balance family and personal life needs and work demands; respects and supports family relationships and outside companionships; promotes a family-friendly culture through such practices as flexible hours, home-work options, and family-related benefits (e.g., parental leave policies, and employer-organized child care).

#### Corresponding Dimension from Other Sources

- 1994 FQI Presidential Award for Quality Criteria - Human Resource Development and Management
- OPM Leadership Effectiveness Survey - Personnel Policies
- Healthy Companies - Family/Work/Life Balance

#### Examples of Theoretical and Empirical Support

- A growing body of research shows that organizations that promote such practices as flexible work schedules and work-family programs have employees who are healthier and more productive at work (e.g., Healthy Companies, 1992).
- Kopelman (in press) reviewed 27 different studies on the impact of flexible work schedules and found, in general, positive effects on productivity and absenteeism. Most of this research was done on clerical occupations.
- The introduction of on-site child care facilities has been linked to reduced employee turnover (Youngblood and Chambers-Cook, 1984).
- Family-related benefits and programs have been linked to employee morale, job satisfaction, and commitment to the organization (Youngblood and Chambers-Cook, 1984).
- There is some evidence that company-sponsored child care is related to an organization's ability to attract and retain a qualified workforce. For example, these programs have been linked to an individual's acceptance of a job offer (Ransom, Aschbacher, & Barud, 1989).
- The Towers Perrin study (undated) revealed that promoting flexible work arrangements is a human resource practice that would increase an organization's competitive advantage in the 21st century.

● Zedeck and Mosier (1990) discuss the role of employee work-family programs (e.g., alternative work schedules, child and dependent care, employee assistance programs) in reducing employee stress, absenteeism, and turnover.

● The National Performance Review (1993) recommends that the Federal Government update and expand its "family-friendly workplace options" (e.g., compressed/flexitime, part-time, and job sharing work schedules, Flexiplace).

● The General Accounting Office (1992) report, The Changing Workforce: Comparison of Federal and Nonfederal Work/Family Programs and Approaches, recommends that Government agencies adopt work-family related programs. The report indicates that these programs may be related to productivity in the public sector.

● The U.S. Merit Systems Protection Board (1991) report, Balancing Work Responsibilities and Family Needs: The Federal Civil Service Response, recommends that Federal agencies implement programs to balance work and personal life (e.g., alternative work schedules, child care, part-time employment and job-sharing, flexiplace). The report suggests that these programs are necessary if the Federal Government is to attract, motivate, and retain a highly qualified workforce.

● Shellenbarger (1991) argues that family-friendly policies help organizations recruit and retain employees.

● The Australian public service provides its employees with flexible work hours to enhance the quality of working life, and to attract and retain high quality individuals (Australian Public Service Commission, 1992).

## 14. SUPERVISION/MANAGEMENT

### Definition

Supervisors communicate a clear understanding of task responsibilities, work goals, priorities and performance standards; monitor employee performance; provide constructive performance feedback to employees; provide employees with assistance and guidance necessary for effective performance; support employees; and provide fair ratings of employee performance.

### Corresponding Dimensions from Other Sources

- OPM Leadership Effectiveness Survey - Managerial Practices
- GSA Climate Assessment Survey - Leadership
- Ford Pulse Survey - Supervision
- MetLife Employee Attitude Survey - Supervision; Performance Standards and Feedback

### Examples of Theoretical and Empirical Support

- Schneider and Bowen (1993) found that supervisory behaviors, such as providing feedback and sharing information, were related to bank customer reports of service quality.
- Schoorman, Schechter, Moeller, & Schneider (1988) conducted a study in a financial services telemarketing organization and found a significant relationship between supervisory behaviors and the sales performance of fifteen different work units.
- The goal setting literature consistently demonstrates that employee performance is improved when supervisors set clear, specific, and challenging goals (e.g., Locke and Latham, 1984).
- Carnevale (1992) surveyed employees in a large state government agency and found that the development of strong supervisor/employee relationships was strongly related to high levels of organizational trust (i.e., employees' trust in their organization). Examples of supervisory behaviors that were related to organizational trust were supervisor confidence and support, feedback, and approachability.

• Supervision is an important component of performance management in the Australian public sector. Supervisors assume the role of developing employees, monitoring employee performance, providing regular performance feedback, communicating the priorities and goals of the work unit, and setting performance standards. The Australian Public Service Commission (1992) warns that ineffective supervision can reduce the effectiveness of a work unit.

## 15. SOCIAL RESPONSIBILITY

### Definition

Organization promotes the social well-being of the community; sponsors and supports employee involvement in community affairs (e.g., through charity work, community service, partnerships with schools); commits itself to preserve and restore environmental health; raises environmental consciousness throughout its workforce and communities.

### Corresponding Dimensions from Other Sources

- 1994 FQI Presidential Award for Quality Criteria - Leadership
- Healthy Companies - Community Responsibility; Environmental Protection

### Examples of Theoretical and Empirical Support

- There is a body of research that has begun to link private sector corporate social responsibility (e.g., charitable donations, volunteer work, cleaning up the environment) with the financial performance of organizations (Healthy Companies, 1992).
- One evaluation criteria for the 1994 Presidential Award for Quality is the extent to which organizations are committed to public health, community service, and environmental protection (Federal Quality Institute, 1993).

## 16. JOB SECURITY/COMMITMENT TO WORKFORCE

### Definition

Organization recognizes that its effectiveness depends on the commitment and morale of its employees; provides job security; seeks to develop a long-term core workforce; provides assistance for employees affected by reductions in force; maintains a workforce that is flexible in its work roles and in learning new skills; periodically retrains employees.

### Corresponding Dimensions from Other Sources

- Healthy Companies - Common Economic Security

### Examples of Theoretical and Empirical Support

- Carnevale (1992) found a strong relationship between state government employee reports of job security and organizational trust (i.e., employee trust in their organization).
- Research in NCR Corporation revealed that high quality plants (e.g., plants with effective quality programs, high quality products) had employees who perceived greater job security than low quality plants (Ulrich, Halbrook, Meder, Stuchlik, and Thorpe, 1991)
- Healthy Companies (1992) argues that downsizing of the workforce is unfair, and leads to weakened loyalty of and performance by employees who remain in the organization. There are economic benefits to keeping experienced, dedicated employees.
- Solomon (1992) suggests that an organization's commitment to its employees will result in employee commitment to the organization.

## 17. STRATEGIC PLANNING

### Definition

Organization plans for its future; monitors and responds to its external environment; develops and updates quality improvement goals; has goals that require it to strive for excellence; integrates performance and quality improvement goals into its overall strategic and budget planning process; incorporates input from employees, customers, and suppliers in the planning process; assesses the extent to which it is meeting its goals and objectives.

### Corresponding Dimensions from Other Sources

- 1994 FQI Presidential Award for Quality Criteria - Strategic Quality Planning
- OPM Leadership Effectiveness Survey - Quality Orientation
- GSA Climate Assessment Survey - Strategic Planning
- DoD Climate Survey - Strategic Focus

### Examples of Theoretical and Empirical Support

- Keston (1992) studied two Government agencies that won public service excellence awards (e.g., organizations that made measurable productivity improvements) and found that both incorporated environmental considerations and the latest technological advances into the planning process.
- The SCANS report, Government as a High Performance Employer, links strategic planning to high performance in Government. "Through the strategic planning process, achieving quality improvement becomes a part of the day-to-day management of an organization" (p. 4). This report also recommends that organizations involve all employees in the design of the strategic plan.
- Reimann (1990) found that organizations that scored high on the Malcolm Baldrige National Quality Award integrated their business plan with their quality goals and strategies. These organizations focussed on long-term planning.
- Locke et al. (1992) argue that organizations must develop strategic plans to achieve their vision. If an organization wants to achieve a vision of producing the highest quality products and services, it must develop an overarching plan that incorporates this vision.

• The 1994 Presidential Award for Quality evaluates organizations on their strategic planning process and on the extent to which key quality requirements are integrated into overall planning (Federal Quality Institute, 1993).

## 18. MEASUREMENT AND ANALYSIS

### Definition

Organization collects and uses data, information, and measures to improve quality and operational performance; uses processes and technologies to ensure information collected is reliable and valid; collects/uses benchmark data (e.g., on product and service quality, business processes); performs comprehensive assessments of the quality of its systems, work processes, and products/services, and uses results to improve quality; sets quality standards for internal support functions and suppliers.

### Corresponding Dimensions from other Sources

- 1994 Presidential Award for Quality Criteria - Information and Analysis; Management of Process Quality
- GSA Climate Assessment Survey - Measurement and Analysis; Quality Assurance
- Ford Pulse Survey - Quality Emphasis

### Examples of Theoretical and Empirical Support

- Schay (1993) conducted a study of 19 Government agencies to identify criteria for effective human resource management programs. She found that top-rated agencies (ratings were based on survey responses to TQM and personnel service delivery scales) were more involved in measurement of results than lower rated agencies. Top rated agencies "knew how to measure effectiveness" and tended to "measure results of strategic planning" (p. 47).
- Ernst & Young (1992) conducted a study to identify management practices that were related to organizational performance (profitability, productivity, and quality). The following practices were related to performance improvements for medium performing organizations: 1) widespread and periodic measurement of the results of improvement efforts; and 2) the use of the results-based information to drive further improvements. Additionally, benchmarking was a practice that was related to the maintenance of strong performance by high performing organizations.
- The 1994 Presidential Award for Quality evaluates organizations on the effectiveness of their collection and analysis of information for quality improvement and planning.

- The "Government Performance and Results Act of 1993" requires all agencies to measure program performance against goals and report on their progress. This law requires the establishment of a performance measurement system in Federal agencies.

- Reimann (1990) found that organizations that won the Malcolm Baldrige National Quality Award measured their performance in key areas of products, services, and business processes, and benchmarked their performance against the most successful companies. These organizations regularly monitored the performance of "systems and individuals".

- Wellins, Ginnodo, Day, Colteryahn, Mussitsch, and Price (1993) studied over 500 organizations to identify the best practices of organizations that are successful at implementing total quality management (TQM). Managers and employees indicated that the use of performance measurement and benchmarking practices were important to the success of their organization's TQM effort.

- The International Benchmarking Clearinghouse (1992) conducted a study to determine the state of benchmarking in American industry. It sampled 76 organizations in diverse industries and found that many of the nation's leading companies practice benchmarking (i.e., compare their performance to the performance of other companies that are recognized as successful).

## REFERENCES

- Australian Public Service Commission. (1992). A framework for human resource management in the Australian public service. Australia: Microdata.
- Balutis, A. P. (1992). Leadership in a time of change. The Public Manager, 21 (3), 21-22.
- Bartel, A. (in press). Productivity gains from the implementation of employee training programs. Industrial Relations.
- Bennis, W. G., & Nanus, B. (1985). Leaders: The strategies for taking charge. New York: Harpers and Row.
- Block, P. (1987). The empowered manager: Positive political skills at work. San Francisco: Jossey-Bass, Inc.
- Bragar, J. (1992, May). The customer-focused quality leader. Quality Progress, 51-53.
- Butterfield, D. A., & Posner, B. Z. (1979). Task-relevant control in organizations. Personnel Psychology, 32, 725-740.
- Carnevale, D. G. (1992). Trust in the public sector: Individual and organizational determinants. Administration and Society, 23 (4), 471-494.
- Corbin, L. (1992, November). The productive office. Government Executive, 25-36.
- Denison, D. R. (1984). Bringing corporate culture to the bottom line. Organizational Dynamics, 12, 4-22.
- Driscoll, J. W. (1978). Trust and participation in organizational decision making as predictors of satisfaction. Academy of Management Journal, 21 (1), 44-56.
- Ernst & Young (1992). Best practices report: An analysis of management practices that impact performance. Cleveland: Author.
- Federal Quality Institute (1993). Presidential Award for Quality: 1994 Application. Washington, DC: Author.
- Ford Motor Company. Ford Pulse Survey (Unpublished survey). Dearborn, MI: Author.
- Garvin, D. A. (1983). Quality on the line. Harvard Business Review, 65-75.
- Garvin, D. A. (1988). Managing quality. New York: Free Press.

- General Accounting Office (1992). The changing workforce: Comparison of Federal and nonfederal work/family programs and approaches. Washington, DC: Author.
- General Research Corporation. (1989). Department of Defense Climate Survey (Unpublished survey). Arlington, VA: Author.
- General Services Administration. GSA Climate Assessment Survey. (Unpublished survey). Washington, DC: Author.
- Gowing, M. K., & Armitage, M. A. (1992). Federal Government initiatives for managing cultural diversity. Paper presented at the All Academy Symposium on cultural diversity in a global perspective: Opportunities and challenges.
- Guzzo, R. A., Jette, R. D., & Katzell, R. A. (1985). The effects of psychologically based intervention programs on worker productivity: A meta-analysis. Personnel Psychology, 38, 275-291.
- Hackman, J. R., & Oldham, G. R. (1976). Motivation through the design of work: Test of a theory. Organizational behavior and human performance, 16, 250-279.
- Healthy Companies. (1992). Pathways to organizational health: A new program to transform the way we organize, lead, and accomplish work in America. (Draft). Washington, DC: Author.
- International Benchmarking Clearinghouse. (1992). Surveying industry's benchmarking practices: Executive summary. Houston: Author.
- Kanter, R. B. (1982). The middle manager as innovator. Harvard Business Review, 60, 95-105.
- Keston, J. B. (1992). Dimensions of excellence: Changing organizational culture. The public manager, 21 (3), 17-20.
- Kopelman, R. (in press). Alternative work schedules. In Hodson (Ed.), Maynard's industrial engineering handbook, (4th edition). New York: McGraw Hill.
- Kouzes, J. M., & Posner, B. Z. (1987). The leadership challenge: How to get extraordinary things done in organizations. New York: Free Press.
- Lawler, E., and Associates (1992). Employee involvement and total quality management. San Francisco: Jossey-Bass.
- Lewis, P. V. (1987). Organizational communication. New York: John Wiley & Sons, Inc.

- Locke, E. A., & Latham, G. P. (1984). Goal setting: A motivational technique that works. Englewood Cliffs, NJ: Prentice Hall.
- Locke, E. A., Kirkpatrick, S., Wheeler, J. K., Schneider, J. L., Niles, K., Goldstein, H., Welsh, K., & Chah, D. (1992). The essence of leadership. New York: Lexington Books.
- Manz, C., & Sims, H. (1989). Superleadership. Englewood Cliffs, NJ.: Prentice Hall.
- Metropolitan Life. MetLife Employee Attitude Survey (Unpublished survey).
- National Advisory Commission on Work-Based Learning (1992). Washington, DC: U.S. Department of Labor (Draft).
- National Performance Review (1993). From red tape to results: Creating a Government that works better and costs less. Washington, D.C.: U.S. Government Printing Office.
- Olson, D. M., Borman, W. C., Roberson, L., & Rose, S. R. (1984). Relationships between scales on the Army work questionnaire and measures of performance. Paper presented at the 92nd Annual Meeting of the American Psychological Association, Toronto.
- Ouchi, W. G., & Johnson, J. B. (1978). Types of organizational control and their relationship to emotional well-being. Administrative Quarterly, 23, 293-317.
- Peters, T. (1987). Thriving on chaos: Handbook for a management revolution. New York: Harpers & Row.
- Peters, L. H., & O'Connor, E. J. (1980). Situational constraints and work outcomes: The influences of a frequently overlooked construct. Academy of Management Review, 5, 391-397.
- Peters, T., & Waterman, R. H., Jr. (1982). In search of excellence: Lessons from America's best-run companies. New York: Harper & Row.
- Ransom, S., Aschbacher, P., and Burud, S. (1989). The return in the child-care investment. Personnel Administrator, 34, 54-58.
- Reimann, C. W. (1990). Winning strategies for the Malcolm Baldrige Award. Journal of Quality Management, 9-25,
- Schay, B. W. (1993). Rethinking traditional Federal personnel: Why do we do what we do and how can we better serve our customers? (Unpublished report). Washington, DC: U.S. Office of Personnel Management.

- Schneider, B., & Bowen, D. B. (1985). Employee and customer perceptions of service in banks: Replication and extension. Journal of Applied Psychology, 21, 323-333.
- Schneider, B., & Bowen, D. B. (1993). The service organization: Human resource management is crucial. Organizational Dynamics, 21 (4), 39-52.
- Schneider, B., & Gunnarson, S. (1990). Organizational climate and culture: The psychology of the workplace. In J. W. Jones, B. D. Steffey, & D. Bray (Eds.), Applying psychology in business: The manager's handbook. Lexington, MA: Lexington Books.
- Schneider, B., Parkington, J. J., & Buxton, V. M., (1980). Employee and customer perceptions of service in banks. Administrative Science Quarterly, 25, 252-267.
- Schneider, B., Wheeler, J. K., & Cox, J. F. (1992). A passion for service: Using content analysis to explicate service climate themes. Journal of Applied Psychology, 77 (5), 705-716.
- Schoorman, D. F., & Schneider, B. (1988). Grappling with work facilitation: An evolving approach to understanding work effectiveness. In B. Schneider and D. F. Schoorman (Eds.), Facilitating work effectiveness. Lexington, MA: Lexington Books.
- Schoorman, D. F., Schechter, D., Moeller, A., & Schneider, B. (1988). Facilitating work effectiveness through leadership and management. In D. F. Schoorman and B. Schneider (Eds.), Facilitating work effectiveness. Lexington, MA: Lexington Books.
- Secretary's Commission on Achieving Necessary Skills. Government as a high performance employer. A SCANS report for America 2000. Washington, DC: U.S. Department of Labor.
- Shea, G. P., & Guzzo, R. A. (1987). Group effectiveness: What really matters? Sloan Management Review, 3, 25-31.
- Shellenbarger, S. (1991, November). More job seekers put family needs first. The Wall Street Journal, B1.
- Sheridan, J. B. (1992). Organizational culture and employee retention. Academy of Management Journal, 35, 1036-1056.
- Solomon, C. M. (1992). The loyalty factor. Personnel Journal, 9-15.
- Steel, R. P., Shane, G. S., & Kennedy, K. A. (1990). Effects of social-system factors on absenteeism, turnover, and performance. Journal of Business and Psychology, 4 (4), 423-430.

Tannenbaum, A., & Cooke, R. A. (1979). Organizational control: A review of studies employing the Control Graphics Method. In D. J. Hickson and C. J. Lammers (Eds.), Organizations alike and unlike. London: Routledge & Kegan Paul.

Towers Perrin. (undated). Priorities for competitive advantage: A worldwide human resource study. Rosslyn, VA: IBM.

Ulrich, D., Halbrook, R., Meder, D., Stuchlik, M., & Thorpe, S. (1991). Employee and customer attachment: Synergies for competitive advantage. Human Resource Planning, 14 (2), 89-104.

Umstot, D. D., Bell, C. H., & Mitchell, T. R. (1976). Effects of job enrichment and task goals on satisfaction and productivity: Implications for job design. Journal of Applied Psychology, 61, 379-394.

United States Merit Systems Protection Board (1991). Balancing work responsibilities and family needs: The Federal Civil Service response. Washington, D. C.: Author

United States Office of Personnel Management. (1991). Leadership Effectiveness Survey (Unpublished survey). Washington, DC: Author.

Wellins, R. S., Ginnodo, W. L., Day, C. R., Jr., Colteryahn, K. L., Mussitsch, K., & Price, D. (1993). TOM: Forging ahead or falling behind—A study of quality practices. Pittsburgh: Development Dimensions International.

Youngblood, S. A., & Chambers-Cook, K. (1984). Child care assistance can improve employee attitudes and behavior. Personnel Administrator, 45, 93-95.

Yukl, G. A. (1989). Leadership in organizations. Englewood Cliffs, NJ: Prentice-Hall, Inc.

Zedeck, S., & Mosier, K. L. (1990). Work in the family and employing organization. American Psychologist, 45, 240-251.

## Appendix A: OPM's Organizational Assessment Survey (OAS) Dimension Crosswalk

OPM ORGANIZATIONAL ASSESSMENT SURVEY (OAS) DIMENSION CROSSWALK

OPM ORGANIZATIONAL ASSESSMENT SURVEY (OAS)	HEALTHY COMPANIES PATHWAYS	1994 FQI PRESIDENTIAL AWARD FOR QUALITY CRITERIA	GSA CLIMATE ASSESSMENT SURVEY	DEPART. OF DEFENSE CLIMATE SURVEY	OPM LEADERSHIP EFFECTIVENESS SURVEY (LES)	DICTIONARY OF OCCUPAT. TITLES	FORD PULSE SURVEY*	METLIFE EMPLOYEE ATTITUDE SURVEY*
Dimension 1 Fairness and Treatment of Employees	Institutional Fairness					Institutional Fairness		
Dimension 2 Training and Career Development	Learning and Renewal						Training and Development	Training Career Opportunities
Dimension 3 Rewards/Recognition	Equitable Rewards and Recognition	Human Resource Development and Management	Employee Training and Recognition	Consequential Constraints	Personnel Policies*		Quality Emphasis*	Recognition Compensation
Dimension 4 Innovation and Risk Taking	People-Centered Technology		Creativity and Innovation	Strategic Focus*	Innovation			
Dimension 5 Customer Focus	Meaningful Work	Customer Focus and Satisfaction Management of Process Quality*	Client Focus	Customer Orientation		Customer Focus	Quality Emphasis* External Customer Focus	Quality
Dimension 6 Leadership and Commitment to Quality		Leadership*	Top Management Leadership and Support	Leadership and Management Strategic Focus*			Quality Emphasis* Supervision*	

OPM ORGANIZATIONAL ASSESSMENT SURVEY	HEALTHY COMPANIES PATHWAYS	FBI PRESIDENTIAL AWARD FOR QUALITY CRITERIA	GSA CLIMATE ASSESSMENT SURVEY	DEPART. OF DEFENSE CLIMATE SURVEY	OPM LEADERSHIP EFFECTIVENESS SURVEY	DICTIONARY OF OCCUPAT. TITLES	FORD PULSE SURVEY	METLIFE EMPLOYEE ATTITUDE SURVEY
Dimension 7 Valuing Diversity	Valued Diversity	Human Resource Development and Management*				Diversity		
Dimension 8 Open Communications	Open Communications	Leadership*	Communication	Communications	Communication			Communication
Dimension 9 Employee Involvement	Employee Involvement	Human Resource Development and Management*	Decision-Making	Involvement	Decision Latitude		Empowerment	
Dimension 10 Teamwork			Employee Empowerment and Teamwork	Cooperation	Teamwork		Workgroup/ Teamwork	Working Relationships _____ Coordination and Organization
Dimension 11 Health-Enhancing Work Environments	Health-Enhancing Work Environments		Environment		Working Environment			Management Practices and Working Conditions
Dimension 12 Resource Allocation/ Utilization				Task Characteristics	Resource Allocation/ Utilization		Workload/ Stress	_____ Workload

OPM ORGANIZATIONAL ASSESSMENT SURVEY	HEALTHY COMPANIES PATHWAYS	FQI PRESIDENTIAL AWARD FOR QUALITY CRITERIA	GSA CLIMATE ASSESSMENT SURVEY	DEPART. OF DEFENSE CLIMATE SURVEY	OPM LEADERSHIP EFFECTIVENESS SURVEY	DICTIONARY OF OCCUPAT. TITLES	FORD PULSE SURVEY*	METLIFE EMPLOYEE ATTITUDE SURVEY*
Dimension 13 Family/Work/Life Balance	Family/Work/Life Balance	Human Resource Development and Management*			Personnel Policies*			
Dimension 14 Supervision/Management			Leadership		Managerial Practices		Supervision*	Supervision Performance Standards and Feedback
Dimension 15 Social Responsibility	Community Responsibility Environmental Protection	Leadership*						
Dimension 16 Job Security and Commitment to Work Force	Common Economic Security							
Dimension 17 Strategic Planning		Strategic Quality Planning	Strategic Planning	Strategic Focus*	Quality Orientation*			
Dimension 18 Measurement and Analysis		Information and Analysis Management of Process Quality*	Measurement and Analysis Quality Assurance				Quality Emphasis*	