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MANPOWER PLANNING & DEVELOPMENT

for

FOREIGN SERVICE OFFICERS

in

THE DEPARTMENT OF EXTERNAL AFFAIRS

Volume II

DETAILED REPORT

NON - CIRCULATING /
CONSULTEUR SUR PLACE

A Study Conducted By
The Personnel Consulting Division
Bureau of Management Consulting Services
Department of Supply and Services

March - 1969

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I

TERMS OF REFERENCE

1. The terms of reference of this project, which was undertaken at the direction of Mr. Marcel Cadieux, Under-Secretary of State for External Affairs, may be summarized as follows :

To recommend new or revised policies and procedures which the Department of External Affairs should pursue to ensure that it will have adequate numbers of experienced foreign service officers to meet its future commitments, with special reference to:

- A (1) The forecasting of manpower requirements;
- (2) Recruitment policies and procedures;
- B (1) Training programmes at the new entry and middle rank levels;
- (2) Assignment policies and practices;
- C (1) The deployment and utilization of existing FSO resources;
- (2) The identification of related staff resources which must be available to enable FSOs to function effectively.

2. Texts of documents containing full statements of the terms of reference may be found in Appendix I.

II

BACKGROUND

3. The occasion for this project has been a severe shortage of experienced and qualified Foreign Service Officers -- particularly at the middle levels -- to cope with the various demands that have been placed on the Department. Many officers who have been concerned with personnel management over the last twenty years, however, share the impression that while this shortage may be more or less acute at any given time, the situation has been virtually chronic since the war. Quite apart, therefore, from the immediate deficiency in the middle rank levels, (122 officers on strength as compared to 199 positions in grades 3 and 4) there is a sizable problem of long standing nature which demands a root and branch enquiry and a fresh approach to a solution.
4. Against this history of chronic and occasionally acute shortage of FSOs to do the work assigned to the Department, we have explored the problems identified in our terms of reference under three main headings -- staffing or manning the foreign service, the training and development of FSOs, and the utilization of FSOs. Our methods have been slightly different in each case.
5. With respect to the manning problem, we analysed the Department's past practices in this field to identify the reasons for the chronic and acute shortage of officers that were the original occasion for the enquiry, and went on from there to design a manpower planning programme that should enable the Department to avoid the recurrence of such shortages in the future.

6. With respect to the training and development of FSOs, our procedure was to make an analytical study of the work requirements of the Department, and to supplement and support this study with a behavioural research project which was carried out by Dr. David Jackson of David Jackson and Associates, Psychological Research Consultants, Toronto. On the basis of our analytical study and Dr. Jackson's research we have identified training needs and developed proposals for training and development programmes.

7. With regard to the utilization of foreign service officers we undertook a sample study to see whether many FSOs were being assigned work which should be done by other classes of employee, whether there was duplication of effort which could be eliminated by organizational improvements, and whether FSOs were using support employees effectively. For this purpose we interviewed the Heads of a number of divisions in which questions of utilization seemed most likely to arise and also the Personnel Director of the Canadian International Development Agency and the Director General of Personnel in the Department of External Affairs with respect to FSO utilization on aid work. This part of the project was carried out as a sample study rather than a survey in depth.

8. In drawing up our recommendations we have tried to keep in mind the future requirements of the Department so far as we can discern them. The officers who will be most affected by our recommendations -- those who have recently joined the service and those who will do so in the next few years -- are not the same as those who joined the Department twenty or more years ago. The table in Figure 1 points up some of the differences between officers who joined the Department in 1947, 1948 and 1949 and those who joined in 1967.

FIGURE 1

COMPARISON OF FSOs JOINING EXTERNAL AFFAIRS
AS JUNIOR OFFICERS IN 1947/48/49 and 1967

	1947/48/49 (Total 48 officers)		1967 (Total 61 officers)	
	<u>Number</u>	<u>Per cent</u>	<u>Number</u>	<u>Per cent</u>
1. Birth place				
Outside Canada	7	14.5%	14	22.9
Maritimes	5	10.4	3	4.9
Ontario	14	29.1	11	18.0
Quebec	12	25.0	26	42.6
West	10	20.8	7	11.4
2. Age				
Under 25	7	14.5	25	41.
25-30	25	52.	30	49.1
30 and over	16	33.3	6	9.8
3. Education				
BA only	10	20.8	6	9.8
Lawyers	14	29.4	9	14.7
MA or License	15	31.6	32	52.4
Ph.D.	3	6.2	8	13.1
Other post-grad. degrees	6	12.5	17	27.8
4. Experience				
Military Service	43	89.5	6	9.8
Other experience	29	60.4	37	60.6
No experience	0		20	32.7

Note

From this table it can be seen that a greater proportion of officers who joined in 1967 were born outside Canada than was the case twenty years earlier. Officers in the 1967 group on the whole tended to be younger, better educated (in terms of degrees obtained) and to have had relatively less pre-departmental working experience than their colleagues who joined twenty years earlier.

9. Other differences which the table does not record are those relating to the general social background of the period in which the older officers grew up. A large proportion of those who joined the Department shortly after the war had spent their youth in the atmosphere of the great depression, a circumstance which greatly conditioned their attitude towards their jobs and their expectations of what their employer might do for them. Many of these officers who were in the armed forces during the war became accustomed to make-shift conditions, making do in jobs for which they were not trained and improvising with what was available.
10. For officers who join the service now, the depression and the war have subsided into history. Their attitudes towards their jobs and what can be expected from their employers have been affected by the boom conditions which have prevailed during much of the post-war period. One may perhaps generalize to the extent of saying that they do not feel called upon to accept make-shift conditions or an employment situation that does not reflect a lively interest on the part of management in the development of new personnel. Management in government as elsewhere is expected to be ready to spend money and provide facilities to enable employees to reach their potential quickly -- a circumstance which will benefit the organization as much as the employee.
11. With these thoughts in mind we have endeavoured to adapt the recommendations in this report to the capacities and attitudes of officers who have joined the Department in the late 1960's and who will be joining it in the next few years.

III

STAFFING THE FOREIGN SERVICE

12. In this chapter we propose:

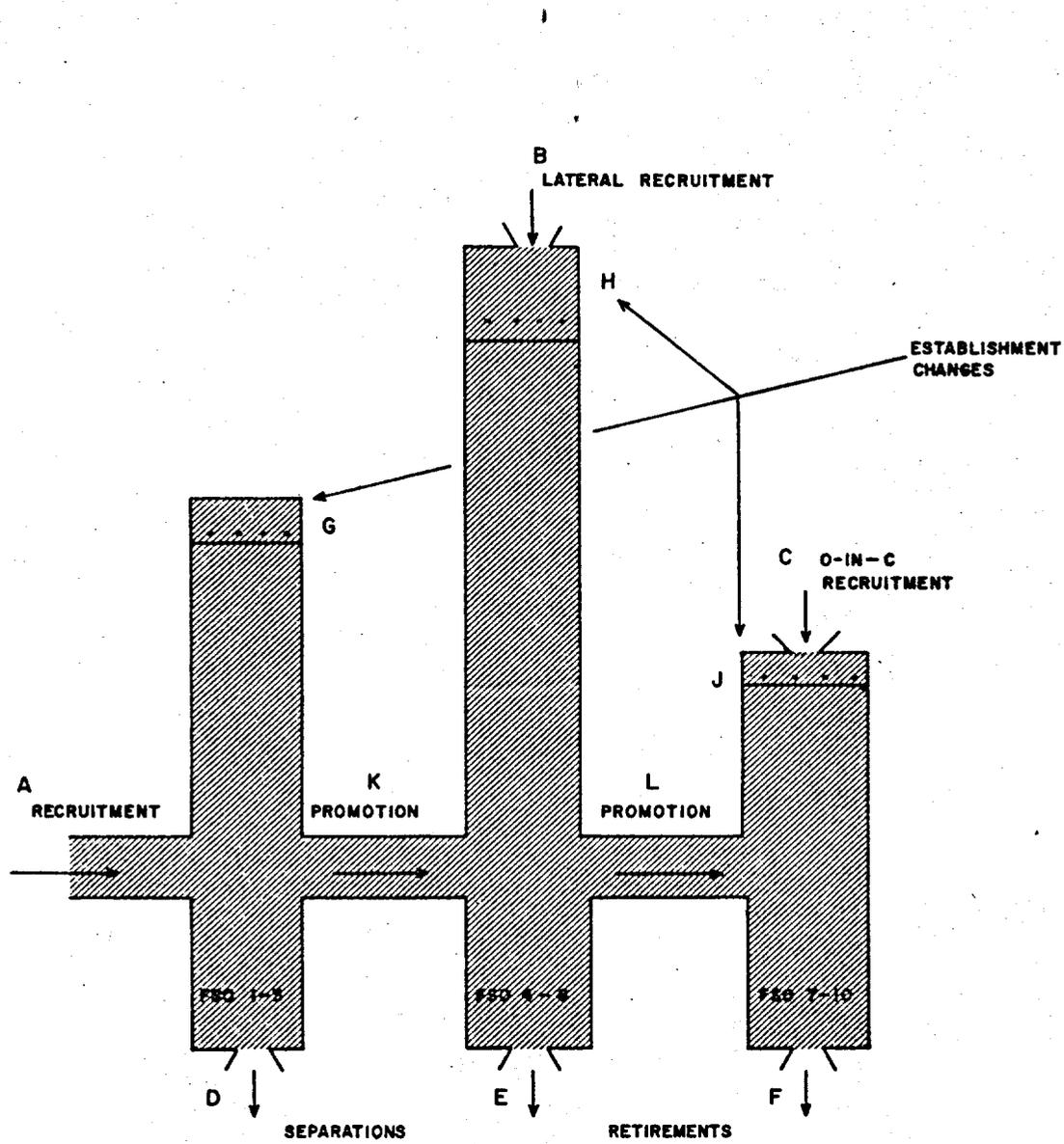
- (a) to ascertain how the FSO personnel system works with respect to the acquisition and loss of manpower and to identify the controls important to the proper management of the system;
- (b) to identify reasons for the chronic shortage of foreign service officers and the current acute shortage of middle grade FSOs;
- (c) to suggest some short-term remedies for these shortages;
- (d) to recommend a manpower planning programme which will enable the Department to avoid manpower shortages and associated personnel problems in the future;
- (e) to outline some preliminary personnel tasks that must be undertaken in starting a manpower planning programme;
- (f) to examine the problem of separation rates and how they can be controlled; and
- (g) to discuss recruitment in its various aspects.

A. ANALYSIS OF THE FSO PERSONNEL SYSTEM -
ACQUISITION AND LOSS OF PERSONNEL

13. In order to identify the reasons for the shortages of FSOs, both chronic and acute, and to lay the ground-work for a man-power planning programme, we believe it is necessary first to identify in the simplest possible form the essential characteristics of the FSO personnel system. We wish to focus here not so much on the flow of personnel through the system as on the relationships between additions of personnel to the system, the flow of personnel from it, and variations in the size of the system.

14. After some experimentation, we found it expedient to employ the analogy of an hydraulic system and to represent the Department's FSO personnel system as a three-pipe radiator, (see Figure 2), with the first pipe representing the three junior grades (FSOs 1, 2 and 3), the second pipe representing the middle grades (FSOs 4 to 6) and the third pipe representing the senior group of positions (FSOs 7 to 10). These three pipes represent groups of FSO positions through which the officers move as a fluid through the pipe. Just as the purpose of a radiator is to produce heat, so the purpose of the Department's personnel system is to produce work, or the performance of its assigned responsibilities.

FIGURE 2 - F.S.O. PERSONNEL SYSTEM



15. What are the control points in the Department's FSO personnel system, represented here as a hydraulic system? First, there are the points of entry where fluid can be introduced: initial recruitment (A in the figure), lateral recruitment (B), and Order-in-Council recruitment (C). Secondly, there are the points of departure (valves D, E and F) representing separations of all kinds and at all three levels. Thirdly, there are the changes in the shape and size of the system (establishment changes at each level - G, H and J in the figure). Finally, there are the connecting ducts between the first and second pipe and the second and third pipe (K and L) representing the channels of advancement through the system, or promotion.

16. Some of the characteristics of the hydraulic system will, we believe, illuminate corresponding characteristics in the Department's FSO personnel system. The characteristics in the hydraulic system to which we would draw particular attention are the following :

- (1) If the radiator is to work to full capacity it must be fully topped up with fluid;
- (2) the amount of fluid that can be introduced into the radiator in a given period of time is governed by the size of the system and the rate of outflow;
- (3) if the radiator is to be kept topped up, the input must equal the outflow plus or minus any changes in the size of the system;

- (4) increasing the size of the radiator will increase its theoretical capacity to produce heat, but the radiator will produce no additional heat until the input of fluid is increased.

17.

To state the same thing in manpower terms:

- (1) if the FSO manpower system in the Department of External Affairs is to work to full capacity, the strength must be maintained at the maximum permissible level;
- (2) the number of officers who can be recruited into the FSO group in a given period is governed by the size of the establishment and the losses through separation;
- (3) if the FSO strength is to be maintained as close to the maximum capacity of the FSO personnel system as possible, recruitment must at all times equal separations plus or minus changes in the establishment;
- (4) increasing the establishment will increase the theoretical capacity of the Department to perform certain functions but the Department will be unable to perform these functions adequately until the manpower strength of the FSO group is brought up as closely as possible to the expanded establishment.

18. The next point to be appreciated is that the FSO personnel system can be regulated as a unit by the manipulation of the intake and outlet valves -- namely, recruitment and separation -- in relation to changes in the size of the system, i.e. the establishment. Some of these control points are more responsive to the touch than others.
19. Initial recruitment, for instance, is almost entirely under the Department's control. Within the limits of the over-all capacity of the system, the Department can recruit in a single year anywhere from two officers (as in 1951) to 62 officers (as in 1966 and 1967). Similarly, the Department can do more or less lateral recruiting in accordance with policies which it can itself largely determine. In the case of Order-in-Council recruiting, the practice is susceptible to some departmental influence, but the decision point is outside the Department.
20. The Department's control over the outlet valves of the system -- the different types of separation -- is not quite so extensive as in the case of the intake valves. There are limits, for instance, to what the Department can do with respect to separations resulting from death or the marriage of female officers. The Department can influence the date of an officer's retirement either by seeking to retire him early or by arranging an extension of his employment, but can adjust this date only within fairly narrow limits.
21. So far as voluntary resignations are concerned, the Department can affect these in an indirect way through the "climate" of the organization and in some cases by the assignments or sequence of assignments which the Department gives to a particular officer.

The Department can also contribute substantially to some "voluntary" resignations of marginal employees by pressures of various kinds.

22. Finally, the control of the flow from one stage of the system to another may seem to lie almost wholly with the Department in the sense that it can determine its own promotion policies. In practice the Department exercises relatively little control -- leaving it to the capacity of the system -- though there are a few instances where restraint is exercised in an endeavour to render proper homage to experience through withholding promotions from officers who have spent insufficient time in the lower grade even though vacancies are available at the next step up.

23. We may therefore regard the FSO establishment as an integrated system requiring co-ordinated manipulation of those control points that affect the rate of flow of personnel through it -- namely, changes in the establishment, separations and recruitment.

24. We propose now to examine the record to see how the Department has maintained this control in the past and particularly to what extent it has been able to ensure that recruitment has equalled separations plus or minus changes in the establishment.

REASONS FOR CHRONIC SHORTAGE OF FSOs
AND CURRENT ACUTE SHORTAGE

B.

25. Figure 3 gives the Department's FSO vital statistics for the period 1946 to the present insofar as they can be derived from departmental records.

Figure 3 - GROWTH OF FSO GROUP
1946-68

<u>Fiscal Year</u>	<u>FSO Establishment (a)</u>	<u>FSO Strength (b)</u>	<u>FSO Intake</u>	<u>FSO Separations</u>
1946-47	*	109	18	8
1947-48	154	120	38	2
1948-49	*	156	16	1
1949-50	*	163	24	16
1950-51	*	162	13	5
1951-52	176	166	2	8
1952-53	245	168	22	7
1953-54	271	192	19	4
1954-55	290	230	19	9
1955-56	320	286	29	5
1956-57	341	*	26	13
1957-58	356	305	25	20
1958-59	366	310	23	17
1959-60	340	313	21	9
1960-61	353	326	24	15
1961-62	368	334	19	16
1962-63	364	334	16	9
1963-64	378	347	27	23
1964-65	381	354	39	16
1965-66	397	368	39	17
1966-67	463	388	62	15
1967-68	498	441	62	20
1968-69	514	479	22	12(c)

* Figures are not available

(a) The establishment figures shown are for April 1.

(b) The strength figures are for April 1 or the nearest subsequent date for which figures are available.

(c) To November 1968 only.

26. Many of the figures given in this table are not very reliable. As will be seen from the table, information for some years is lacking altogether. At no time have recruitment and separation records been kept in co-ordination with the strength records, a circumstance which explains why the strength figures from year to year do not tally exactly with the recruitment and separation figures.
27. For the entire period covered in the Figure 3 table, we believe the FSO intake and separation figures to be reasonably accurate, at least in their totality. Absence of any procedural rule in the Department as to how to identify the timing of a separation probably goes a long way toward explaining anomalies in the table.
28. So far as establishment and strength figures are concerned, these may be regarded as reliable by themselves since 1962 when systematic record keeping of these figures began. Prior to that date, the older the records the less reliable they appear to be.
29. We have made no attempt to cook the figures in this table to make them balance: furthermore, the research which would be required to produce real accuracy goes beyond our resources and it is questionable whether the results would really warrant the effort. The statistics, imperfect as they are, present the past record accurately enough for the purposes of our study.
30. Figure 4 makes use of the data recorded in Figure 3 and presents it in a somewhat different form, appropriate to our immediate purpose. Figure 4 provides some gross figures for establishment change, separations and recruitment for the period 1950 to 1957 and more detailed figures for the period 1957 to 1964 and 1964 to the present.

Figure 4 - FSO GROWTH

<u>Year</u>	<u>Estab. Change</u>	<u>Separations</u>	<u>E.C. + Sep.</u>	<u>Recruitment</u>	<u>End of Year Deficit</u>
1950-1957	2170	51		130	
1957/58	15	20	35	25	46
1958/59	10	17	27	23	53
1959/60	-26	9	-17	21	14
1960/61	13	15	28	24	19
1961/62	15	16	31	19	34
1962/63	- 4	9	5	16	17
1963/64	14	23	37	27	24
TOTALS	37	109		155	
1964/65	3	16	19	39	13
1965/66	16	17	33	39	9
1966/67	66	15	81	62	22
1967/68	25	20	55	62	19
1968/69 *	16	12 +	28 +	22	21 +
TOTALS	136	80		224	

* Since the figure for separations represents the position at the end of November 1968, the figures for establishment change plus separations in column 4 and for the end of year deficit in column 6 are tentative only.

31. In Figure 4 we obtained the figures for establishment change in the second column by taking from Figure 3 the difference between the establishment for one fiscal year and the establishment for the subsequent fiscal year. In every case the establishment has increased except in 1959/60 and 1962/63. In 1959/60 a number of FSO positions were converted to EAO positions when the new EAO class was established. In 1962/63 the Government applied a freeze to recruitment and fixed establishment at strength levels as an economy measure.
32. The third column in Figure 4 represents the sum of establishment changes and separations for the year concerned. The fourth column shows total recruitment -- junior officer, lateral and Order-in-Council intake all together. The last column in Figure 4 represents the number of FSOs the Department was short of establishment at the end of the fiscal year. This figure has been obtained by assuming that the strength figures in Figure 3 -- which in general represent the FSO strength at the beginning of the fiscal year indicated, namely, April 1 -- represent also the FSO strength on the last day of the previous fiscal year, i.e. March 31. Thus at the end of fiscal year 1957/58 the establishment still stood at 356 whereas the strength was presumably the same as it was the following day, April 1, 1958, the first day of the following fiscal year, namely, 310 officers. The end of year deficit for fiscal year 1957/58 then was the difference between the establishment (356) and the presumed strength (310) namely, 46 officers as shown in the final column of Figure 4.
33. Figure 4 does not attempt to analyze any figures prior to 1957,

since these are both incomplete and inaccurate. An examination of the figures for 1957 to 1964 shown in Figure 4, however, indicates that only on two occasions -- 1959/60 and in 1962/63 -- did the Department's manpower management meet the standard we identified in the previous section (i.e. that recruitment at least equal the sum of establishment changes and separations). Even in those two years the standard was apparently achieved only because the establishment was reduced rather than increased. Because the establishment was reduced in those two years and because recruitment did surpass the required standard, the end of year deficit was reduced substantially in 1959/60 as compared with the previous year and again in 1962/63 in comparison with the previous year.

34. In the period 1964 to the present, the Department has succeeded on three occasions in meeting the standard -- in 1964/65, in 1965/66 and in 1967/68. The deficit mounts quickly, however, when this standard is not met. At the end of 1965/66 the deficit had been reduced to its lowest point in many years: the next year, however, it was back up again to 22 and while this deficit was reduced marginally in the following year because of the Government's freeze on recruitment applied early in 1968, the Department is likely to finish the current fiscal year with an even higher FSO deficit.
35. Figure 4 indicates clearly that the end-of-year deficit is no passing phenomenon. Even in the last ten years when the Department has met the recruitment standard five times, it has ended each fiscal year with an average deficit of 19 FSOs.
36. The Department's failure to meet the recruiting standard more often and to eliminate the chronic deficit of FSOs cannot really be

attributed to rapid expansion. In the period 1957 to 1964, for instance, there was a very modest increase in the FSO establishment from 341 in 1956/57 to 379 in 1963/64 (see Figure 3). In seven years, however, the Department was only able to reduce its end of year deficit from 36 in 1956/57' to 24 in 1963/64.

37. Here then is one important reason for the Department's chronic shortage of FSOs: while the basic recruitment standard of ensuring that intake was at least equal to the sum of establishment changes and separations was achieved on several occasions, the advances made in those years were not sufficient to offset the losses in the other years when the standard was not met. As a result there has been a recurrent deficit of FSOs at the end of each fiscal year which has averaged 19 over the last ten years -- enough officers to staff six small posts.

38. Before we propose either short term or long term remedies for the chronic shortage of FSOs, we will examine the current acute shortage of middle grade FSOs to determine where and how this came about.

39. An examination of Figure 5, which gives current figures for strength and establishment of FSOs by grade, indicates the nature and location of this shortage of middle grade FSOs. From grade 5 up, the FSO strength of the Department is very close to the authorized establishment -- in total, it falls only 6 officers short in an establishment of 249 officers for these grades. The area of heavy shortage is at the FSO 3 and FSO 4 level where there are 122 officers as against 199 positions.

Figure 5 - CURRENT FSO ESTABLISHMENT AND STRENGTH

	<u>Establishment</u>	<u>Strength</u>
FSO 10	9	9
FSO 9	11	9
FSO 8	33	35
FSO 7	52	51
FSO 6	61	57
FSO 5	83	82
FSO 4	107	60 -
FSO 3	92	62 -
FSO 2	67	104 +
FSO 1	--	24 +

40. In pursuit of our enquiry as to why the shortage exists at that level, we examined the personnel records of the 122 officers in those grades who are now on strength. We found that of the 60 FSOs 4, 54 were recruited during the period 1957 to 1964 and all the more senior FSOs 3 (those with two years seniority or more) were recruited during the same period.

41. Figure 4 indicates that during the period 1957 to 1964 the Department's net gain in strength was apparently very modest: it recruited 155 officers (as against 130 in the period 1950/57 when the establishment was much smaller) and lost 109 officers (as against 51 during the period 1950/57) giving a net gain of only 46 officers. If there had been a substantially greater number of officers recruited in the period 1957/64, there would not now be so noticeable a shortage at the FSO 4 and FSO 3 levels.

This, then is the answer to our question as to why there is an acute shortage of middle grade FSOs now: the Department did not recruit enough FSOs 1 in the period 1957 to 1964.

42.

There are limits to what the Department can do to remedy the acute shortage of middle grade FSOs. If we look again at Figure 4 we can observe that the recruitment rate for the period 1964 to 1967 inclusive was substantially higher than it had ever been before -- a response to the rapid enlargement of the establishment in those years. This recruitment has resulted in a situation where there are now 128 officers in grades FSO 1 and 2 as against 67 positions. What this means in effect is that the Department has hired a substantial number of junior FSOs against the FSO 3 and 4 positions that are vacant. The significance of this should not be missed in connection with any plans the Department may develop for making good its deficiency of experienced middle grade officers. The Department has in effect already hired the officers who are to make up this deficiency. It would not, therefore, be possible to undertake any programme of substantial recruitment at the middle grade level in order to make good the existing deficiency in those grades without prejudicing the promotion and advancement prospects of the very large number of officers taken on strength in 1966 and 1967. Even without any changes in the Department's present training and promotion policies, the deficiency in the middle grades will be made good in a relatively few years' time -- probably by 1972 or 1973.

C.

SHORT-TERM REMEDIES

43.

Does this mean that the Department will have to go on enduring the present shortage of talent at the middle levels until 1973? Not

necessarily. There are several things it can do:

- (1) The Department can do everything possible to accelerate the development of junior officers now on strength;
- (2) It can borrow people from other departments;
- (3) It can have more FSO work done by contract employment; and
- (4) It can do a little lateral recruiting.

Accelerated Development

44. The training and development proposals we have outlined in Chapter IV provide a programme intended to meet the training needs of newly recruited foreign service officers from the time of their joining the Department. There is no reason, however, why parts of this programme should not be adapted and made available to officers already in the Department in order to accelerate their development and thereby help to reduce the shortage of talent at the intermediate level. The secondary orientation phase of the training programme, intended for officers on return from their first posting abroad, would be particularly appropriate for officers who are already in the service. Therefore -

(R 1)

We recommend that a training programme for officers who have joined the Department since 1964 be adapted from the training programme for new entry officers, recommended in Chapter IV below, in order to accelerate the development of officers already in the service.

Secondment

45. We define secondment to mean the obtaining of the services of an officer from another government department, either on a straight loan basis or against an established position in External Affairs.

In either case the Department acquires an extra officer for the FSO group on a limited term basis and without any dislocation to the career service group. This method has already been used in a limited and sometimes informal way (e.g. the assignment of a military officer 'as Head of the Delegation of the Supervisory Commission in Laos,' and the assignment of certain economic officers from the Departments of Finance and Trade and Commerce to perform duties at four or five key posts). The possibility of expanding this practice appreciably, while not great, is perhaps worth exploring. The fields where this kind of arrangement might suitably be examined are economic, cultural, defence and information.

(R 2)

We recommend, therefore, that the Department initiate informal enquiries with other appropriate departments and agencies of the Federal Government (e.g. the Department of National Defence, Defence Research Board, Department of Finance, Department of Trade and Commerce, Department of Industry, Dominion Bureau of Statistics, Secretary of State Department, the Canada Council) to ascertain the possibility of borrowing up to approximately five officers per year for limited engagement tours with this Department.

46. A further source of supply of some talent, which might alleviate the Department's present situation of deficiency at the middle levels, might be found in the newly inaugurated Career Assignment Programme which has recently completed its first training course. The Department might profitably become a net importer of talent at the middle level during the next three years when its deficiency at this level will be most acute. At a later stage, when the Department has an over-supply of officers at the middle

level, it may wish to change its role to that of a net exporter of talent.

(R 3)

Accordingly we recommend that the Department examine lists of officers available for assignment under the Career Assignment Programme to ascertain the possibility of placing up to three officers from the CAP programme in appropriate positions in the Department of External Affairs (including administrative positions to which FSOs might otherwise have to be assigned).

Contract Employment

47. The Department has made use of the practice of contract employment with reasonable success in the past. Quite possibly the practice could be successfully extended and this would be helpful in the present situation if it resulted in a real reduction in the demands made on the FSO group. We understand that the Personnel Branch asks every division once a year to list projects that might be handled by contract employees, and further that the response is not overwhelming. This relatively indifferent reaction to the annual request for project proposals for contract employment might suggest that the device has not much more to offer us. It is quite possible, however, that someone other than the Division Head might be able to make a better assessment of the kind of work that could be handled by means of contract employment.

(R 4)

We recommend accordingly that a senior officer not engaged in operational duties (e.g. the Head of Inspection Services or the Head of the Academic Relations Section) consult with Assistant Under-Secretaries and Heads of area and functional divisions once a year to determine the nature of projects which might suitably be handled by contract employees, particularly academic personnel on sabbatical leave.

Lateral Recruitment

48. Lateral recruitment is an issue which provokes much lively debate and is clearly regarded with misgivings and hostility by most foreign service officers. Our recommendation on this subject is based on a consideration of arguments both pro and con which we would like to identify briefly here.

49. In favour of lateral recruitment the following points seem relevant:

- (1) In any career service there is a risk of too much in-breeding. The decline in the percentage of FSOs who have had appreciable amounts of non-departmental working experience suggests that positive steps should be taken to diversify the FSO group by adding personnel who have had some years working experience in some other organization.
- (2) While the recruitment of some FSOs by means of lateral entry has not been an unqualified success in the past, it has brought in some excellent officers.
- (3) Where lateral recruitment can make good a deficiency at a certain level in a career structure that cannot, within a reasonable period of time, be made good by the advancement of more junior officers, there would seem to be adequate justification for it.

50. Arguments against lateral recruitment run as follows:

- (1) Officers who begin their foreign service career at a young age when they are either unmarried or at an early stage of their family formation, have much better prospects

of adjusting to the peculiar demands of a fully rotational foreign service than have officers who come to it at about age 35 or later.

- (2) The professional nature of the work of an FSO and particularly the requirement for a mature judgment, which can best be refined over a period of years in the crucible of experience, clearly indicates the need for a career service in which most of the recruiting is done at the junior level -- a pattern followed by the foreign services of all developed countries.
- (3) Lateral recruitment inevitably means the blocking of avenues of progress for officers who are already in the service, and who should be able to benefit from expanding opportunities at a level above their own.
- (4) Since a national foreign service is unique, there are no sources of supply of personnel who have had the appropriate experience.

51. From the above arguments it would appear the question is not really whether there should be any lateral recruitment but how much. A policy by which lateral recruitment would only be employed to make good a deficiency at the intermediate level of the career structure, which could not within a reasonable period of time be made good by the advancement of a more junior officer would, in our opinion, be justified. Conscientious application of this policy would probably mean that lateral recruitment would never get beyond one or two officers a year. For administrative purposes it would probably make good sense to fix a limit in percentage terms.

52.

The smallest percentage allocation of man years for lateral recruitment purposes at the present level of intake would be two or three per cent if one officer were to be brought in. On the other hand, if ten per cent of our annual intake of new officers were recruited laterally, the number joining the service by this means would soon form a noticeable minority and their growing numbers could have an unsettling effect on career officers. Our suggestion is that the figure of seven per cent of the annual recruitment target be set aside on a continuing basis for all recruitment other than at the FSO 1 and FSO 2 level: that is, the combined figure for lateral recruitment and Order-in-Council recruitment should not exceed seven per cent of the annual intake. Therefore -

(R 5)

We recommend that with due regard on the one hand to the advantages which some measure of lateral recruitment may afford and on the other hand to the need for the Department to develop and maintain a favourable career structure for career officers, the Department develop a policy on lateral recruitment providing for a modest annual intake; and that such lateral recruitment be employed primarily to make good important deficiencies of a particular kind at the intermediate level.

53.

These short-term remedies which we have suggested do not include all the recommendations for new or revised policies and procedures necessary to ensure the Department will have adequate numbers of experienced foreign service officers to meet its future commitments. There are still many questions to answer: first, how to prevent new shortages from developing in the future; second, what kind of problems will develop as a consequence of the movement through the system of the large agglomeration of officers taken into the service in 1966 and 1967; third, whether we are getting the right type of foreign service officers to meet future requirements;

fourth, whether we have the right kind of information on which to base an assessment of our present needs; and, finally, whether we have developed the right procedures for forecasting our future needs. All these problems -- and some others which have not been mentioned -- could, we believe, be handled much more effectively if the Department were to bring them within the scope of a manpower planning programme rather than dealing with them piecemeal. We propose, therefore, to outline a manpower planning programme which we believe the Department could adopt with great benefit and without major expense.

D. A MANPOWER PLANNING PROGRAMME

54. The object of a manpower planning programme may be defined as follows: to have the right person with the right skills and interests available at the right time, efficiently and economically. One might also say that a manpower planning programme for the Department of External Affairs should do all the things outlined in the terms of reference for this project -- namely, generate the policies and procedures that will ensure adequate numbers of FSOs to meet future requirements -- by means of forecasting, recruitment, training, assignments, proper utilization and the provision of adequate support staff. Further, such a system should provide an effective link between the operating objectives of the Department and the various personnel functions which are required to produce and maintain the people needed to do the Department's work. If the planning system can perform this function effectively, it should eliminate much of the frustration departmental officers so often feel because they cannot get the personnel they so clearly need.

55. There is no doubt whatsoever that the Department needs a manpower planning system. As a project team we went through an entire manpower planning exercise for the Department in which we did the following things :

- (1) Defined departmental objectives;
- (2) Analysed work requirements;
- (3) Studied job packaging;
- (4) Analysed separation data and estimated future separation rates;
- (5) Forecasted manpower requirements;
- (6) Projected movement of personnel through the FSO personnel system; and
- (7) Examined the control points of the system in order to determine how they should be managed.

As a result of carrying out this exercise we were able to establish that the chronic shortage of foreign service officers and the current acute shortage of middle grade officers were basically caused by the failure of the Department to forecast its needs, to study the workings of the personnel system, to project the movement of personnel through the system and to base its personnel decisions on this kind of information. If planning is not carried out on a continuing basis in the future, moreover, the Department will again run into acute manpower shortages or some other kind of maladjustment in the personnel system.

56. Quite apart from any requirement for manpower planning which this report may identify, adoption by the Department of the recommendations of the Woods-Gordon Report on Financial Management makes it imperative that the Department begin manpower planning as part of its new functions in the planning and expenditure of its financial

resources. As the Woods-Gordon Report correctly points out, the Department's principal resource is its manpower and the most important decisions which the Department makes in managing its general resources are those concerning the deployment of manpower. Some of the basic elements of the manpower planning have, therefore, already been outlined in the Woods-Gordon Report (pp 66 to 68).

57. What does manpower planning consist of? In its simplest terms it is sometimes described as follows:

- (a) The identification of the kinds of manpower an organization needs to achieve its objectives;
- (b) The assessment of the organization's existing manpower resources;
- (c) The comparison of known resources with identified needs to determine the discrepancies between the two; and
- (d) The drawing up of action plans to reduce or eliminate these discrepancies (e.g. recruitment or training plans).

Manpower planning for a career service is not quite this simple however, although the basic principles are not too different.

58. The comprehensive nature of a manpower planning programme for the foreign service can be seen from the accompanying table in Figure 6, in which we have endeavoured to indicate how such a programme can link the planning activity of top management with the regular personnel functions. We have tried to indicate by the horizontal markings in the table how manpower planning activities relate the responsibilities of line management on the one hand to

the traditional personnel functions on the other.

59. Many activities in programme planning and budgeting and in the personnel administration of a career service are recurrent or cyclical in nature. For this reason we believe that a comprehensive manpower planning programme for the Department of External Affairs can best be described on a function/time grid -- that is, a listing of activities under functional headings month by month around the year. Such a table -- using as headings many of the functions listed in the table in Figure 6 -- is attached as Appendix II. The notes in Appendix II which accompany the table describe in some detail the various activities listed in brief in the table. For a detailed description of the manpower planning programme we propose for the Department of External Affairs, we refer therefore to Appendix II.

(R 6)

We recommend that the Department inaugurate a programme of manpower planning as outlined above and as described in detail in Appendix II.

60. A manpower planning programme of the type we have recommended should make a useful contribution to the Department's operations in three main fields -- programme planning and budgeting in the Finance and Administration Branch, organization planning done by the Central Planning Staff, and personnel administration in the Personnel Branch. The work of manpower planning should be done in various places in the Department, some in staff units, some by line personnel. Top line management -- the Under-Secretary and the Senior Committee -- should interpret the Government's goals in terms of departmental objectives, and should decide in broad and

FIGURE 6

MANAGEMENT OF PERSONNEL RESOURCES

LINE MANAGEMENT RESPONSIBILITIES	MANPOWER PLANNING		PERSONNEL FUNCTIONS
	Organization Oriented Activities	Employee Oriented Activities	
Identification of Departmental Objectives	-- Long Range Forecasting		
Programme Review	-- Organization Planning -- Manpower Accounting -- Work Analysis -- Job packaging -- Recruitment Target Setting	-- Utilization Studies -- Defining Selection Standards	-- Classification -- Recruiting
Establishment of Priorities of Activities	-- Planning Deployment of Manpower by Area and Activity	-- Preparation of Posting & Assignment Schedules	-- Postings and Assignments
	-- Analysing use of Manpower by Activity and area	Assessment of -- Training Needs -- Design of Appraisal Systems	-- Training -- Appraisals and Ratings
	-- Projection of Manpower Movement through Career Systems	-- Promotion Plans	Career Planning and Counselling -- Promotions
	-- Calculating Separation Rates	-- Identifying Reasons for Separations	-- Exit Interviews

general terms how manpower should be deployed, acting on advice from the Operational Divisions, the Central Planning Staff, the Finance and Administration Branch and the Personnel Branch. Within the Personnel Branch we would envisage Personnel Planning and Development Division being responsible generally for the forecasting and planning activity, for the design of systems and procedures and for the auditing of their operation; Personnel Operations Division, as the agent Division in the personnel field for line management, should, we believe, be generally responsible for the detailed work in many of the above-mentioned areas. These general principles may have to be modified in the light of staffing realities, however, and in many cases therefore we have not been specific as to which unit should carry out this or that function.

E.

SOME PRELIMINARY TASKS

61. The various functions we have outlined in Appendix II are basically those which form part of a continuing manpower planning activity. In order to initiate such an activity however, there are certain tasks which the Department will be obliged to undertake first. Much of the activity listed under Manpower Accounting and Reporting, for instance, will involve checking and revising existing lists or catalogues of work being done by foreign service officers, either at posts abroad or in Headquarters units, as broken down into individual job packages. We do not have such lists at the present moment, and therefore will have to establish them.

62. In a general sort of way the existing departmental establishment corresponds to this catalogue of work requirements but it

serves a different purpose and is not adequate for manpower planning. The establishment basically is a list of positions, classified according to agreed principles, and issued by the control authority -- namely, the Treasury Board -- as a kind of limited license to the Department to hire and promote during the period of validity of the establishment -- normally a fiscal year. Until recently this establishment issued by the Treasury Board represented the maximum number of positions that could be filled by the Department during the relevant period. In accordance with Public Service practice, each position on the departmental establishment carried an identifying number and it normally had -- originally, at least -- a corresponding job description indicating the intended duties of the incumbent. The files contain, for instance, a position description for Ext-3269, an FSO 5 position for the projected Embassy in Algeria, outlining in general terms the duties to be performed.

63. Because of the Department's pooling system, however, this establishment has lost its usefulness for the purposes of work and manpower studies. The Department's interest in the content of any position description declines from the moment that the position is established: once the control authority is persuaded of the necessity of our having a position so that certain identifiable tasks may be performed, and once the position has been classified, the position description has no more practical application. The chances are high that the incumbent of the position will be certified for pay purposes against a different position, and the position description -- written for classification purposes only -- will not be

referred to again at the post. The post can change the duties of the position without informing the Department, which does not attempt at present to maintain an up-to-date inventory of work done at posts or in divisions.

64. We made an effort to use the establishment in relation to our existing staffing arrangements as a means of determining the extent and nature of our shortages abroad -- which posts or areas were understaffed, which activities in particular were being neglected through insufficient personnel or inadequately trained personnel: but the effort was not a success. The reason for our failure was, as pointed out above, that the Department uses its establishment primarily as a hiring authority and a promotion schedule and only to a very limited degree as a guide for staffing. As a consequence, our present establishment is of little use as a key to our qualitative manpower needs or as a measure of our performance.

65. The following are the sort of anomalies we found in the establishment :

- a) There is great inconsistency in the classification of similar jobs in different units, resulting from changes in philosophy and principle with respect to FSO classification. e.g. The Head of Chancery positions at Bonn, Moscow, New Delhi, Rome and Tokyo, are classed as FSO 6; so are those at much smaller posts -- Kinshasa, Pretoria and Yaounde. On the other hand the Head of Chancery position at busy and good-sized posts like Kuala Lumpur and Warsaw are classed as FSO 4 positions.
- b) No consistent effort has been made to keep up to date and

accurate position descriptions. For instance, of the 107 FSO 4 positions on the establishment, 44 have position descriptions available: of these, five were prepared in draft form in 1967 for anticipated discussion with the Bureau of Classification Review and the remaining 39 were prepared in 1965 or earlier.

- c) In the absence of utilization records there is no way of telling whether floater pool positions represent accurately the man-years spent in the activities concerned. Statistics of time lost by FSOs in travel and home leave have been maintained from time to time in Personnel Services Division. No such records appear to have been kept of manpower deployment in training or secondment, or indeed in any other area of activity in the service, either abroad or at home.
- d) There are numerous positions on the establishment representing activities in which the Department has not been involved for several years and other known activities which are inadequately represented on the establishment. For example the establishment provides positions for officers at the Imperial Defence College and at the NATO Staff College: we have not had an officer in the Imperial Defence College since 1962 and none in the NATO Staff College since the early 1950s. On the other hand, the establishment provides one FSO 5 and two FSO 4 positions for the assignment of officers to the Canadian International Development Agency. Latest information

indicates that there are eight officers from the Department serving at CIDA, of whom six are FSOs: an FSO 8, an FSO 7, an FSO 4, two FSO 3s and an FSO 2. Similarly, the establishment provides five FSO 3 positions and ten FSO 2 positions to accommodate officers in their initial training period. The number of new entry trainees in the past six years has varied from 21 to 59: the Department has therefore been using anywhere from 6 to 44 working positions for training purposes.

66. The anomalies in the Department's present establishment and the Department's failure to use the establishment as a measure of performance mean that the Department has no reliable way of calculating the extent of its present shortages or identifying the nature of the work which is not being done but which should be done. The Department cannot tell what kind of officers it is short of in terms of FSOs with some particular skills. In relation to the workload recognized as essential, the real shortage of officers may be greater (or less) than it appears to be. With no adequate yardstick, the Department is not in a position to determine with any accuracy the nature of its existing shortages and therefore does not have the information which is essential to the sketching out of plans for future developments in order to meet anticipated requirements. If reliable manpower planning is to be done in the future, the Department will have to develop a much more accurate means of assessing the totality of the present work requirement to which plans for future expansion can be related.

67.

It is tempting to think that an up-dating of the existing establishment might produce a good instrument for assessing the Department's current work requirements. We believe, however, that if such an up-dating were attempted there would be some risk that anomalies and errors of the existing establishment might be kept alive and perpetuated. Furthermore, there is a requirement now for the Department to make a real break from the past. A radical new approach to the problem of cataloguing the Department's work requirements and classifying its job packages is appropriate because the Treasury Board itself has dispensed with the Department's old establishment as an element in the annual negotiation of the Department's estimates. The Board is now telling the Department about its manpower entitlements in terms of a financial allocation, a man-year allotment and a limit to the number of permanent public servants on the payroll on the last day of the fiscal year. If the Department is to take full advantage of this new and much more flexible method of dealing with its personnel entitlements, it must drop the practice of thinking and working in terms of establishment positions and think and work in terms of work requirements instead. Positions tend to acquire an extraordinary durability, and personnel officers in the Department have treated them almost as if they had a tangible reality. As a consequence it has been easy for a sort of "rotten borough" system to develop, whereby the establishment includes a number of positions which are used for pay and promotion purposes but which no longer represent real work done.

68. Also, if this new catalogue of work requirements is to be useful, it must be up to date, and consequently must be revised and renewed in toto at least once a year. Changes in job packages can then be recorded and made available to the staffing officers of Personnel Operations Division for use in connection with planning postings, to the training officers who will wish to ensure that their programmes are relevant to current work requirements, and to officers concerned with recruitment who will want to check recruiting standards against changing trends in work patterns. Classification officers will also be clients for this type of information. (In this connection we draw attention to Dr. Jackson's first recommendation given in Appendix V. This calls for a detailed job function analysis to enable the Department to develop more specific standards against which to measure the performance of foreign service officers in the different jobs they do.)

69. If the catalogue of work requirements is to be useful, it also must be kept relatively simple. The impossibility of making meaningful distinctions between jobs of one FSO grade and jobs of the next grade higher or lower, suggests that the existing practice of classifying FSO jobs in ten grades does not serve much purpose. If grade levels of jobs were reduced from ten to three or four, for instance, the levels could at least be made to represent discernible differences in job complexity and managerial responsibility. (We understand, incidentally, that a simpler grading system of this kind is in general accord with the thinking of the Bureau of Classification Revision at the present stage of its work on the FSO classification problem). As an indication of the kind of system we have in mind,

we suggest the following table of equivalents:

- Level 1 - Positions graded FSO 1, 2 and 3
- Level 2 - Positions graded FSO 4, 5 and 6
- (Level 3(a) - Positions graded FSO 7 and 8
- (Level 3(b) - Positions graded FSO 9 and 10

Some such method of classifying FSO job packages should make the development of a work requirements catalogue not too difficult.

70. It may take some time for the Department to develop and perfect a good system for cataloguing its work requirements. We believe that the questionnaires which have been sent out in connection with the 1970/71 programme review, if properly completed, may provide sufficient information in the initial instance to get the system under way. These questionnaires called for an indication, in percentage terms, of time spent by each individual officer on each of the activities which we identified in our work analysis. This information, plus an additional phrase or two to give greater definition to the time breakdown and the level of the incumbent should provide the rudiments of a catalogue of work requirements. What we have in mind is something along the following lines :

Post :	Ouagadougou		
Position :	Ext-9652	Head of Chancery;	Level 2
<u>Activity</u>		<u>Percentage of Work Week</u>	<u>Remarks</u>
Direction & Administration		25%	
Political Liaison & Reporting		40%	Includes week-long visits to Niamey every two months
Cultural Affairs		15%	Currently, negotiation of academic visitors programme
Consular & Immigration		10%	Difficult cases referred by jr. officer

<u>Activity</u>	<u>Percentage of Work Week</u>	<u>Remarks</u>
Security	5%	
Miscellaneous	5%	

Accordingly, we recommend :

(R 7)

- a) that the Department, in co-operation with the Bureau of Classification Revision, design and develop a system for analysing and recording its FSO work requirements and listing its job packages in a form suitable for easy annual revision;
- b) that the record provide information for officers concerned with manpower accounting, training, postings and assignments, appraisals, career planning, and utilization;
- c) that the record employ a simplified grading system for FSO jobs (e.g. the division of FSO jobs into three categories - junior, intermediate and senior); and
- d) that such records supersede the existing departmental establishment for FSOs.

71. Another prerequisite for the inauguration of a programme of manpower planning is the organization in convenient inventory form of all necessary information about foreign service officers that will be of help to manpower planners and officers concerned with career planning and postings and assignments. Basic biographical data is available in part on the personnel record cards which are now maintained by Personnel Records, but some other information which will be required for manpower planning purposes must be sought out elsewhere in various files. This latter information should be assembled in such a way as to be readily accessible to officers of the Personnel Planning and Development Division and others in the personnel community who may require this type of data for planning and operational purposes.

The sort of information which should be readily available to the manpower planner and which is not now carried on the personnel record cards is the following :

- 1) Full information about education, including description of courses taken, degrees obtained, awards received, academic record when available, and significant extra-curricular activities.
- 2) Full details concerning pre-service employment (including summer and part-time jobs), giving duties and nature of business.
- 3) Full details of all departmental assignments, including designation and an indication of duties.
- 4) Full details of all training taken since the beginning of the officer's departmental career.
- 5) Conferences attended, with an indication of the job done by the officer at each.
- 6) Indication of outside activities and interests.
- 7) Digest of past ratings (e.g. in April 1969 rated with second 25% of officers in the grade) and of appraisals.
- 8) Posting limitations (other than security).

In addition, the officer's posting preference form should be readily available to all who might require it and should therefore perhaps be photocopied for the various users. Finally, reports of aptitude or other tests taken in the FSO competition or after joining should be kept together on the officer's confidential personnel file: records of career planning interviews should be kept together in one place on the same file (as are the rating forms) rather than being filed with

other papers according to date.

73. In addition to this information about individuals, the Personnel Branch must maintain statistical information on the FSO group as a whole concerning over-all strength, separations and additions to strength. One office should be designated as responsible for organizing this information on a monthly basis and in summary form once a year. The possibility of obtaining this information readily and easily has been much enhanced since the inauguration of regular computer reports of the Department's financial position: the payroll should be as good a source as any for accurate and up-to-date information concerning FSO strength, additions and losses.

(R 8)

We recommend, therefore, that the Personnel Branch take steps to organize in convenient form, all information about FSOs likely to be of use to officers of the Personnel Branch, either on new personnel record cards or in special files; and that Personnel Branch organize a reliable system for reporting FSO strength, additions to strength and losses.

74. In the foregoing paragraphs of this section and in Appendix II we have discussed a manpower planning programme which we believe is an essential requirement if the Department is to carry out effectively the task of manning or staffing the foreign service. There are two aspects of the manning process which, while they come within the scope of manpower planning and are therefore mentioned in Appendix II, we would like to examine separately in some detail because of their importance -- namely, separations and recruitment. It will be recalled that these are two of the three control points which we identified in section (a) above in our analysis of the FSO

manpower system. The third control point -- changes in the establishment -- is also deeply involved in manpower planning. Establishment changes are at the heart of the programme review exercise and the preparation of Annual Estimates: as such the process is fully described in the Woods, Gordon Report, as well as in Appendix II and we do not need to deal with it further here. We intend, in the remainder of this chapter, to discuss first the handling of the separations control point and secondly the recruitment function.

F. SEPARATIONS

75. In our hydraulic system analogy of the FSO personnel system, which we outlined in paragraphs 13 to 24 above, separations were represented as the outlet valves in the system. The operator of an hydraulic system of the kind we described would have to know -- for the efficient operation of the radiator -- the rate of outflow from the system and would have to assure himself that the rate was not excessive. Similarly, the Department's manpower managers need to have accurate information about separation rates of foreign service officers and should also ensure that the rate of loss is neither higher nor lower than it should be for the efficient operation of the system. We will examine first the question of the determination of separation rates and secondly, the control of separations.

Separation Rates

76. The Department has not devoted much attention to separations in its manpower management of the FSO group in the past. For many years all separations from the Department were listed together by year, without discrimination as between classes of employees and without identification as to the reason for separation. In more

recent years, separations have been listed according to the class of employee and a notation has been added as to the reason for separation. These figures have not been regularly analysed for trends, however, nor have rates of separation been calculated for different classes and grades of employee as a means of forecasting separations in the future.

77. We have recommended (R 8, paragraph 73) that the Personnel Branch organize a reliable system for reporting FSO strength, additions to strength, and losses. Once such a system has been inaugurated, the development of useful separation statistics should be relatively easy. For the next few years, however, the Department will have to extract such information as it can from the rather unsatisfactory separation records which now exist.

78. The Department's aim should be to develop reasonably sophisticated statistics on FSO separations. While an accurate separation rate for the FSO group as a whole would certainly be useful, the records should be examined for any clues that could make the forecasting of manpower movements more accurate. It is clear, for instance, that the rate of voluntary separations differs according to the level of officer concerned, also that the separation rate for female officers is different from the rate for males. For the best planning, account should be taken of these variations, to the extent that reliable statistics can be derived from the somewhat shaky records that exist. For the future the Department must ensure that sufficient information is available for useful analysis.

(R 9)

Accordingly we recommend that in order to build up information about separations from the foreign service which is essential for manpower planning

- a) the Department draw up a check list of the type of information that should be recorded in connection with each separation;
- b) that this check list be in the hands of the officer who conducts the exit interview; and
- c) that information about FSO separations be tabulated, analysed and reported as outlined in the separations section of Appendix II.

Control of Separations

79. In the foregoing paragraphs we have been dealing with the determination of separation rates, which are an important element in manpower forecasting. If the Department is to manage its personnel resources to maximum advantage, however, it should seek to control separations so far as it can. The Department should, for instance, ensure that undesirable separations are avoided so far as possible, and that the inevitable separations and the desirable separations are timed with an eye to the interests of the service as well as the interests of the individual officer. In dealing with this question we may with advantage divide separations into those which may be regarded as involuntary from the point of view of the officer and those which are voluntary. Let us first consider the involuntary separations.

80. At first sight it might appear that the Department can do nothing about the involuntary separations of employees through death. We suggest, however, that this is not necessarily the case. Of the 200 FSO separations which took place between April 1, 1953 and March 31, 1968, 22 (or 11% of the total) were caused by death. We suggest that this rate should be compared with other public service death rates to determine whether some further enquiry is needed.

(R 10)

Accordingly we recommend that the Department compare the death rate of foreign service officers who died while on departmental strength with the death rate for comparable groups within the public service, and, if the External Affairs rate is significantly higher, that the Department undertake some further research to determine whether any controllable aspects of the working environment in the foreign service could have been a contributing cause.

81. With respect to the separation of female officers after marriage or in anticipation of marriage -- a type of separation which is in a sense involuntary -- we would point out that of the 26 female FSOs who joined the service between 1954 and 1965, only nine still remain. Of those who left, 14 separated from the Department after being married or in anticipation of being married. The proportion of female officers recruited in this period, who subsequently left, is 65.3%, while the rate for the corresponding group of males is 20.8%. The high attrition rate amongst female officers means that the Department is getting a much lower return on its recruitment and training investment in these officers than is the case with male officers. At the same time the Department has to take into account the fact that owing to the customs of some foreign countries in which Canada maintains missions, the Department is not able to post female foreign service officers to all Canadian posts abroad. Despite these circumstances there is no question that the Department has benefited greatly from the services of many female officers, both amongst those who have left and those who remain on the Department's strength. Because of the high loss rate, however, selection is particularly important, and on this point there appears to be an uncertainty as to departmental policy.

(R 11)

We therefore recommend that in view of the high attrition rate which obtains amongst female FSOs, the Department review its policies with respect to their employment and utilization to ensure that the needs of the foreign service and the principles of equal career opportunities for women are reconciled as far as possible.

82. Retirements can be classed as involuntary separations, in the sense that they occur inevitably through effluxion of time. The Department can, however, effect some variation in the timing: it can extend an officer's employment a year at a time beyond the normal retirement date, or it may, within the terms of the Superannuation Act, direct an officer under certain circumstances to retire in advance of the normal retirement age of 65. The Department has adopted a fairly firm policy with respect to extensions of employment: these are rarely now granted. We have no change to recommend in this connection.

83. Early retirement is a good instance of a manpower management tool of which the Department has not made much use. We suggest that there are a number of points which should be considered in this connection :

- a) the pattern of retirements which would take place if all FSOs retired on schedule; (in this connection see the age profiles in Appendix III);
- b) the expected requirement for senior foreign service officers in the next few years;
- c) current promotion prospects for officers in grades 5 and 6;
- d) the number of officers in the senior grades who appear to have outlived their usefulness;

- e) the number of officers at the FSO 5 and 6 level who will be professionally qualified for senior appointments in the next few years;
- f) the effect of an early retirement programme on the current shortage of middle grade officers.

84. In the light of considerations such as these, the Department could develop a policy on early retirement and, if necessary, a programme. Such a programme would have to include an equitable system for selecting those who would be asked to retire early. In this connection we have observed that the Department's appraisal system for foreign service officers applies only up to the FSO 5 level: officers in the FSO 6 level, and above, are not appraised in a regular and systematic way, though their merits are considered by a Senior Officers Promotion Board when promotion opportunities exist. It is hard to see how any procedure for selecting officers for early retirement could be developed until a general appraisal system is adopted for senior officers.

(R 12)

We recommend therefore that the Department develop an appraisal system for senior officers in connection with a study of its needs and resources in the senior officer category and in connection with its development of a policy on early retirement.

85. Involuntary separations owing to unsatisfactory performance seem to have been comparatively rare. We suspect that this does not necessarily indicate a uniformly high standard of performance throughout the Foreign Service. We believe that because of the chronic manpower shortage the Department has not been inclined to encourage the separations of officers whose work is of marginal

quality, but who have committed no egregious errors. A better supply of manpower as a result of more effective planning and a slow-down in the Department's rate of expansion may work some change in the Department's practice in this connection.

86. In a situation of diminishing opportunities, there is always a danger that the better officers will leave first. It behooves the Department, therefore, to watch carefully for signs of narrowing horizons. The forecasting of manpower movements through the FSO personnel system should make it possible for the Department to discern well in advance and fairly accurately, where and when the system may become clogged, and to take the necessary preventive action. Such action might in some circumstances have to include the stepping up of separations at certain levels in the system -- not necessarily always the senior level. Some system of separation out may be required -- a system that should perhaps cover officers who appear permanently to have lost their rotational status as well as those whose performance is of marginal quality.

87. Any selection out programme would have to be accompanied by some other changes. For instance, the Department would have to eschew resolutely the therapeutic promotion ("Poor Joe, he has gone so long without a promotion his morale is low and consequently his work is unsatisfactory; if we promote him, his morale will improve and so should his performance...." but it rarely does.) Such promotions contribute disturbingly to the clogging of the personnel system. Instead, through better counselling and more careful placement and training where the need is indicated, the Department should ensure that marginal officers have the opportunity to prove themselves and show their full potential before they are either promoted or encouraged to leave the service. Finally, the Department can make a valuable

contribution to the public service generally by developing procedures which will ensure that competent and experienced officers who have become permanently non-rotational or are otherwise not properly suited for the foreign service, can be readily transferred to other departments of government where they can realize their potential.

(R 13)

We recommend that in the interest of the foreign service in particular and the public service generally, the Department, in consultation with the central control agencies, prepare effective procedures for transferring to other government departments those officers who have become permanently non-rotational and whose capacities can best be developed in a non-rotational department.

88. So far as voluntary separations are concerned, the separation rate which obtains amongst foreign service officers is, by and large, relatively low. This favourable situation should not, however, encourage the Department to become complacent. While the separation rate based on available statistics over the past ten years is quite low for middle grade officers (approximately 1.6%), it is more than twice as high for senior officers (3.6%) and still higher for junior officers (4%). In a career service these figures are high enough to suggest that some searching questions should be asked about the reasons for these separations.

89. By far the greatest number of separations take place in the junior FSO group. The Department should look particularly carefully at the reasons for these separations since they may give useful leads to faults and shortcomings in personnel administration and general methods of operating. In the absence of information on this subject one might hazard the guess that the higher rate of separation amongst junior officers is attributable to three things: first, that the Department is attracting some candidates who do not

find the Foreign Service to be what they expected; second, that the Department is selecting some candidates who are not suitable for the Foreign Service; and third, that the working climate for junior officers is not as good as it should be.

90. We will discuss below in our section on recruiting the requirement for clear and accurate information about the Foreign Service which would enable prospective candidates to reach a decision on whether or not they wish to try out for the career.
91. In all cases of voluntary separations -- but particularly where the officer leaves with the advice and consent of the Department -- the Department should make a careful check of the selection records to ascertain whether and where a mistake in selection might have been made and to ensure that any lesson to be learned in such cases is conveyed to the next group of selection officers.
92. The most costly type of voluntary separation is where a highly-rated officer leaves after two or three years in the service. Here, particularly useful leads to bad personnel and operational practices may be discovered if the reasons for separation are examined. As examples of this, we include in Appendix IV extracts from two letters from officers who separated and a memorandum concerning a conversation with a third, which provide some very illuminating indicators of unattractive features of the Service. The complaints made in these cases concerning insufficient challenge in working assignments, insufficient sense of participation in the Department's work and insufficient interest on the part of the Department in the career development of FSOs, were extensively echoed in the comments made by FSOs still in the Service who were interviewed in the course of this project.

(R 14)

Accordingly we recommend that in order to reduce the number of separations that represent a loss to the service -

- a) The Department institute regular procedures for enquiring into the reasons for FSOs separating from the Department;
- b) That such procedures include, wherever possible, an exit interview;
- c) That the Department arrange to give officers in the Personnel Branch training in the conduct of separation interviews; and,
- d) That the appropriate officer in the Personnel Branch periodically prepare recommendations for remedial action based on records of separation interviews.

G. RECRUITMENT

93. It is difficult to over-emphasize the importance of the recruitment program in the operation of the Department's personnel systems. Reference to the radiator diagram will make it quite clear that no matter how much care the Department may take to reduce unnecessary leakage at the separation valves, no matter how effective it is in enlarging the system to ensure that it is capable of doing the things expected of it, if the supply of new personnel is not adequate and as close as possible to the permissible limits, the system cannot give maximum performance. We suggest that this programme has not received the attention it deserves. In the ensuing paragraphs we propose to examine the whole subject of recruitment in some depth to identify ways in which the Department can improve its performance in this area. We propose to discuss recruitment under the headings of policy, target setting, promotion, selection and employment.

Policy

94. The results of the Department's recruitment practices over the past twenty-five years suggest some shifts in policy. Of the 104

Foreign Service Officers now in the Department's senior grades (FSO 7 to FSO 10), 77 joined as junior officers and 27 (25 per cent) at the FSO 3 level or above. This latter group may be broken down as follows :

Order-in-Council appointees	10
Transfers from Trade and Commerce	4
Transfers from elsewhere in the Public Service	5
Entrants from outside the Public Service	8

95. In the Department's middle level (FSO 4, 5 & 6) only 5 per cent of the FSOs now on strength (i.e. 11 out of 199) joined the Department at the FSO 3 level or above :

Order-in-Council appointees	2
Transfers from Trade and Commerce	3
Transfers from elsewhere in the Public Service	4
Entrants from outside the Public Service	2

96. Amongst the 62 officers now in FSO 3, five (8%) were not recruited in the normal way at the FSO 1 or 2 level: one was transferred from the Department of Trade and Commerce, two joined from elsewhere in the Public Service and two were hired from outside the Public Service.

97. In examining this record, one must bear in mind that many officers who did not start in External Affairs at the junior level were taken on during the period of extremely rapid expansion immediately after the war. The marked decline which has taken place in the recruitment of Foreign Service Officers at any level other than

FSO 1 or FSO 2 suggests that -- subsequent to the lateral recruitment which took place in 1956 and 1957 -- a policy decision was taken to concentrate almost exclusively on university recruitment at the junior level. In the last couple of years there have been some signs of a modification in this policy in the sense that -- as the Annual Report for 1967 puts it -- "a few officers with specialized experience were added to meet particular needs". This phrase suggests more a practice of exception than a positive policy.

98. In section C above, in recommending that the Department undertake some lateral recruitment, we pointed out that the professional nature of the work in the foreign service and the lack of an alternative source of supply of personnel with appropriate experience, indicated the need for a career service in which most of the recruiting is done at the junior level. The lateral recruitment we recommended was put forward as one of several short term remedies for a situation of shortage. Even if those shortages did not exist, however, we believe there would still be a case for some lateral recruitment, for the reasons given in paragraph 49 above. A good continuing recruitment policy should be one based primarily, but not exclusively, on recruiting at the junior level.

(R 15)

We recommend, therefore, that the Department retain its traditional policy and practice of recruiting the great majority of its new officers from the annual university competition; that any lateral recruitment policy developed as a short-term remedy for immediate shortages be adopted (if necessary in a modified form) as a continuing policy, and that to allay uneasiness on the part of career officers on this matter, a policy statement on the subject be adopted and promulgated.

Recruitment Targets

99. In section A above we drew attention to the staffing

principle that recruitment should equal the sum of separations and establishment changes, and indicated that the Department's failure to meet this standard was the principal cause of the chronic shortage of foreign service officers. This staffing principle is, however, more useful as a measure of performance than as a guide to action. We propose, therefore, to examine the problem of setting recruiting targets and to recommend a procedure for the Department to adopt.

100. It appears that in the past the annual recruitment target for FSOs has been fixed in relation to the number of existing vacancies on the establishment and the number of new positions to be added in the fiscal year in which the recruits are to be taken on strength. Our staffing principle indicates that the Department must also make an allowance for separations which may occur between the time that the target is set (normally in January for the fiscal year beginning in the following April) and the end of the fiscal year for which recruitment is being planned.

101. There is a further factor which must also be taken into account: foreign service officers who are taken on strength between May and October (in the first half of the fiscal year) will not be available for full operational duties until the fiscal year following that in which they are recruited. These new recruits can make little, if any, contribution to the Department's performance of the duties ascribed to the positions that are normally used for recruiting them. The officers who will perform those jobs are either officers who were recruited in the previous fiscal year or at least who are replaced by officers who were recruited in the previous fiscal year. Foreign service officers are not, therefore, hired to fill directly the new positions which provide them with a place on the payroll.

102. All this suggests that the setting of a recruitment target for FSOs should not really be done in relation to the positions being added in the fiscal year in which they are to be employed: the Department should set the target in relation to longer term objectives, just as a fruit-grower will buy and plant seedling fruit trees, not to add to the size of next year's crop, but to increase production several years hence.

103. There is an important advantage to the Department's setting and adjusting its recruiting target in relation to long-term manpower requirements rather than those of the immediately upcoming fiscal year. Recent junior foreign service officer recruitment, which has been fixed in relation to the irregular advances in the Department's growth each year, has been quite uneven: the intake has risen from 14 in 1962/63 to 59 in 1966/67 and 1967/68, and in 1968 dropped back to 21. The extreme unevenness in the annual intake poses very difficult problems for the posting and assignments officers in Personnel Operations Division and for the Training Section, both of which have to adjust their work to a widely and rapidly fluctuating number of clients. It is much more likely, if the recruitment target is set each year in the light of the manpower target five years in the future and in relation to anticipated departmental expansion over the longer period, that the number recruited will vary much less from year to year and will make the task of the personnel administrators vastly simpler.

104. The Department now has an instrumentality which should enable it to forecast its recruiting requirements several years ahead. This is the five-year forecast prepared as part of the Annual Programme Review. The recruiting target, fixed in relation to the total Departmental manning target five years in the future, can be adjusted each

year by relatively small amounts to take account of variations from the anticipated pattern in the departmental growth rate.

105. Proceeding from the five-year forecast prepared in the Annual Programme Review, from a rule of thumb for determining what proportion of the Department's projected establishment five years hence is likely to be made up of foreign service officers and from a projection of current separation rates into the future, the manpower planner can determine the long-term FSO strength objective. Based on this, he can fix interim objectives either by presuming an expansion spread evenly over the five-year period or by making special allowances for any indications of changes in the rate of departmental growth in the period concerned.

106. Let us illustrate this from the Department's present situation. The Department's establishment in the current fiscal year is 3,288, of which 515 positions (15%) are designated for FSOs. The projected establishment (if we may continue to use the term) is 4,535 for the year 1973/74. To determine the number of FSO positions in this total, we take 15 per cent of 4,535 and arrive at a figure of 680 positions. The Department will probably have 490 foreign service officers on strength at the beginning of next fiscal year (1969/70). If the Department is to increase its complement evenly in the next five years to attain a level of 680 officers in 1973/74, it will need to increase its total FSO complement each year by a net figure of 38. So far as separations are concerned, for the moment we can allow a gross average figure of 4.5 per cent. Based on this information we can draw up a projection which will enable us to identify a recruitment target for each of the next five years -- just over 60 officers per year, on the average (see Figure 7).

107. This figure seems extraordinarily high: but it is, after all, related to a projected increase in the Department's total establishment of 38% in five years. Such an expansion rate, though rapid, is not unthinkable. The departmental establishment increased by over 36 per cent in the years 1963/64 to the present.
108. Even if we presuppose a more modest rate of expansion, however, we still find that the recruitment target must be a fairly impressive figure. Let us suppose the Department will expand by 20 per cent in the next five years, which would give us an FSO strength target figure of 618 for 1973/74. Our projection would then look as shown in Figure 8. This projection indicates that the Department's recruitment target for each of the next five years should average 49 officers.
109. Even if one presumes a rate of expansion of only 10 per cent in the next five years -- less than one third the amount projected in the Department's own five-year forecast -- an annual recruitment rate of approximately 38 officers per year will have to be maintained if the 1973/74 objective of 566 FSOs is to be reached.
110. As the foregoing would suggest, one need not be entirely mechanical about fixing the recruiting target, provided it is set in the light of the long-term forecast and with due regard to other short-term factors. At the present time for instance, economic circumstances which were not apparent last May suggest that the forecast of departmental expansion over the next five years (prepared at that time) is over-optimistic and the Department would be wise to guess at an expansion rate closer to 20 per cent for the five-year period than the 38 per cent implicit in the five-year forecast.

Figure 7 - ESTABLISHMENT OF RECRUITMENT TARGETS,
1969/70 - 1973/74: PROJECTION WITH 38%
INCREASE IN FSO STRENGTH

	<u>69/70</u>	<u>70/71</u>	<u>71/72</u>	<u>72/73</u>	<u>73/74</u>
Target Strength	528	566	504	642	680
Strength Year Opening	490	528	566	604	642
Separations	21	23	25	26	28
Net	469	505	541	578	614
Recruitment Target	59	61	63	64	66
Strength Year End	528	566	604	642	680

Figure 8 - ESTABLISHMENT OF RECRUITMENT TARGETS,
1969/70 - 1973/74: PROJECTION WITH 20%
INCREASE IN FSO STRENGTH

	<u>69/70</u>	<u>70/71</u>	<u>71/72</u>	<u>72/73</u>	<u>73/74</u>
Target Strength	515	541	566	592	618
Strength Year Opening	490	515	541	566	592
Separations	21	23	24	25	26
Net	469	492	517	541	566
Recruitment Target	46	49	49	51	52
Strength Year End	515	541	566	592	618

(R 16)

Accordingly we recommend:

- a) That the annual recruiting target for foreign service officers be set as part of a five-year projection, based on the total departmental manpower figure forecast for five years ahead;
- b) That due allowance be made for anticipated separations; and,
- c) That the recruiting figure for 1969/70, applicable to the FSO competition just completed, be set at 40 FSOs as a minimum.

111. Deciding how many people to invite to the party is one thing: we must not neglect, however, to send out the invitations. Accordingly, we propose now to examine the important matter of recruitment promotion.

Recruitment Promotion

112. The Department has apparently been aware ever since the war that some public relations activity was required to stimulate interest on the part of young people, particularly at the universities, in the annual foreign service officer competition. The extent of the Department's public relations activity has varied according to the availability of officers to do it. The absence of consistent effort suggests not only a wide variation in resources to do the job but also some uncertainty as to what type of promotion was really desired. In 1965, in the absence of any appreciable publicity for the FSO competition that year, the Department laid on a crash operation which involved the sending of departmental officers in considerable numbers to universities across the country specifically to drum up candidates for the competition. Although an adequate number of candidates entered the competition that year, the hard-sell campaign did not make a good impression on some of the universities visited,

and has not been repeated since. Since that time most of the Department's recruiting effort has been largely indirect; advantage has been taken of opportunities for officers to speak to university groups, but in general, officers making such visits have talked about matters of substance rather than making a recruitment pitch. The Department has continued to send out some officers to a few universities specifically to publicize the foreign service and to stimulate interest in the next FSO competition, but this activity has not been very extensive.

113. The results of these tactics continue to be gratifying in terms of the number of candidates who present themselves in the competition, but departmental selection officers have remarked in the last year or two that the number of first-rate candidates has been relatively small in proportion to the total. University faculty members in conversations with some selection officers from the Department have confirmed the impression that many first-class students are not participating in the foreign service officer competition. There is therefore good reason to doubt whether the Department's public relations effort is being effective since it does not appear to be producing enough of the right kind of candidates.

114. As with any kind of advertising, it is difficult in this case to tell exactly what kind of public relations activity is likely to produce the best effects. We suggest that a good point of departure in seeking an answer to this question is to determine what kind of university graduate the Department prefers. Judging by the candidates the Department has selected in the last few years, we would conclude that the preference is for candidates who have done some post graduate studies to those who have not. This would indicate that any

public relations activity designed to produce candidates for a particular competition should aim at the graduate students.

115. This conclusion is confirmed in part by the results of one aspect of the public relations effort which has been carried out. In the last two or three years the Department has asked several posts to assist in publicizing the foreign service officer competition by sending officers to visit local universities to make contact with potential candidates amongst Canadian students doing graduate work abroad. Lists of Canadian students studying at foreign universities were compiled and notifications of the FSO competition were sent to them. The results of this effort have generally been favourable: students who participated in the competition whilst studying abroad have been well represented amongst the successful candidates. There would seem therefore to be good reason to extend this selective publicity to graduate students studying in appropriate disciplines in Canadian universities. This would certainly seem to be more profitable than concentrating attention on students in their graduating year, which has characterized some of the competition publicity in the past.

(R 17)

We recommend, therefore, that in co-operation with the Public Service Commission the Department continue to direct recruitment publicity to Canadian graduate students in universities abroad and that similar publicity be directed towards graduate students in universities in Canada.

116. A further modification of the Department's recruitment publicity effort is suggested by some of the findings of Dr. Jackson's research. Table 6.1 in his report shows that a substantial number of the officers interviewed in the project group -- 51% of the total -- said that they had become interested in the foreign service as a

career while they were under-graduates. In response to the question as to why they wanted a career in the foreign service, 61.8% of the group said that they had been interested in foreign affairs (see Dr. Jackson's Report, Table 6.2). It is therefore safe to conclude that a very substantial number of officers now in the service developed an interest in the career through their undergraduate years. In recognition of these facts the Department would be well advised to work out with the Public Service Commission a programme to extend foreign service recruitment activity to university students in the earlier stages of their university career. Stimulation of an interest in the foreign service as a career amongst first and second year students even by the indirect means of printed publicity material, supplemented by regular visits to campuses by officers in the service under circumstances that are not specifically related to recruitment should produce the best results in the long run.

(R 18)

Accordingly we recommend that in co-operation with the Public Service Commission the Department

- a) develop a programme to publicize the foreign service amongst the first and second year students at Canadian universities;
- b) continue the practice of arranging visits to the university campuses by officers of the Department who can, by means of their contribution on substantive matters, provide good institutional advertising for the foreign service; and
- c) direct publicity towards people in institutions in addition to those from which the Department normally draws FSO candidates in order to broaden the area from which FSOs are recruited and to increase understanding of the purpose and activities of the foreign service.

117.

Any material mailed out to potential future candidates for the foreign service should be frank, fully detailed and up to

date. Various officers now in the Department identified in interviews with the consultants a clear need for better and more accurate information about the foreign service for distribution to potential recruits. The Department should ensure that recruiting material reflects the foreign service as it really is. We found it rather extraordinary, for instance, to note that publicity brochures used in the last two or three years make no mention whatsoever of the Department's role in the field of external aid, and the extent to which younger officers particularly are involved in it. In addition, most such publicity material describes the work of the foreign service officer more in his role as an individual contributor than as a supervisor of subordinate personnel or in his capacity as a director or manager of operational units at home or abroad.

(R 19)

We recommend, therefore, that the Department review carefully the information passed to the Public Service Commission for inclusion in printed recruitment publicity material to ensure that it gives an accurate representation of the work of a foreign service officer at the various stages of his career.

Selection

118. A vital prerequisite for a recruiting programme is the establishment of selection standards. Apart from the basic qualifications of age, citizenship and ten years' residence in Canada, FSO recruiting standards identified by the Department and used by the Public Service Commission in its publicity material have been defined in fairly broad and general terms. The departmental officer who is made a member of one of the FSO Selection Boards is likely -- in the absence of more specific guidance -- to interpret these

standards very much in accordance with his own thinking and to recruit in his own image or in the image of the ideal foreign service officer that derives from a rather vague oral tradition rather than from systematic analysis of the work FSOs have to do. This has not produced bad results, but has probably provided the Department with an oversupply of officers primarily interested in political analysis and an undersupply of officers with aptitudes for supervision and direction.

119. The starting point for selection standards is, of course, an analysis of the Department's work requirements. We carried out such an analysis in the course of this project on the basis of such information as was available about work done by FSOs, particularly at posts abroad. This work analysis suggested that the Department's recruiting standards should include such items as good judgment, intelligence, an interest in international affairs, ability to communicate both orally and in writing, social skills and management aptitudes. In other words, the analysis verified the standards traditionally employed in foreign service officer selection with the exception of the final one, management aptitudes. We will have more to say on this latter point in the next chapter.

120. To ensure that its recruitment standards reflect the changing nature of its work requirements, the work analysis which we carried out should be repeated regularly -- something which will be required in any case for proper manpower accounting. In addition, some effort should be made to peer into the future: clearly, information about what the Department is doing now and what the role of the foreign service officer is at the present time may not be sufficient in connection with the recruitment of officers who will be in positions of responsibility

fifteen or twenty years hence. The analysis of the Department's present work requirements must therefore be supplemented with information relating to anticipated changes in the functions of FSOs and to the responsibilities of the Department. Such information will be particularly relevant, for instance, if the Department were to be assigned a more extensive role in co-ordinating the work of Government departments abroad.

(R 20)

We recommend, therefore, that in connection with FSO recruitment at all levels the Department review regularly with the Public Service Commission the Commission's FSO selection standards to ensure that they reflect the types of work that FSOs of all grades are expected to do as well as any changes anticipated in the responsibilities of FSOs or the functions of the Department of External Affairs; and further that the Department ensure that a statement of these selection standards is available to each member of the FSO Selection Boards before they commence their interviews.

121. The selection stage of recruitment as currently organized by the Public Service Commission is carried out in two phases:

- (1) the written examination, consisting of
 - a) a test to assess the candidate's knowledge of his second Canadian language;
 - b) the general intelligence test; and
 - c) the foreign affairs interest test; and
- (2) the oral board interview.

The language test in its present form is a new feature which was applied for the first time in the 1968/69 competition: we are not now in a position to make an assessment of it.

122. The other two parts of the FSO written examination have rather different backgrounds. The general intelligence test has

been developed over a number of years by the testing section of the Public Service Commission and is administered to candidates in a fairly wide variety of Public Service competitions. The test is used only as a screening device: those who get over a certain mark (determined in relation to the number of candidates which the Departments of External Affairs and Trade and Commerce wish to interview) are declared to have passed and are later interviewed, while those who get a mark below the level set, fail and are not interviewed.

123. The foreign affairs interest test is also used as a screening device to eliminate those candidates who are deemed not to have sufficient knowledge of national and international affairs to make good foreign service officers. This test has been used only for the second time this year and it is difficult to evaluate it yet.

124. Departmental officers who have been involved in the selection process in the past few years have expressed dissatisfaction with various aspects of it. There is no great measure of confidence in the value of the general intelligence test administered by the Public Service Commission as a basic part of the written examination. Many departmental selection officers have remarked on the number of sub-standard candidates who manage to pass the general intelligence test and one continues to hear of cases where candidates deemed to be very promising by university faculty members have failed to pass the examination. Both selection officers and those concerned with the cost of fielding six selection boards for several weeks complain of the requirement to interview 500 candidates in order to arrive at an eligible list of between 100 and 150. The number of candidates could, of course, easily be reduced if the Department could put greater faith in the written examination or some other screening device. This brings

us back to the point of departure in a circular problem.

125.

We believe that there are things which the Department -- in co-operation with the Public Service Commission -- can do to break out of this impasse. To identify these things, we would like to focus first on the object of the FSO written examination and selection board interview, which, we suggest, is to assess a candidate's capacity in relation to the accepted recruiting standards for FSOs. In paragraph 119 above we mentioned the FSO recruiting standards we had identified in our work analysis. The manner in which FSO candidates are now being assessed in relation to these standards can be shown as follows :

<u>Standard</u>	<u>Means of Assessment</u>
Intelligence	General Intelligence Test Academic Standard (BA minimum)
Interest in International Affairs	Foreign Affairs Interest Test
Ability to communicate in writing	-----
Management Aptitudes	-----
Good Judgment	Oral interview (and background information elicited in the interview)
Ability to communicate orally	Oral interview
Social skills	Oral interview (and background information elicited in the interview)
Knowledge of second Canadian language	Language Test

The first three standards -- the intelligence test, the academic requirement and the Foreign Affairs Interest test -- form the screen through which candidates must pass if they are to appear before the selection boards.

126. The problem appears to be twofold: first, the competition is not testing candidates against all the recruiting standards we have identified; and secondly, confidence in the validity of the first three standards is not sufficient to permit the Public Service Commission and the Department to use them in their present form to reduce the number of candidates to be interviewed appreciably below the present figure of 500. If the screening tests could be made more reliable, the selection boards could interview fewer candidates. They could then spend a little more time on the interviews and could have time to check the background of candidates more carefully.

127. It seems to us that there is the potential here for a much more reliable screening system, if not too much reliance is placed on any one element in it. We suggest that there could be five elements -- the general intelligence test, the academic standard, the foreign affairs interest test, a test in communicating in writing and a test in management aptitudes, and that all five could be combined into a screening device in which the Department and the Public Service Commission could have confidence. Let us examine each of the five elements to see what might have to be done to achieve this.

128. We believe that the general intelligence test should continue to be employed, but that relatively less reliance should be placed on it. Dr. Jackson's research has revealed a measure of correlation between a good general intelligence test score and a successful career in the service as measured by the earning/age factor -- a rule of thumb measure of achievement obtained by dividing a person's income by his age in years. There was not a correlation between the test score and other factors of success, however. We suggest, therefore, that the general intelligence test should be subjected to a validity study. Test scores

for Foreign Service Officers now on strength should be available in Public Service Commission files for this purpose. In the meantime the test might continue to be used as part of the screening device in the selection process. (See Dr. Jackson's Report, Recommendation No. 5 and Chapter V, Section entitled "Suggested Selection Tests").

129. By the same token, a validity study should be carried out on the Foreign Affairs Interest Test. It has not been used long enough to provide much data for such a study, but the test might be given to officers now in the service to assist the Department and the Public Service Commission in determining its usefulness. Meanwhile, this test might also continue to be used as part of a screening system, though it should perhaps be given less weight than other factors.

130. The academic standard which applies in the foreign service officer competition requires that a candidate be at least in the final year of an undergraduate programme and that he will receive a bachelor's degree before he begins his employment, if he is selected. Examination of the record shows that a high proportion of successful candidates have completed additional academic work beyond the bachelor level and that very few indeed attain a position on the eligible list which brings them into range of receiving an offer of employment if they have a bachelor's degree only. This suggests that the selection standards which the Selection Boards are applying correlate pretty highly with academic attainments well beyond the minimum required in the competition. More stringent academic requirements could therefore probably be used quite effectively as part of a screening device.

131. We suggest, however, that the problem be given some further study before the Department makes a definitive decision to ask the Public Service Commission to raise the minimum academic requirements

for entry into the competition. The Department should consider carefully whether it is indeed higher academic performance alone that is being sought or whether it is simply greater maturity, for which some other measures may also be employed -- age, for instance, or other employment experience. In addition, it would probably be worth while to compare the academic records of recent recruits to see what correlation, if any, there is between academic performance and academic discipline on the one hand and performance in the service on the other. We are confident that the academic record can, in some form, be made a useful component in the screening device, but believe that its potential in this regard should be studied further first.

132. The fourth element in a combination screening device should be a test of a candidate's ability to communicate in writing. For years great importance was attached to the essay examination which formed an essential part of the FSO competition, until it was finally dropped in 1967. Originally, the essay examination was put together much like any university examination, and was intended to provide a means for assessing the candidate's ability to think and express himself clearly and to display his knowledge of some problem in the field of international or Canadian affairs. To ensure that students in disciplines other than political science, history and law, would have an opportunity to shine, the examination tended more and more to offer the candidate a wide choice of subject to write about, a circumstance which diminished its value as a means of assessing the candidate's knowledge of Canadian and international affairs. Since the general intelligence test purported to provide an objective measure of the candidate's ability to think clearly, the essay examination came to be regarded primarily as a means of assessing the candidate's ability to draft clearly. This was not a conscious shift in purpose, however,

and for some years the essay examination continued to be marked like a university examination by teams of university professors and departmental officers who -- because the purpose of the examination had not been clearly defined -- had often great difficulty in reconciling their marking standards. Practical considerations then came into play: marking essay examinations was a slow business, and with the requirement of haste to keep the foreign service competitive in a tight labour market, the decision was finally taken in 1961 to save time by not marking the essay and to retain it only for the information of the selection board officers. A few years later, the practical problem of reproducing the essays quickly in legible form for the fast-moving selection teams, finally loomed too large, and the essay examination was discontinued.

133. There is no escaping the facts, however: first, that many university graduates -- even those with advanced degrees -- are woefully incapable of writing well; secondly, that the ability to communicate well in writing is an essential requirement for success in the foreign service; and thirdly, that the present FSO selection procedures do not try out a candidate's drafting abilities.

134. If a test of drafting ability could be introduced into the written examination, it would make an excellent additional element in the screening device. Such a test would have to be susceptible of rapid marking, so as not to delay the screening procedure, and this should be possible if the test's sole purpose were to determine the candidate's ability to communicate in writing. We have in mind an examination which would pose a problem, based on facts which would be provided: the candidate would have to write a particular kind of communication -- a letter or a memorandum -- with a prescribed purpose.

All candidates would have the same topic. Since the exercise would be highly structured it should be possible for those setting the examination to devise reasonably objective standards of composition on which to judge candidates' work. By means of this type of examination, it would be possible to assess candidates in accordance with an important recruiting standard, and the assigned mark could be a useful component in the screening device.

135. The fifth standard we have proposed as an element in the screening is a management aptitude test. We will discuss in the next chapter the requirement for this and will therefore not go into it here. There are tests available to assess management aptitudes, and it would seem to us desirable to make use of such a test as part of the FSO selection procedures. Since these are multiple choice, objective type tests, one of them could possibly be included as part of the written examination and used as a component in the screening device, subject of course to the recommendations of test specialists of the Commission. In his report (Recommendation No. 5 and Chapter V) Dr. Jackson has recommended that the Department make use of the Ghiselli Self-Description Inventory as a management aptitude test for the guidance of interviewers.

136. We suggest that the five elements in the screening device could be combined to produce a composite score, and that a pass mark could then be fixed to yield a much smaller number of candidates to interview -- say between 200 and 300 at the outside. Candidates interviewed would have met certain standards specifically related to the foreign service.

137. We believe that the elements which would go to make up the screening device should be given different weights. This weighting would be a matter of judgment, but we would suggest something along

the following lines:

General Intelligence Test	20
Academic Record	45
Foreign Affairs Interest Test	10
Drafting Ability Test	15
Management Aptitude Test	10

Accordingly, we recommend:

(R 21)

- a) That the Department obtain the concurrence of the Public Service Commission in the revision of the FSO selection procedures so that candidates can be more effectively screened before they are called to appear before selection boards and so that fewer candidates need be called to interview;
- b) that to this end a study be made of the possibility of refining the academic requirement to something more exacting than a simple bachelor's degree, and of giving a score value to a candidate's academic qualifications;
- c) that a candidate's academic qualifications score be combined with his score on the written examinations to provide a composite score which could be used for selecting candidates for interview;
- d) that for the time being the written examinations comprise the present general intelligence test, the foreign affairs interest test, a test of the candidate's knowledge of his second Canadian language, a drafting ability test and a management aptitude test;
- e) that the Department seek to have validity studies carried out on the general intelligence test and the foreign affairs interest test immediately and on other tests employed at an appropriate time.

138. The present written examination is only used as a screening device to reduce the large number of candidates down to a group which can be conveniently interviewed by the Selection Boards. It is in

these oral interviews where the real selection work is done.

139.

For many years the Head of Personnel Division was the Department's only selection officer. In 1961-62 the selection work was divided between two officers and for the last few years six or more have been involved each year. While a few officers who perform this service accumulate some experience in it (e.g. two former heads of personnel, Messrs. Williams and Hardy, participated in the Selection Boards in the competition just completed) many do it for one occasion only. This would seem to be an area in which accumulated experience could be of great value. As the task should clearly be performed by Foreign Service Officers, we believe that the best results would be obtained if the Department were -- so far as possible -- to use officers for this work on several succeeding occasions, much as officers are used over a period of time on the Officer Rating and Promotion Boards.

140.

At the present time most of the briefing and indoctrination of selection board officers is provided by the Public Service Commission and is aimed primarily at officers from other departments who are going out to recruit administrative trainees. Some of the briefing given by the Public Service Commission is, of course, on techniques which are as applicable to candidates for the Foreign Service as they are to candidates for positions in domestic departments. Nevertheless, it appears to us that the briefing organized by the Public Service Commission devotes considerable attention to matters of little interest to the foreign service and does not focus specifically enough on the problems of how to select candidates likely to do well in the Foreign Service. Selection interviewing is a highly skilled procedure and the Department should put a great deal more

effort into ensuring that those who take part in it are adequately prepared and trained. In the non-technical areas the Department of External Affairs year after year recruits more university graduates than any other single department and in view of this circumstance, and in view of the sensitive nature of the work to be done and the special demands of the Foreign Service, the Department would be justified in directing a great deal more energy and effort into perfecting its selection techniques. In this connection attention is called to Recommendations Nos. 4 and 6 in Dr. Jackson's Report.

We recommend:

(R 22)

- a) That the Department work out with the Public Service Commission revised arrangements for the training and briefing of the External Affairs members of the Selection Boards which will meet the special requirements of the Foreign Service;
- b) that the training be based on the best information and research available on all selection techniques, and make use of the most up-to-date methods;
- c) that training sessions be short, intense and 100% relevant; and
- d) that so far as possible the Department assign officers to Selection Board teams on several succeeding occasions and that it request the Public Service Commission to do likewise.

141.

The kind of interviewing and travel schedules now arranged for Selection Boards do not normally permit Board members to obtain much assistance from university faculty members in the selection process. In many of the larger universities, where the enormous numbers of undergraduates make it almost impossible for faculty members to have much impression of individual students, the possibility that Board members might obtain useful information from faculty supervisors is perhaps not very great. Nevertheless, Selection Board members who have attempted to obtain this kind of information at the smaller universities have often got gratifying results. If the number of candidates to be interviewed could be reduced by 20 per cent or more, some of the time saved could be spent to great advantage by Selection Board members making contacts with faculty members who have some knowledge of leading candidates. Such activity is expected of the Department since it requires candidates to list references on their application forms -- at present a largely empty procedure since few references are followed up. Any programme for increased contact between Selection Board members and faculty professors should be worked out in close coordination with the Public Service Commission and with the Department's own Academic Relations Section of Information Division.

(R 23)

We recommend that if the number of candidates to be interviewed by Selection Boards can be reduced, the Department work out with the Public Service Commission arrangements whereby Selection Board members may check the references of the better candidates, particularly with university faculty members.

Employment

142.

The obtaining of security clearances may be regarded either as the last stage of the selection process or the first stage of the

employment process. We have no particular comment to make on the gathering of information for the security clearance work or the assessment of it, the efficiency of which we have no reason to doubt. On the other hand, delays in making employment offers because of the requirement to await security clearances can be serious. In 1965 and in 1966, the first offers of employment were sent out as early as the third week in January. In 1968, the first offers apparently were not issued until the second week in February, while this year, although they have been sent out a little earlier (the last week in January) they are still later than the offers sent out by the Department of Trade and Commerce. While the requirement for a security check and the concomitant delay which this procedure entails is not unknown to many foreign service candidates, the Department's image is not enhanced when an unusually long gap develops between the oral interview and the issuing of an offer of employment.

(R 24)

We recommend, accordingly, that the Department review its security procedures with the Public Service Commission and with the security authorities in order to keep to a minimum the delays which may occur in the dispatch of offers of employment to FSO candidates.

143. An examination of the record of offers of employment made over the past two or three years indicates a fairly high percentage of successful candidates who have declined an offer of employment, thus compelling the Public Service Commission to move down the eligible list in order to obtain the required number of new officers.

144. The loss to the government through the selection of a candidate who in the final event declines employment is considerable. In view of the intense competition for high grade talent, a fairly high incidence of this sort of thing must be anticipated in any cir-

cumstances. There is reason for believing, however, that a fairly substantial number of those who decline employment do so in order to continue their studies. Some of them eventually enter a later FSO competition and go through the same procedure all over again. Clearly this is wasteful, both from the government's point of view and from the point of view of the individual.

145.

A good deal of this waste effort could be saved and probably a few first-class candidates could be kept for the foreign service if at the Department's request the Public Service Commission could make deferred offers of employment to a certain percentage of the highly-rated candidates. Under this arrangement a candidate who had completed, say, one year of graduate work and who, in addition to being a candidate for the foreign service was also a candidate for a Woodrow Wilson Fellowship, would be able to accept both the Commission's offer of employment and the Woodrow Wilson Fellowship at the same time, on the understanding that a place would be held for him for his entry into the service one or two years later. The Department might gain some additional advantage from this arrangement by suggesting to the candidate who is offered a deferred appointment certain types of special training which he might take on his fellowship money and thus enhance his usefulness to the foreign service when he eventually joins. We believe that the Commission should make deferred offers only to outstanding candidates (e.g. those who are in the first fifteen or twenty positions on the eligible list): probably no more than three or four officers a year would be eligible under such a system. We also believe such arrangements could be worked out under existing regulations of the Public Service Commission.

We recommend, therefore;

(R 25)

That the Department work out with the Public Service Commission arrangements for the employment of foreign service officers which permit the deferment of commencement of employment so that outstanding candidates can complete their academic studies.

146. As we suggested at the outset of this section, it is difficult to overestimate the importance of the entire recruitment function if the Department is to be maintained at maximum operating efficiency. Policy formulation and recruitment target setting are clearly responsibilities that should be borne by the Under-Secretary, the Assistant Under-Secretary in charge of administration and senior personnel officers. Those aspects of recruitment promotion, selection and employment which fall within the Department's jurisdiction are the responsibility of the Employment Section of Personnel Operations Division, and the importance of this work should be recognized in the calibre and level of the officer assigned to handle it. Further, in view of the extent of his normal responsibilities, even an experienced officer in this position will probably not have time for the special research for an alternative to, or a supplement for, the present written examination as a selection screening device. Nor would he have time for the initial development of a programme to improve the Department's handling of the selection interviews, and particularly the training of selection officers.

(R 26)

Accordingly, we recommend that the Department fill the FSO employment position in Personnel Operations Division with an officer of FSO 3 or FSO 4 rank; and that it set up special projects under officers with no other regular responsibilities to work out with the Public Service Commission improved selection procedures, including the training of selection officers.

IV

TRAINING AND DEVELOPMENT

A. INTRODUCTION

147. Our terms of reference required us "to recommend new or revised policies and procedures which the Department of External Affairs should pursue to ensure that it will have adequate numbers of experienced foreign service officers to meet its future commitments, with special reference to training programmes at the new entry and middle rank levels; assignment policies and practices" Briefly put, our object in this part of the enquiry was to find out WHO must be trained for WHAT and HOW and WHEN and WHERE.

148. In our endeavour to answer these questions we employed two separate methods: first, we analysed the Department's work organization and its work requirements. Secondly, we engaged Dr. David Jackson of David Jackson and Associates, Psychological Research Consultants, Toronto, to carry out a behavioural research project, which was intended to identify characteristics, education and work experience of foreign service officers most significant to successful careers. A secondary objective of Dr. Jackson's research was to identify the characteristics of any service training programme which would develop aptitudes required in foreign service to their highest level within the time constraints of the Department. We propose to give our main exposition of this enquiry in terms of the work organization and work requirements analysis and to refer to Dr. Jackson's research wherever it supplements or supports the analytical study,

B.

ANALYSIS OF WORK ORGANIZATION

149.

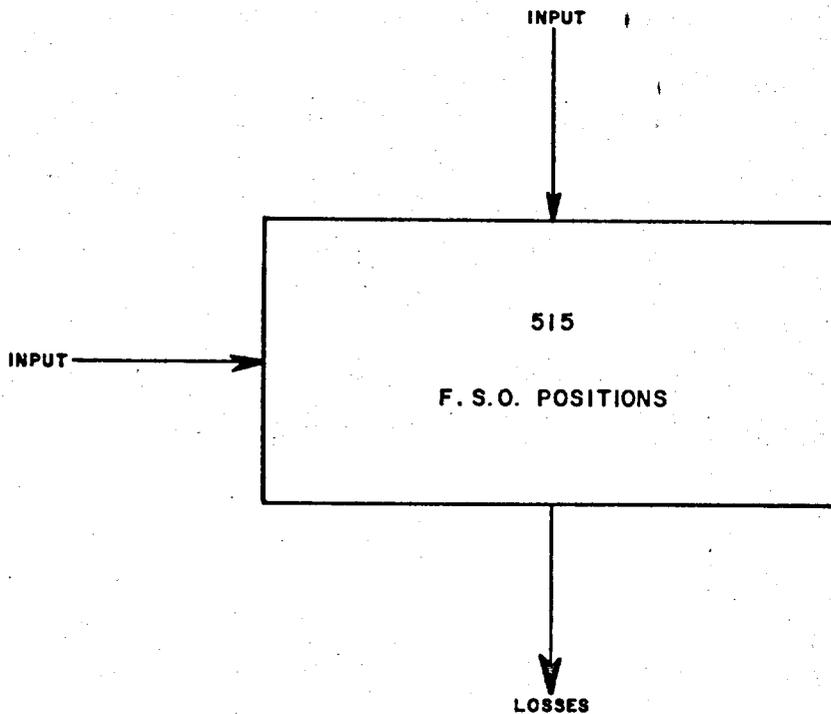
To approach the problem as to precisely who must be trained in the FSO group, we must determine whether FSO jobs should be regarded individually, or in groups, and on what basis. To do this we must analyse the Department's work and work organization, and the system in which FSOs operate to do the work of the Department. In doing so we shall seek to identify the similarities and dissimilarities of work requirements between positions in the system and how these similarities and differences may affect the movement of officers through the system -- their successive appointments to different jobs -- and how such differences may affect their training and development.

150.

In analysing the Department's work organization from this point of view, we start with the entire FSO component of the Department which comprises some 515 FSO jobs or positions at the present time. The diagram in Figure 9 shows the basic movement of personnel input into this system and the outflow from it. Our next step in analysis is to seek to reduce this totality of jobs to a work organization system through which we can trace personnel movements, either from job to job or from type of job to type of job. We will have to determine whether every FSO position is unique or whether they can be grouped according to the nature of the work, its complexity and its managerial content. If jobs fall into groups, we will have to discover whether there are traditional paths of personnel moves between these groups of positions. We will have to find out what rules govern these moves, whether they should be changed, and if so, how.

Figure 9

A SIMPLE OUTLINE OF THE F.S.O. PERSONNEL SYSTEM



151. To illustrate the kind of enquiry we are suggesting and to indicate the sort of work organizations that can exist, we would like to outline briefly some typical personnel or work organization systems. In Figure 10 the blocks represent groups of positions in various personnel or work organizations. The groupings of positions have been made on the basis of the nature and complexity of work content of the positions, the managerial content or other factors if they exist. The complexity and managerial content determine the groupings across the page: that is to say, the positions represented by the blocks in the second vertical column are more complex and they have a

FIGURE 10 - SOME TYPICAL FORMS OF PERSONNEL SYSTEM

DIAGRAM A - SIMPLE DIRECT OR SERIES PROGRESSION THROUGH RESPONSIBILITY LEVELS

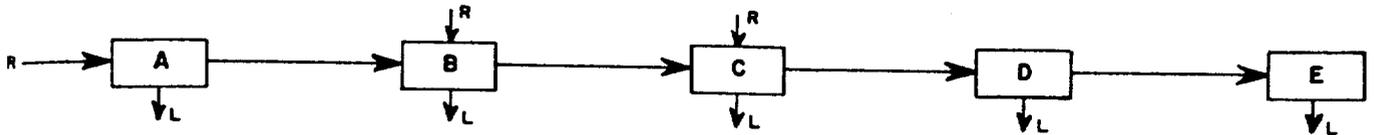


DIAGRAM B - SERIES PATH COMBINING BOTH LATERAL WORK VARIATIONS AND PROGRESSION THROUGH RESPONSIBILITY LEVELS

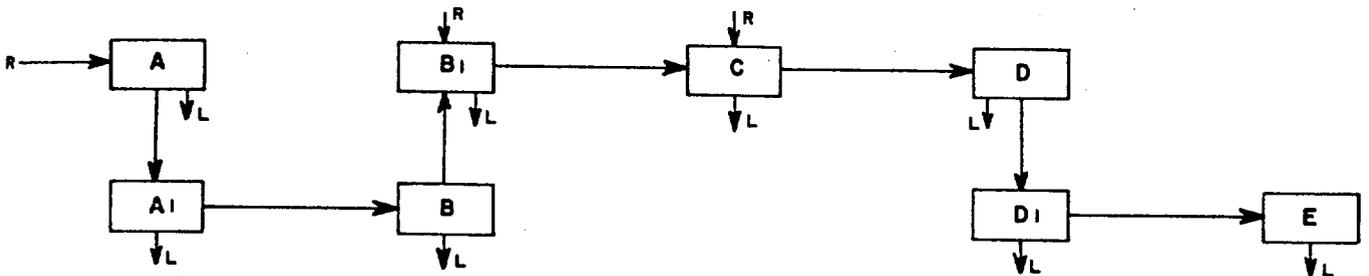


DIAGRAM C - PARALLEL PATHS OF PROGRESSION

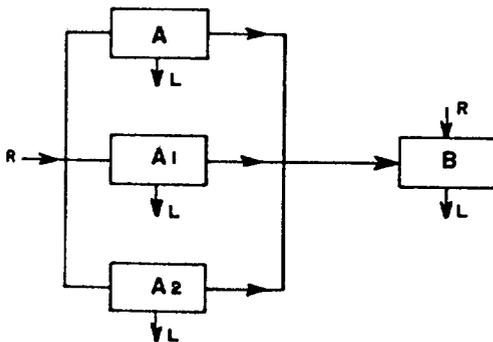
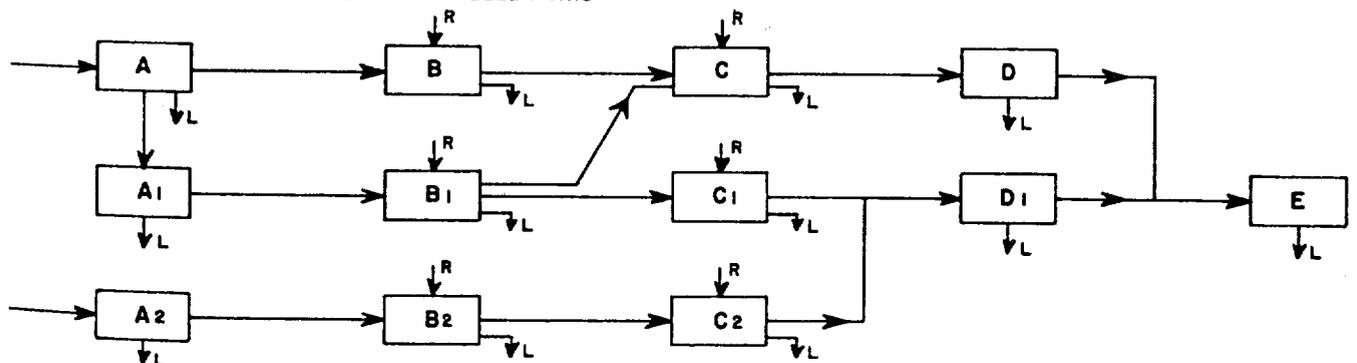
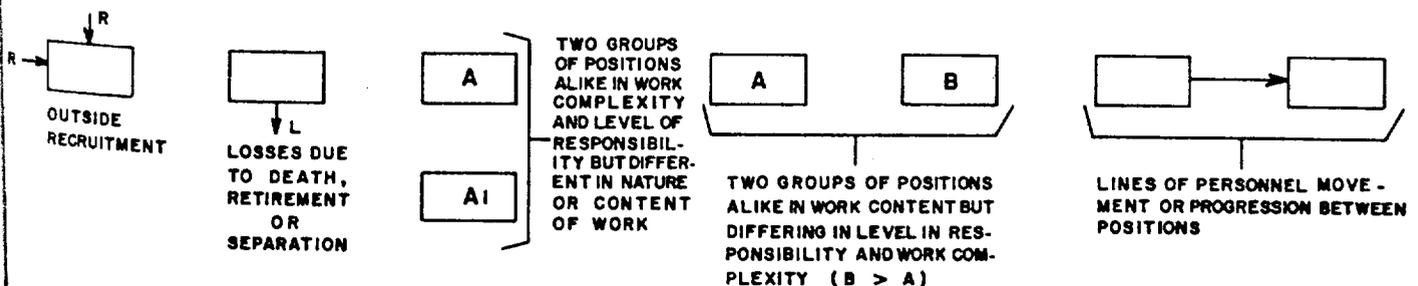


DIAGRAM D - COMBINATIONS OF SERIES AND PARALLEL PATHS



CODE



higher proportion of managerial content than those in the first column, positions in the third column more than the second column, etc. Differences in fields of work content and in function separate the groups in the horizontal bands one from another. The lines and arrows indicate the normal paths of personnel progression through the groups of positions represented. Other arrowed lines indicate either points of entry into the system or recruitment, or points of exit or losses.

152. We would like to point out the following characteristics of typical systems represented in Figure 10:

- a) There is a wide range of possible paths of movement and progression through the various position groupings;
- b) as they progress to the right or toward greater responsibility in an organization, personnel may follow a direct path through a series of positions as in Diagram (a); or in combination with lateral movement as in Diagram (b).
- c) alternatively (as shown in Diagram (c)) the path of progression may be in parallel;
- d) a system may be a variety of combinations as in Diagram (d).

153. Another important characteristic in many organizations is that recruitment can take place at any level. For most organizations there are other similar organizations doing similar work and developing similar manpower skills. Some of these are in highly competitive fields such as the manufacturer of radios; some are in non-competitive fields such as municipal hydro electric commissions.

In either case such organizations can turn elsewhere if necessary or desirable to recruit personnel for functional or managerial jobs at any level.

154. In most organizations, furthermore, each job group must have its work requirements analyzed separately for training and recruitment purposes. In most cases differences in content and complexity between job groups or differences in paths of progress in an organization are such as to require separate consideration. Even where the career progression path is through successive levels of one function, there are enough differences between the levels to demand some individual attention (e.g. an accountant trainee moving from a bookkeeping to an auditing position.)

155. Finally, in most organizations, both commercial and government, it is the position which is priced, not the person: that is to say, people are paid according to the job they do rather than according to the abilities they are deemed to possess. Under this arrangement an organization which has to fill a vacant position will select the person whose skills most closely match the requirement of the job concerned. The job is evaluated by some means so as to price it fairly in relation to what other organizations in the area or community pay for similar work and in relation to its ranking with other job skills. The incumbent is then paid the rate for that position.

156. In the light of what has been said above about possible work organization or personnel systems with their different groupings of positions, paths of progression and pay determination, what kind of system does the Department of External Affairs operate for its foreign service officers?

157. In order to achieve a valid analysis of the FSO personnel system which would enable us to identify training needs, we set about first accumulating detailed information on the nature and complexity of the work performed by FSOs at posts abroad. From position descriptions, organization charts and rating review forms, we assembled all the information we could find about the work content of various jobs and where possible the proportion of time spent on different kinds of activity. This information was in the initial instance gathered for positions abroad below the Head of Post level.

158. We should observe at this point that information about job content of various FSO positions abroad and particularly the distribution of time spent on various activities was very spotty indeed. While this did not make the analytical process impossible, it rendered it quite difficult and in some places rather unreliable.

159. Once available information had been coded onto file cards an attempt was made to group the positions either by their supervisory responsibilities or by their job content.

160. For positions below that of Head of Post, supervisory responsibilities clearly varied according to the nature or the size of the post concerned. Accordingly, we established the following groups of FSO positions in which there was a significant supervisory content:

	<u>Number of Positions</u>
1. Chargé d'Affaires	7
2. Head of Chancery - large posts	9
3. Head of Chancery - medium posts	20
4. Head of Chancery - small posts	36

All these positions had, of course, a great deal more in terms of job content than the supervisory element by which we classified them. Furthermore, in the case of the medium and small posts it was possible to sub-divide the groups even further into Head of Chancery, medium posts (aid posts), Head of Chancery, medium posts (multilateral posts); and Head of Chancery, medium posts (other). Similarly, with the small post - Head of Chancery positions, the groups could be designated aid posts, multilateral posts, consular posts and other small posts.

161. The remainder of the FSO positions abroad were grouped in nine categories as follows :

	<u>Number of Positions</u>
1. Desk Officer - Political/Political-Economic/ Political-Politico-Military	37
2. Desk Officer - Political/Economic and Aid	17
3. Desk Officer - Political/Economic plus Aid and Information	13
4. Desk Officer - Economic	12
5. Desk Officer - Information	14
6. Desk Officer - Information/General	10
7. Desk Officer - Consular/Information and Consular/General	11
8. Desk Officer - Cultural Affairs	10
9. Unclassifiable	2

162.

The process of sorting out these positions in accordance with their work content brought home to us very forcibly one or two important characteristics of foreign service work. In the first place we found that the number of positions abroad that were made up almost exclusively of work in one activity area was very small indeed: even the number of positions whose work load was 75 per cent concentrated in one activity area was extremely limited. The great majority of jobs are an amalgam of responsibilities in several different activity areas. While we were not attempting to classify the Head of Post positions, a sampling of a few good Head of Post position descriptions indicated that even more than the subordinate positions, the Head of Post position covered a wide spectrum of activities.

163.

Accordingly, while some FSO positions can clearly be identified by their major activity area, the minor activities cannot be ignored. Furthermore, the proportions of the mix of different activities in an FSO job at one post and the corresponding job at a similar post may be quite different. For these reasons we do not believe it would be possible to group FSO positions abroad in activity categories such as those represented in the horizontal bands in Figure 10.

164.

We did not pursue the same kind of analysis to any appreciable extent with respect to the FSO positions at Headquarters. Here the situation is quite different: unlike posts abroad which are, in a sense, a microcosm of the full aggregate of Canada's relations with the country in which the post is located, the Headquarters unit -- at the present time, at least -- is a functional unit whose personnel are concerned with a single activity area -- information, consular, economic, defence liaison, etc. Historically the area divisions have

also been functional divisions: they are concerned with political affairs, and the political function has for administrative convenience been divided into area sections. Accordingly, the variety of activities to be found in any given FSO positions at Headquarters is totally unlike the variety of activities identifiable in an FSO position abroad. Because of the entirely different basis on which work is organized in divisions at Headquarters and in job packages at posts abroad, it is easy to see that an assignment at Headquarters does not provide particularly good training for work abroad and vice versa. This is not to say, of course, that experience at Headquarters is not extremely valuable for an officer going abroad and vice versa. It does help to explain, however, why some officers do well abroad and not so well at Headquarters, while others find that the reverse is the case.

165. From this phase of the enquiry then we would observe that in view of the wide range of activities covered in FSO jobs abroad, in view of the generalist nature of most of the positions, and in view of the Department's practice of rotating officers through positions for reasons unconnected with organizational demand, it is not feasible to design an FSO personnel system with distinct career paths or lines of progression based on the choice of work content of positions.

166. Another enquiry we pursued with a view to discovering the best way of plotting the FSO personnel system was to study the career paths of a number of senior officers concerning whom adequate information was readily available. Our hope in this connection was to discern any established but uncodified rules which might govern the sequence

of appointments an officer received in the course of his career. Once more we could not find what we were looking for, but nevertheless turned up some illuminating information. While it was evident that a number of officers had developed a measure of specialization, it also became clear that even for positions requiring a considerable measure of specialized knowledge, there was no fixed path or sequence of previous appointments through which an incumbent would have to pass in order to qualify for the specialized positions. Departmental practice in this regard, furthermore, did not seem to be out of tune with the views of various senior officers we consulted. Virtually all the Heads of functional divisions to whom we spoke indicated a satisfaction with the type of FSOs that were being assigned to them, though not unexpectedly they pointed out the advantages to them as Heads of Division when the officers assigned to them as Section Heads or Deputy Heads of Division were officers who had served a previous tour of duty in the Division or in some other position where the Division's activity was paramount.

167. In view of the wide range of activities embraced in most FSO positions abroad, in view of the absence of any clearly defined specialist career paths within the service and in the light of the lack of firm demand for highly specialized personnel even from the Heads of those functional divisions where specialists would be most clearly appropriate, we are confirmed in our opinion that the FSO personnel system does not involve any paths of specialization in particular activities, but rather complete freedom or flexibility of movement between jobs of different activity mix or content, and between headquarters and posts abroad.

168. If specialized career paths based on substantive work

content or activity area are not practical, let us consider the effect of work complexity and degree of managerial responsibility. The Department makes an attempt to discriminate between jobs on the basis of their complexity or managerial responsibility by the grading system itself. Examination of the grades assigned to various jobs in the service indicates, however, that there are no very precise standards by which the grade level of a job can be determined. There is, indeed, great inconsistency between the grading of jobs which in terms of their complexity and managerial responsibility appear to be roughly the same. Conversely there are a number of jobs that are classified the same where it is clear that the complexity and managerial responsibility of the jobs are quite different.

169. Looking primarily at managerial responsibility and relating managerial responsibility to the size of a mission, one can discern a reasonable amount of correlation between these factors and FSO grades. All Head of Post positions abroad, for instance, are graded FSO 7 or higher. Head of Post positions at the large posts are graded at FSO 9 and 10. Those at the small posts are graded FSO 7 and those in between are graded FSO 8. There are some inconsistencies and overlapping but if necessary one could probably evolve a set of principles that would complete the rationalization of what is already a fairly orderly pattern.

170. Below the Head of Post level the pattern is less discernable. With the exception of the very large posts, where there is some organization into functional units, the only positions of significant supervisory responsibility are the number two positions in the posts, i.e. the Head of Chancery positions. The grading of these positions as between different posts is not very consistent. Also the grading of

the other desk officer positions at posts abroad does not seem to have any rationale other than the notion that there should be intermediate and junior officer positions as well as senior officer positions. Apart from complexity of work -- concerning which there is no really reliable information available -- there is no way of discerning any appreciable difference between the responsibilities of a desk officer of one grade as against those of a desk officer in another grade.

171. The hierarchy of responsibility at a post abroad in the FSO group therefore may be said to consist simply of Head of Post, Head of Chancery and desk officer. Valid distinction can be made between the Heads of Post at different sized posts and Heads of Chancery at different sized posts and these distinctions could be reflected in a grading system.

172. In Ottawa the situation is not quite the same. Top management positions -- the Under-Secretary, the Deputy Under-Secretary and the Assistant Under-Secretary positions -- are filled by FSOs but are not graded in the FSO class. At the next level down a new échelon is being introduced -- that of branch director. These positions and others further down the line are classified as FSO positions. Below the branch director levels (and in some cases reporting directly to the top management level) are the Heads of Division. Below them again, there are in most divisions either Deputy Heads of Division or Heads of Section -- positions which are in some cases identical. Below the Head of Section level, one might be able to make a useful distinction between the desk officer and the junior desk officer, but not in every division.

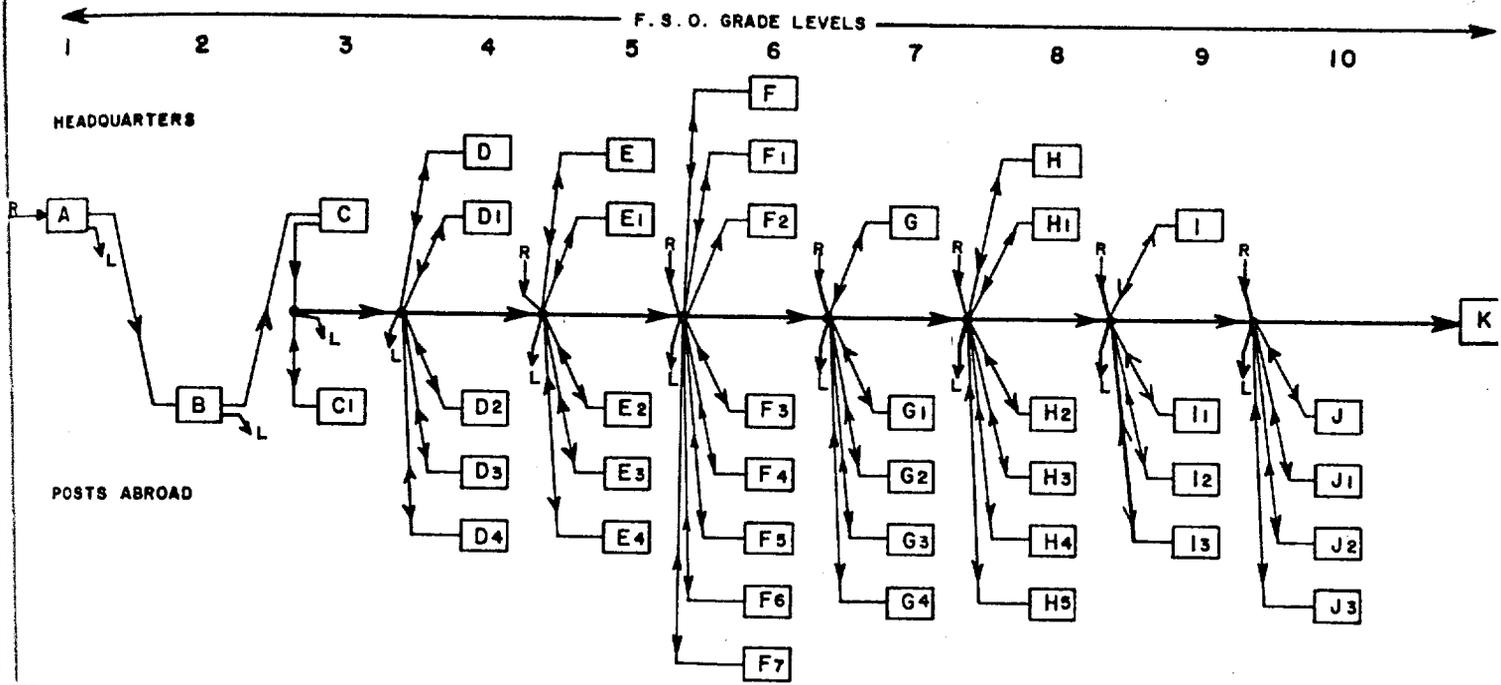
173. At Headquarters, as at posts abroad, the FSO grade levels

do not correspond exactly with the levels of authority we have identified. The possibility exists that the Bureau of Classification Revision will eliminate these discrepancies in their reorganization of the foreign service officer class but for purposes of describing the FSO personnel system now we will use both the FSO grade system and the responsibility levels which we have identified. The FSO personnel system can accordingly be illustrated diagrammatically as in Figure 11.

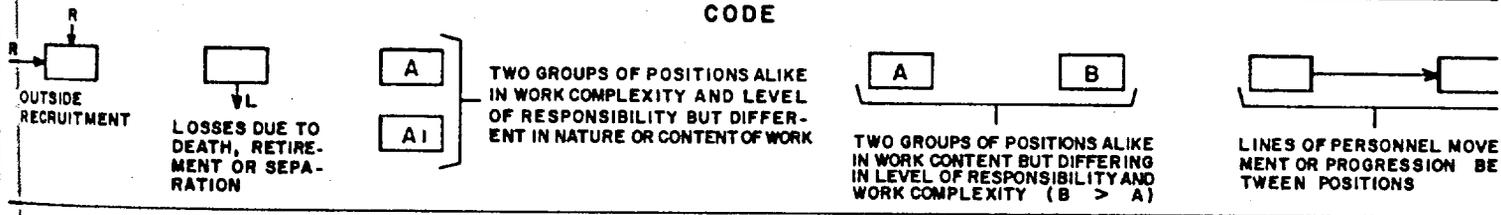
174. In this diagram the 515 established FSO positions have been divided into some 42 groupings, reflecting both the grade pattern and the responsibility levels we have identified, as well as the location of positions either at Headquarters or at posts abroad. We have represented the FSO work organization or personnel system as a single stream, pooled system -- a system in which all officers move in like manner through successive levels of responsibility, with alternate assignments at Headquarters and at posts abroad, but without any distinct paths of specialization. The career paths are varied and unpredictable, reflecting the requirements of the pool system. While an officer's progression through the system is generally from left to right -- from junior to more senior positions -- in terms of level of responsibility, lateral or even backward moves are not impossible and sometimes occur.

175. This lateral or backward movement in terms of level of responsibility can happen because it is the man and not the position who is priced and paid. The advantage of this latter arrangement is that it provides the flexibility which is essential in the running of a foreign service where relatively frequent reassignments must be made for reasons that have nothing to do with organizational demand.

FIGURE II - THE F.S.O. PERSONNEL SYSTEM



CODE



POSITION KEY

A - TRAINEE	F - DESK OFFICER (FSO 6), HQ	H1 - BRANCH HEAD
B - DESK OFFICER (FSO 2)	F1 - DEPUTY HEAD OR SECTION HEAD, DIVISION	H2 - DEPUTY HEAD, SUPER POST
C - DESK OFFICER (FSO 3), HQ	F2 - DIVISION HEAD	H3 - HEAD OF SMALL POST
C1 - DESK OFFICER (FSO 3), POST	F3 - DESK OFFICER (FSO 6) POST	H4 - HEAD OF MEDIUM POST
D - DESK OFFICER (FSO 4), HQ	F4 - HEAD OF CHANCERY, SMALL POST	H6 - HEAD OF CONSULAR POST
D1 - DEPUTY HEAD OR SECTION HEAD, DIVISION	F5 - HEAD OF CHANCERY, MEDIUM POST	I - ASSISTANT UNDER SECRETARY OF STATE
D2 - DESK OFFICER (FSO 4), POST	F6 - HEAD OF CHANCERY, LARGE POST	I1 - HEAD OF CONSULAR POST
D3 - HEAD OF CHANCERY, SMALL POST	F7 - CHARGÉ D'AFFAIRES, SMALL POST	I2 - HEAD OF MEDIUM POST
D4 - HEAD OF CHANCERY, MEDIUM POST	G - DIVISION HEAD	I3 - HEAD OF LARGE POST
E - DESK OFFICER (FSO 5), HQ	G1 - DEPUTY HEAD, LARGE POST	J - SPECIAL ASSIGNMENT
E1 - DEPUTY HEAD OR SECTION HEAD, DIVISION	G2 - HEAD OF SMALL POST	J1 - HEAD OF DISARMEL
E2 - DESK OFFICER (FSO 5), POST	G3 - HEAD OF MEDIUM POST	J2 - HEAD OF CHARGE POST
E3 - HEAD OF CHANCERY, SMALL POST	G4 - HEAD OF CONSULAR POST	J3 - HEAD OF SUPER POST
E4 - HEAD OF CHANCERY, MEDIUM POST	H - DIVISION HEAD	K - UNDER SECRETARY OF STATE

NOTE: Special Training, Secondment, and Time Lost and Operations Reserve position groupings, totalling an additional 23 groups, are not shown in this figure.

176. As we have indicated elsewhere, the main recruitment input in this system is -- and must be -- university graduates at the junior level. There is no other type of organization sufficiently similar to the foreign service to provide an alternative source of recruits. Personnel who might be obtained from university faculties or other Government departments can bring with them some of the knowledge requirements for foreign service work but they would need training in some of the skills required for foreign service and they would have to have an unusual motivation and aptitude for foreign service if they (and their families) were to make a successful shift to this very different type of life. For these reasons recruitment by means of lateral entry can never become a major source of supply of new foreign service officers.

177. We have already commented on the generalist nature of the foreign service work, particularly at posts abroad. We have identified thirteen different activity areas in some of which foreign service officers have developed a measure of specialization. In addition, within one activity area -- political affairs -- some officers have been able to develop some measure of regional specialization (e.g. Eastern European affairs, Latin American affairs or Far Eastern affairs). The introduction of any more exacting type of specialization, however, would introduce complications into an already difficult staffing operation. Clearly the viability of the FSO personnel system depends in good measure on a substantial number of officers being generalists in the sense of their being capable of undertaking work in any one of the thirteen activity areas and any political region. The inexorable requirement to undertake a new job every two, three or four years requires a high level of adaptability and a good generalist approach on the

part of the majority of foreign service officers.

178. A generalist approach to foreign service work is, furthermore, a positive advantage for foreign service officers in senior positions of responsibility where the nature of the work requires these officers to see various very different types of activity in relation to one another. Foreign service officers who are Heads of Post abroad or who occupy senior positions of responsibility at Headquarters in Ottawa have an important co-ordination role to play which unquestionably they can do better if they have had varied experience in different fields rather than intense experience in any one field.

179. This generalist characteristic of the foreign service officer personnel system has an important bearing on the design of any FSO training programme. Rather than analyzing the work requirements of a number of relatively homogeneous jobs grouped together for their work content and then defining the training requirements for each group, we believe the work requirements for all different types of FSO jobs should be consolidated and that we should then design the training to equip foreign service officers to handle work in any activity area. In other words, the training should aim at developing the adaptable generalist in the first instance: such specialized training as may be required for specialized work can be added at a later stage. (The one exception to this approach would be the FSO positions in Legal Division, which should continue to be staffed by FSOs who have completed their legal training before joining the service).

180. The last major characteristic of the FSO personnel system to which we would draw attention is that experience on the job is the most important factor governing progression upward in the system. Foreign service is a professional career system in which the ex-

tremely varied work demands a breadth of knowledge and an increasing measure of mature and sound judgment. These two things -- knowledge and judgment -- are an outgrowth of intelligence seasoned with work experience and exposure to a great variety of work problems.

181. The answer to the question, therefore, as to WHO is to be trained is the total generalist group of foreign service officers. Our primary object, therefore, is to design a comprehensive training and development programme or apprenticeship for the foreign service officer system that will produce the generalist FSO as quickly, effectively and cheaply as possible. Our second task is to apply any aspects of the training and development programme which can be developed quickly to assist in the development of those junior foreign service officers who have already been brought into the foreign service and who constitute the main instrumentality by which the Department can ultimately overcome the present acute shortage of foreign service officers at the middle levels. These, then, are the training groups to be kept in mind as we proceed with the next steps: first, to assess the training needs (the WHAT of our question); and secondly, to design the training programme to meet these needs (the HOW, WHEN and WHERE).

C. ASSESSING THE TRAINING NEEDS

182. In our endeavour to make a full assessment of the training needs for foreign service officers (considered here primarily as generalists) we made use of the following sources of information and opinion:

- (1) Dr. Jackson's Research Project;
- (2) Interviews with Foreign Service Officers at various levels;
- (3) Records of separations;
- (4) Past Studies;

(5) Departmental Ratings of FSOs; and

(6) Work analysis

We have some comments to make about each of these sources in the following paragraphs.

183. (1) The research project undertaken by David Jackson was intended to identify those characteristics, education and work experience which were of particular significance in the careers of a large sample of foreign service officers. It was hoped that the results of this study would be relevant, not only to the establishment of reliable selection criteria but also to the design of a training programme for foreign service officers.

184. (2) In its initial stages, Dr. Jackson's research involved some group problem solving in which two groups of foreign service officers discussed in a very informal way their views on training needs. These discussions were tape-recorded and provided a very useful resource. In addition, Dr. Jackson's research involved the interviewing by a project consultant of each one of the 100 foreign service officers who formed the project study group. While much of the data collected in these interviews was coded for computer analysis, it was either obtained by or available to the project consultant who was subsequently involved in the work analysis studies and who was consequently able to benefit greatly from the views and opinions expressed by FSOs about their own work experiences. The project team also interviewed a number of Branch Directors and Heads of Division who had additional comments to make on special topics. The team did not attempt to interview all Heads of Division in Ottawa since this did not seem necessary for the purpose of getting adequate coverage of the main points.

185. (3) As the Department does not appear to have made a consistently thorough study of FSO separations, nothing like a full record was available for examination by the project consultants. They were, however, able to see some documents which set forth reasons why certain FSOs had left the service and they found these documents illuminating.

186. (4) Several studies have been made in the past which have contained material that was relevant to this project. The Glassco Commission Report on the Department of External Affairs made some observations and recommendations on the subject of officer training which were examined. Mr. A. A. Day prepared two very useful memoranda in 1962 on new entry foreign service officer training. The Urwick, Currie Report of 1964 on Departmental administration also touched on the subject a number of times. Some briefer references to the requirements for training were also contained in the Eatock Report on Departmental organization rendered in 1966. Because of the extent of these previous studies many of the ideas and proposals contained in the current project are not new. The project officers gratefully acknowledge their extensive debt to these earlier studies.

187. (5) The rating forms regularly completed on foreign service officers up to the FSO 5 level did not turn out to be as useful a resource as we had hoped in terms of identifying training needs. As they are now designed, these forms tend to elicit a great deal more comment from supervisors on personal characteristics than they do upon work performance. Until the appraisal forms are keyed more closely to particular job requirements and until officers are rated more in the light of these requirements, the rating reports will not be as much use as they might be as a means of determining training

requirements either for the individual officer or for the class as such.

188. (6) Our principal source of information for the assessment of training needs was the work analysis. We approached this task in the belief that -- as in most lines of work -- the principal job requirements and skills can be taught or learned and that once the work has been properly analysed and the job requirements identified the training appropriate to the job can be designed.

189. Since we had already determined that the FSO system was basically geared to the generalist, the task of work analysis was to identify the principal job requirements a foreign service officer was likely to have to meet during his working career. For purposes of this analysis we borrowed (and modified slightly) a list of activity headings employed in a programme review carried out a few years ago:

1. Direction and Administration
2. Political Work
3. Economic Work
4. Politico-Military Work
5. Security and Intelligence
6. External Aid
7. Public Information
8. Cultural Affairs
9. Consular Work
10. Commercial Affairs
11. Immigration
12. Representation

Each of these activity areas were then analysed in terms of the job requirements they posed for foreign service officers so that we could

Identify the knowledge, skills and personal characteristics desirable in an incumbent. The knowledge and skill requirements were then used to determine training needs and the personal characteristics were noted as a basis for determining selection standards. As an illustration of our analysis we attach a sample page as Figure 12.

190. Using all the various sources of information and approaches to the problem we have outlined above, we have been able to identify training needs for the development of generalist FSOs and these are grouped and discussed under the headings listed as follows:

- 1) On-the-job training for new officers:
 - (a) Better assignment content with more challenge;
 - (b) Review of the length of early assignments;
 - (c) Better assignment supervision.
- 2) Supplementary training for new officers:
 - (a) Scheduling the Cross Canada tour in two sections;
 - (b) Better teaching methods in the "university of the East Block" (UEB);
 - (c) Better scheduling of UEB instruction;
 - (d) Training in written and oral communications;
 - (e) Procedures and regulations -- administrative, consular and immigration;
 - (f) Speed reading.
- 3) Language training
- 4) Professional Training (area studies, economics, etc.)
- 5) Management training

We will examine the training needs identified under each of these headings and indicate the supporting evidence in each case. We shall

Figure 12

SAMPLE WORKSHEET - ANALYSIS OF THE WORK OF THE F.S.O.

Job Duties	Knowledge and Skill Requirements	Training Requirements
<p><u>A. POLITICAL WORK</u></p> <p>1. Reading and scanning of newspapers, periodicals, and publications of all types, either in original or translation, and the auditing or re-viewing of relevant radio and T.V. programs - to assess significant political content relative to relationship of country with Canada.</p>	<p>a. Reading Skill</p>	<p>(i) Test for reading and comprehension skill and if significantly below a reasonable standard, provide or obtain training. Should be given as early as possible in working career with possibly a re-testing and, if necessary, refresher training later in career.</p>
	<p>b. Language Facility</p>	<p>(i) Requirement will vary with position and post. If not already done there should be a survey of post requirements and a policy established to cover and this should be integrated with the second Canadian language policy.</p> <p>(ii) As set out in this policy, training should be provided in foreign languages prior to posting abroad. This training should be at Departmental expense since it is a job requirement.</p>
	<p>c. Knowledge of Canadian Affairs including - Government Organization History Geography Culture Political Affairs History of political relationship with country of posting</p>	<p>(i) University Course in Political Science or History as selection requirement.</p> <p>(ii) Orientation Course to cover Canadian Government organization; Department functions, organization, history and philosophy; Department personnel and Department relationships with other government departments. This training should be broken up and each part given at the time it is most applicable to the on-the-job work of the FSO. It should also use participation training methods as much as possible.</p>

also add the proposals we have designed to meet the training needs identified, and some proposals concerning related development needs.

191. At this point we should like to make two general observations as an introduction to our study of training needs. First, the criticisms we report should be kept in perspective. Many of the comments we heard, both in the group problem solving sessions and in the interviews, reflected adversely on Departmental policies and practices. These criticisms, however, were largely focused on early assignments in an officer's career, particularly the probationary period and to some but a lesser extent the first posting abroad. In general, however, the officers interviewed appeared reasonably content with the service and generally satisfied with their work and the opportunities which the career offered.

192. Secondly, we would like to indicate that our analysis of training needs has not suggested any major departure from present methods of developing foreign service officers. In general we can support the main characteristics of the Department's present approach to officer development. We see a strong need, however, for extending certain training activities and a pressing requirement to improve Departmental practices which are relevant to personnel development.

D. TRAINING PROPOSALS

The Apprenticeship Programme

193. The development of foreign service officers has traditionally been a career or professional apprenticeship process. For the individual officer this has involved the build up of a judgment capability in FSO work through knowledge and experience gained on the job. The process involves successively more complex and demanding assignments as the officer's judgment capability has developed. The key factors in this process have been the experience of the officer on the

job, the challenge and calibre of the various assignments he receives and the quality of supervision and instruction he gets from his supervisor.

194. Our analysis of the FSO personnel system has identified this apprenticeship as the basic development process for foreign service officers. All our findings to date further support this view that apprenticeship is the best approach to the training of foreign service officers. Our analysis of training needs, however, has brought out clearly the necessity for some significant improvements in the Department's present apprenticeship programme. The areas where improvement are particularly required are assignment content and challenge, assignment length, and assignment supervision. The criticism we heard in the group problem solving sessions and in the individual interviews focussed particularly on the initial twelve to eighteen month period in Ottawa - the traditional probationary period - but extended in some instances to the first assignment abroad. All the methods we used for examining training needs listed in paragraph 182 showed evidence of the need for this improvement in FSO apprenticeship.

195. The kind of comments we heard from foreign service officers in the interviews repeatedly criticized the lack of challenge in their first assignment; there were many references to "make work projects", "looking over the desk officer's shoulder" and "reading handbooks". Many officers urged a redesign of the length of assignments to change those which have been too short to permit a useful contribution and those so long as to result in marking time so far as learning anything new was concerned. Some officers also commented repeatedly on the lack of proper instruction from their assignment supervisors due either to the supervisor being unavailable through pressure of his own work

or due to a lack of supervisory skill. These criticisms were mainly directed at the initial probationary period in Ottawa though in some instances the same kind of observations were made about the first posting abroad.

196. Dr. Jackson's research study presents this kind of evidence in quantitative form, together with illustrative quotations. In the course of their individual interviews with the project consultants, officers in the project group were asked the question "How could training in the Foreign Service be improved?" Tabulation of the answers to this question given in Chapter VI of the Jackson Report indicates, for instance, that:

30.7% of the officers said that improved communications at the junior officer-supervisor level were required;

22.8% of the officers called for a decrease of clerical duties performed by FSOs in favour of increased responsibility in their assignments.

197. Previous studies we have cited above have also identified a need for an improved apprenticeship programme. In his report of October 1962, Mr. Archibald Day strongly criticized the then existing "on-the-job" training which he referred to as "an unplanned series of stop gap placements". He urged a change in emphasis from that of regarding this training as "production" or "keeping the Department running" to "training for overseas service". In addition he set out a number of specific proposals generally in line with those we have set out.

198. The work analysis also singled out these early years of assignments as the critical ones in the development of foreign service

officers. This is the period of basic instruction and learning of the work of the foreign service officer. It is also the period of basic orientation to departmental organization, philosophy and goals. As such this is the period demanding the most highly developed training assignments and programmes.

199. Because of the critical importance of the first few years of an officer's career, we believe it is of great importance that there be fairly close alternation of training and experience, that the initial posting abroad should not be too long delayed, and that it should not itself be too long. We are therefore recommending that an officer's original assignment in Ottawa run no longer than fifteen months, that all first postings - regardless of the classification of the post - be restricted to two years, and that all officers return for a two-year assignment to Ottawa after their first posting abroad. This should ensure that no officer will be kept too long at some of the jobs abroad which have limited development potential and that all officers will be able to learn the skills of the journeyman desk officer within the first five years of their working career in the Department. This arrangement will also benefit the Department, in the sense that officers with experience abroad will be able to do many of the desk jobs which probationary officers have trouble doing well because of their inexperience. At the same time the Department will be able to assess more accurately the abilities of junior officers who would otherwise remain comparatively unknown quantities for some years.

200. We therefore recommend the adoption of the following programme :

(R 27)

That the apprenticeship training of the junior foreign service officer shall continue to emphasize "on-the-job" training but shall be extended and strengthened as follows :

- a) The apprenticeship period during which the FSO Training Officer will be closely concerned with the new officer's development will be extended to cover the first posting abroad and the second assignment back in Ottawa as well as the first year after recruitment.
- b) The first phase of this apprenticeship shall comprise a period of twelve to fifteen months in Ottawa for the purpose of giving the new officer a general orientation to the Department and to the work of the FSO and in order to provide a probationary proving-out period. Every effort should be made to avoid deferment of the first posting abroad beyond the initial fifteen months' assignment in Ottawa; and if the on-the-job training assignments in headquarters divisions are inadequate in number to accommodate available probationary officers, an appropriate number of the better qualified probationaries should be assigned abroad after an abbreviated period on divisional assignments.
- c) The second phase of this apprenticeship shall comprise a posting abroad for the officer for a maximum of two years in all cases, preferably to a small or medium post of lesser complexity, so that he may become familiar with post routines and general FSO work.
- d) The third phase shall comprise a two-year minimum assignment in Ottawa (following immediately after phase two - i.e. with no cross-posting intervening) as a junior desk officer to learn thoroughly departmental and governmental organization and the co-ordinating role of the Department.
- e) The total apprenticeship shall require approximately five years, and satisfactory completion should produce a qualified working level officer.
- f) Assignments, particularly those in (b) above, shall be closely supervised as to content and challenge by the FSO Training Officer who shall satisfy himself as to their training suitability by whatever means necessary including regular visits to divisions where new officers are assigned.

- g) The FSO Training Officer shall exercise general personnel supervision over junior officers during their apprenticeship period, and shall be consulted when decisions concerning a junior officer's promotion, salary, and discipline are being made.
- h) The FSO Training Officer shall control the assignment of junior officers during phase one of the apprenticeship period and shall advise Personnel Operations Division on their posting abroad and on their subsequent assignment in Ottawa.
- i) The FSO Training Officer shall establish regular and formal appraisals and communication with the junior officer and divisional or post supervisor to ensure adequate three-way communication on appraisals.
- j) The FSO Training Officer shall conduct regular formal career planning and development appraisals with the junior officer.
- k) The FSO Training Officer shall be a person with FSO experience at least to the middle working level, have an above-average performance rating, be well respected in the FSO community and have a demonstrated aptitude for working with people.
- l) The number of grade levels of junior officers shall be reduced from three to preferably one and not more than two with the salary steps or spread maintained; also the salary increases for at least the first three years of apprenticeship shall be automatic except where performance is unacceptable.
- m) The programme with its nature, philosophy and administrative procedures shall be established and documented as a Personnel Handbook directive.
- n) The Personnel Planning and Development Division shall have the right and obligation to audit the operation of the training programme to ensure that it meets the design, objectives, and policies set forth here and to obtain corrective action as necessary.
- o) The Personnel Branch shall publish an apprenticeship programme News Letter as soon as possible to stimulate interest and maintain morale amongst junior officers by regularly furnishing news of junior officer training activities, postings, work at posts abroad, departmental plans, etc.

Supplementary Training For New Officers

201. The second type of training need we have identified is the supplementary training - that is, the classroom courses necessary to supplement the working assignments included in the on-the-job training. In the past, this type of training has consisted principally of the University of the East Block lectures and the Trans-Canada Tour.
202. Of the existing supplementary training programmes the Trans-Canada Tour is highly regarded by officers who have participated in it. Participants clearly feel that it fills a definite need in a most acceptable way. The only criticism we heard is that it covers too much for a person to absorb in a single continuous period. We believe it would be better if the tour were divided into two parts - say an Eastern section and a Western section - separated by an interval of at least six weeks.
203. The University of the East Block came in for heavy criticism from the officers interviewed who expressed views very similar to those contained in Mr. Day's 1962 report. Almost unanimously the officers interviewed condemned the "deadliness" of the concentrated lecture method of instruction. Under the best of conditions the lecture method is probably the least effective method of teaching, particularly for a group of young men and women who, for the most part, have recently finished a long period of classroom learning and have been looking for practical work rather than more lectures. A change to more participative teaching techniques is clearly required.
204. Some of the criticism of the University of the East Block which we heard also suggested a change in timing, at least for part of its content. It seemed clear that the depth study of Government

organization and inter-departmental relationships was given too early in an officer's career, before this kind of information was relevant to the work he was doing. This kind of instruction can probably be better given on an officer's second posting to Ottawa when it would relate more directly to his work.

205. Our work analysis study was particularly relevant to the question of supplementary training content. This analysis not only supported the Cross-Canada Tour and a revised and reorganized University of the East Block course, but also suggested some further important areas for training.

206. One of the most important new areas of training for which we identified a need is communications. By this we mean not only the formal channels and instruments of communication used in the Department, but much more the various types of written communication used and also the whole range of different kinds of inter-personal oral communication. In our work analysis communications shows up as a major work requirement since it is a significant factor in almost every work element which we identified. The following list of types of communication both in Ottawa and abroad provide an indication of the range of activity.

Headquarters (written)

1. Departmental memoranda to the Minister, the Prime Minister and other Ministers.
2. Departmental memoranda to other departments of Government.
3. Departmental communications to diplomatic missions in Ottawa.
4. Departmental communications to posts abroad (telegrams, despatches, letters).

5. Departmental communications to non-governmental organizations and individuals.
6. Headquarters interdivisional memoranda.

Headquarters (oral)

1. Briefing or advising the Minister.
2. Giving evidence to the Parliamentary Committee on External Affairs.
3. Interviews with members of diplomatic missions in Ottawa.
4. Briefing and advising senior officers in the Department.
5. Briefing and directing subordinate officers in the Department.
6. Speaking to organized groups outside Government circles.
7. Departmental committee meetings.
8. Interdepartmental committee meetings.

Abroad (written)

1. Communications to the Foreign Office and other departments of the host government.
2. Communications to individuals of the general public in the host country.
3. Press releases.
4. Communications to the Department (telegrams, despatches, letters).
5. Internal memoranda.

Abroad (oral)

1. Contacts with the Foreign Office and other Departments of the host government.
2. Contacts with other members of the diplomatic corps.

3. Contacts with visiting Canadians.
4. Contacts with individuals amongst the general public of the host country.
5. Public speaking occasions.
6. Consular interviews.
7. Briefing and advising the Head of Mission or senior officer.
8. Briefing or directing a subordinate officer.
9. Interdepartmental Committee meetings at the post.
10. Delegation work or Committee work in international organizations.

This list - which is not exhaustive - indicates the wide range of activities in which skills in written and oral communications are important. Since these skills are so vital to the proper conduct of the Department's work there can be little doubt that the service would benefit greatly if they were developed in foreign service officers through positive training as well as through learning on-the-job. Because communications is such a commonplace activity, particularly in Government, and because most officer personnel get plenty of practice at it, many people do not fully appreciate that communication involves skills which can be imparted or improved through training. Because of the particular importance of communications to the foreign service officer we have no hesitation about identifying it as a training need.

207. Another training need identified in the course of our work analysis is in the area of internal departmental procedures and regulations - particularly consular and immigration regulations. To the extent that foreign service officers - particularly on their first

posting abroad - become involved in administrative, consular or immigration work, it is imperative they have a working knowledge of the relevant regulations if they are to be ready to handle the work assigned to them in these areas at posts abroad. This is even more important if the foreign service officer is to supervise and direct the work of other Canadian or local employees in these fields either as Head of Chancery or later as Head of Post. Because of this circumstance it seems desirable to us that foreign service officers generally become familiar with the various handbooks of regulations before their first posting abroad. Officers would not have to acquire the degree of familiarity that would be necessary for anyone who would be working in one of these fields on a continuing basis, but they should have sufficient acquaintance to enable them to handle their assignments in these areas with reasonable confidence. Training by use of participative techniques through case studies and role playing should make instruction in this field more palatable.

208. The need for this type of training was emphasized very strongly by Mr. Day in his 1962 Report. Writing about the preparation for overseas service he said :

"We have sent or are sending officers abroad either totally or inadequately prepared for their probable duties. One officer observed that he might just as well have gone from his university direct to his posting. We have sent officers overseas without enough French to order breakfast, and others with no consular training (they missed the lecture), who did not know of our black book of Consular Instructions until their arrival abroad."

209. As a consequence of his findings in this area Mr. Day recommended "common to arms training" covering familiarization with all aspects of the foreign service officers' duties abroad. The need for this type of practical training is as great now as it was seven years ago.

210. Another area of training identified by the work analysis is reading improvement. Many of the duties of foreign service officers involve extensive reading or scanning of printed material of all kinds. This is a career-long requirement. Since various organizations have been able to demonstrate that reading ability of adults can be substantially improved through training, with great increases in speed often accompanied by improvement in comprehension, we believe foreign service officers should receive this training as a matter of course if they do not already have the skills required for rapid reading.

211. To meet the training needs identified above by means of a training programme supplementary to the on-the-job training, we recommend as follows:

(R 28)

That the Personnel Planning and Development Division develop a compulsory supplementary orientation course as soon as possible in accordance with the following principles:

- a) The course should be given in three phases (at initial recruitment; prior to and in preparation for the first posting abroad; and on return to Ottawa after the first post abroad) and shall concentrate on those aspects of FSO work in which officers in each case become involved in the immediately ensuing period.
- b) The course shall employ participative teaching methods such as case studies and role playing.
- c) The course should include the following subject matter:

(i) Initial Orientation

General orientation
Introduction to departmental and
governmental organization
Part I communications: Types of
departmental communications and
how to draft them; how to dictate
to a stenographer; how to use a
dictating machine
Headquarters security

(ii) Pre-posting Orientation

Role of the FSO abroad, with special
reference to political work, economic
development and trade promotion
Supervision of support staff
Part II communications: Types of
communications used at posts abroad
and how to draft them; public speak-
ing; inter-personal communications;
interviews with government officials,
with consular cases.
Orientation for all officers on:
a) Representation and protocol
b) Security at posts abroad
c) Consular work
d) Information work
e) Cultural Affairs
f) Immigration
g) Post Administration
Additional training in any of the fore-
going as required for the individual
officer in relation to his posting

(iii) Secondary Orientation

Government organization
Interdepartmental relationships
Part III communications: Committee work
and negotiations.
Managerial and coordinating role of the FSO
Supervision of junior officers
Work management

(R 29)

That the Department continue to provide the
Cross Canada Tour as part of its first year
training programme for all new entry foreign
service officers at an appropriate time during
their first Ottawa assignment (or where nec-
essary during their second Ottawa assignment);
but the Department should split the tour into
two parts with an interval of several weeks
between parts.

(R 30)

We recommend that in recognition of the importance of economic development and trade promotion in the protection and promotion of Canadian interests abroad, the Department explore with the Canadian International Development Agency and the Trade Commissioner Service of the Department of Trade and Commerce the possibility of associating foreign service officers of the Department of External Affairs with training and orientation activities organized for officers in CIDA and the Trade Commissioner Service.

(R 31)

That the Department arrange for a rapid reading course to which all new FSOs should be assigned during their first posting in Ottawa unless they can demonstrate by tests that they have no requirement for the course.

(R 32)

That the Department formalize posting preparation as far as possible to ensure that all officers are assigned to the division responsible for the post to which they are going on first posting unless they have already had a working assignment to such division.

212.

We envisage that after their initial orientation FSOs will be available for training in their second Canadian language, the Cross-Canada Tour, assignment to the Canadian Delegation to the General Assembly of the United Nations and on-the-job assignments in Headquarters divisions. Since Initial Orientation is intended to take place immediately on an officer's joining the Department and Secondary Orientation just prior to his posting abroad, the schedule should enable Personnel Operations Division to reduce the number of interruptions in the assignment of officers

to Divisions in Ottawa. Depending on the capacity of the Training Section and the number of new recruits being taken on strength, Initial Orientation might be given two or three times each year, and new officers would be asked to report for duty in accordance with this schedule.

213. Scheduling the Pre-posting Orientation will present a few more difficulties, as there is not at the present time a great deal of consistency in the timing of the departure of officers on their first posting abroad. The timing of the Secondary Orientation, to be given when officers return from their first post abroad, will also present problems. These problems will not only demand much ingenuity on the part of Personnel Operations Division, but will also be a real challenge to the Training Section, in the sense that if the courses are of demonstrable value, pressures for officers to take them will come not only from the officers themselves but from their prospective supervisors as well.

Language Training

214. The need for Foreign Service Officers to have training in their second Canadian language has been established outside the context of this study, and we do not believe it is necessary for us to enlarge upon the subject here nor to make any recommendations on the training itself, which is being handled by experts in the field. We realize that the timing of Canadian language training is largely outside the control of the Department, but to the extent that it can exert an influence, we believe it very desirable that the Department arrange for new officers to have a period of service in the Department in order to make some identification with it before they are sent off for training in their second Canadian language.

215.

The orientation training we have outlined above can in some measure be a function of language training, in the sense that officers can improve their grasp of their second language while receiving instruction on some other subject. Accordingly, the Training Section will no doubt consider carefully which aspects of the training should be given in both languages and which in one language only. We would envisage that all new officers will have received such second language training as they require between the Initial Orientation phase and the Pre-posting Orientation, and would therefore think it desirable that some of the Pre-posting Orientation training be given in one language and some in the other.

216.

Our analysis of FSO work naturally identified foreign language training as a probable requirement for many posts abroad. Interviews with foreign service officers and our own enquiries indicate that the Department does not have a comprehensive organized programme or policy on foreign language training. We heard of numerous instances where foreign service officers were sent abroad without any language preparation even when the job requirements at the post identified a need for facility in the local language. The practice with respect to hard languages seems to be reasonably settled, although even here there does not seem to be a precise policy as to what capability the officer is supposed to achieve and to exactly what needs the capability is related to. Under the circumstances we do not think we are in a position to make proposals on foreign language training until objectives and needs have been better defined.

(R 33)

Accordingly we recommend that the Department make a study of the foreign language requirements at all relevant posts with a view to establishing suitable policies and procedures to provide for this training and to integrate it with the training policy for the second Canadian language.

Professional Training

217. The work analysis showed a definite requirement for a knowledge on the part of foreign service officers of the politics, economics, history and culture of Canada and of the post to which an officer is assigned as well as a knowledge of international political and economic relations. Some officers come to the Department reasonably well equipped in the areas indicated both with respect to Canada and the international field: some may even have completed relevant area studies; many others have little relevant academic training. In any event, for all officers, knowledge in all these fields requires updating from time to time, and we believe the opportunity should be created.

218. Many officers who were interviewed in the course of the project made remarks which emphasized the need for professional mid-career training. A number of officers commented on the absence of any policy concerning departmental support for or provision of facilities for training in the politics, history and culture of foreign countries. The availability of training of this kind in the foreign services of a number of other countries was frequently cited with a good deal of envy.

219. This is an area in which the Department can probably achieve a good deal through the encouragement of self-education and the provision of financial assistance to encourage other types of education.

The Department can facilitate self-education in the politics, history, etc. of other countries, which officers going on posting abroad will naturally undertake, through the provision of detailed bibliographical material. Similarly, the Training Section might consider whether the value of the cross-Canada tour would be enhanced for the participants if relevant bibliographical material were provided. For more formal education both in Ottawa and at posts abroad, a policy of reimbursing all or part of the tuition fees for certain designated university courses which foreign service officers can take in their own time could go a good way toward meeting the requirement. In its present situation of manpower shortage the Department can hardly afford the man-years to do more. Nevertheless we believe that the Department should review from time to time the desirability of organizing special courses in certain subjects for which there appears to be a particular demand (in this connection we have in mind the great success of a course on economics given to all foreign service officers in the U.S.A. Foreign Service).

Accordingly we recommend:

(R 34)

That the Department direct posts and divisions to develop reading programmes and bibliographies for each post (or to formalize them if they are already available) covering the history, geography, politics, economics, culture and government of the country of the post.

(R 35)

That the Department consult with the Ottawa universities concerning the identification or organization of courses in Canadian and international politics, law, economics, area studies, etc. for which the Department would be prepared to pay fees for FSOs taking these courses in the evening programme during an Ottawa posting.

(R 36)

That the Department establish a policy under which it could pay fees for FSOs taking suitable job-related courses at universities at posts abroad which could contribute to their development.

Management Training

220. The last of the training needs identified in paragraph 190 relate to supervisory and management skills. Before we discuss the managerial role of the foreign service officer we would like first to define what is meant by management. This is important because there is a tendency on the part of some people to regard management merely as a high-powered term for administration.

221. Basically, management is getting work done through other people. It involves four major types of activity:

- a) Planning: the defining of objectives, the forecasting of requirements to meet the objectives and the designing of an action programme to attain the objectives;
- b) Organizing: the designing of the structure of the organization, the definition of the functions of its working units and the identification of the principles governing the delegation of responsibility to the various units; the staffing of the organization;
- c) Directing: co-ordination of the work of the component units of an organization; work planning and review; communication; and
- d) Measuring: periodically assessing the results of the organization's activity and the achievements of its component parts.

222.

In the Department of External Affairs officers who exercise management functions at Headquarters include the Under-Secretary, the Deputy and Assistant Under-Secretaries, Branch Directors, Heads of Divisions and, to a lesser degree, Deputy Heads and Section Heads. At posts abroad management functions are exercised by Heads of Mission and Heads of Chancery and, to a lesser extent, by Section Heads (where they exist) and Administrative Officers.

223.

People have sometimes suggested that perhaps the foreign service officer should not be required to fulfill a management role. The view has been expressed that, as a professional diplomat, the foreign service officer should be relieved of management responsibilities as far as possible so that he can concentrate on his professional work. Because of the serious implications of these ideas, we believe it is important to determine whether the viewpoint cited represents a practical concept or whether the foreign service officer must indeed be a manager.

224.

In examining this question we start from the premise that foreign service work at posts abroad and at Headquarters in Ottawa must be managed by someone. There must be an officer at each post abroad or in each Headquarters unit who will plan and direct the work, whether it be political or economic, cultural or consular, external aid or defence liaison. Someone must review and approve the day-to-day decisions that are made; someone must be accountable for the over-all effectiveness of the operation. The obvious answer is that this someone should be a senior officer who is experienced in the most demanding aspects of the work. In any External Affairs unit - whether post abroad or division at home - the "someone" must, we suggest, be

an experienced and capable foreign service officer. It is certainly questionable whether foreign service officers would accept management in their own field by anyone else.

225. If this is the case, then the foreign service officer is inescapably destined to be a manager as well as a professional diplomat. The burden of managerial work will, of course, be lighter for any foreign service officer who has capable supervisors and specialists working in the organization immediately below him. A Head of Post who has a particularly sensitive and demanding diplomatic job to do should have as his second in command a foreign service officer who is as well trained as possible in all aspects of foreign service officer work and highly skilled in the supervision of junior staff. A Head of Post in an exacting position of this kind should also have an administrative officer who is well trained in administration and the supervision of local clerical staff.

226. Even with the delegation of the detailed work and much of the supervision of staff to subordinate officers, the Head of Post (or the unit Head in Ottawa) must remain the manager. Someone must still review and approve major decisions; someone must still be responsible for over-all direction, planning and control. Delegation does not relieve the Head of Post of over-all responsibility even though it may lighten his load. While the addition of subordinates can reduce the detail of supervisory work, it cannot change the scope and nature of his responsibilities and decision making.

227. It seems unavoidable that the foreign service officer, as he achieves professional responsibility, must also assume increasing managerial responsibility.

228. The managerial role of the foreign service officer is,

moreover, likely to increase in the future rather than decrease. In the first place the demands of programme planning and budgeting are placing greater and greater managerial responsibilities on foreign service officers in senior positions. The central agencies are forcing the pace in compelling the Department of External Affairs, as well as other departments, to achieve a greater measure of self-management. Assistant Under-Secretaries, Branch Directors, Heads of Division and Heads of Post are being asked to assume extensive responsibilities in the field of financial management for the Headquarters units and missions abroad under their direction.

229.

The managerial role of the foreign service officer is furthermore likely to increase also because of the growing demands for co-ordination of Canadian Government activities abroad. The rapidly increasing external aid programme and the growing involvement of other departments of Government in international activities of various kinds clearly point to a need for effective co-ordination in a given country of the activities of various departments of the Canadian Government. Furthermore, as programme budgeting sharpens the planning activity of various departments of Government in working up programmes and scheduling activities abroad, the need for co-ordination will increase very markedly. Co-ordination of Canadian Government activity abroad, whether it is required by statute or regulation or simply by the practical needs of an ad hoc situation, is an obvious field of activity for the Department of External Affairs. Co-ordination of this kind is a senior managerial function and will therefore inevitably fall upon senior officers of the Department of External Affairs both abroad and at Headquarters in Ottawa.

230.

Finally, the growth of the Department itself will inevitably

produce managerial demands which can only be discharged properly by foreign service officers. All organizations as they expand eventually reach a point where reorganization and delegation must occur if the load at the top is not to become unmanageable and unbearable. There is much evidence to suggest that the Department of External Affairs is at this point. The Glassco Commission study and the Eatock organizational report would tend to confirm this view. When reorganization and increased delegation occur there will unavoidably be increased managerial demands not only at the upper levels but also in the middle management levels - the Branch Directors, Heads of Division, Deputy Heads and Section Heads, Heads of Post and Heads of Chancery abroad.

231. There would seem little doubt, therefore, that the managerial role of the foreign service officer is not only here to stay but due to expand considerably in the next few years. We ask now how ready and how well equipped is the average foreign service officer to handle this managerial responsibility?

232. The research which Dr. Jackson has carried out has brought out rather clearly that the average foreign service officer does not see himself as a manager, nor does he consciously seek this role. (See Appendix V, pp.6-9, including Recommendation No. 2). This means that a re-education to the role and work of management may be required for the average FSO if he is to perform this role effectively. In addition, since the managerial role is to be of growing significance, it is imperative that some aptitude for it should be present in all foreign service officers recruited for the foreign service. Management aptitude should, therefore, be one of the recognized selection standards for new recruits to the foreign service. Those responsible for designing the selection procedure for new foreign service officers will have to ensure that these

procedures will be effective in identifying by means of aptitude tests, employment experience, interview questions, etc., the candidates with the greatest potential for management responsibilities in conjunction with the most promising potential for developing the other qualities required of a diplomat. Finally, the Department will have to adjust its concept of the foreign service officer as solely or predominantly a diplomat in favour of a composite image comprising a capacity for management as well as a capacity for diplomacy. This adjustment in the Department's image of a good foreign service officer will be particularly important in relation to FSO promotions.

233. The evidence we have gathered suggests that the managerial capacity of foreign service officers now on strength could be improved. In their interviews with the project consultants, foreign service officers often complained of the calibre of supervision which they received. Many officers commented on the scanty attention often given by senior officers to the instruction and development of subordinates. The lack of communication, particularly concerning rating reports and career planning, was also the subject of much adverse comment. We gained the impression that it was a rare occurrence for a foreign service officer to have a satisfactory interview of this nature. There would therefore appear to be an urgent need to strengthen these components of the foreign service officer's managerial role.

234. As further evidence of the improvement needed in the management area, we draw attention to some of the replies to questions asked in the course of Dr. Jackson's research study. It will be recalled that in answer to the question "How could training in the Foreign Service be improved?" 30.7% of the officers questioned mentioned improved communications at the junior officer-supervisor level. In addition, 20.8%

of the group indicated a need for additional administrative training, by which some meant training in management or supervisory techniques and some meant training in internal departmental procedures.

Accordingly we recommend:

(R 37)

That the Personnel Planning and Development Division develop and incorporate in its supplementary orientation training for new entry officers some education in the basic concepts of the managerial role and some skill training in the supervision of support staff and junior officers.

(R 38)

That the Personnel Planning and Development Division develop or obtain an educational programme in the concepts and work of the professional manager to be given to all foreign service officers now on strength during tours of duty in Ottawa.

(R 39)

That when the necessary training facility is available, Personnel Planning and Development Division provide skill training and coaching to all foreign service officers on career planning and performance appraisal communications with subordinates.

Development

235. This concludes our recommendations on training. In the course of our enquiries directed to the identification of training needs we turned up some pressing development needs which deserve a place in this report. The first of these we would like to mention is the requirement for career planning interviews. We have already pointed out that junior officers should be regularly exposed to this type of interview - a proposal which has been strongly recommended by Dr. Jackson in his Report (Recommendation No. 3). We would like now to examine the case of the more senior officer.

236.

A peculiar feature of the Department of External Affairs (which, we believe, it shares with other foreign services) is that the supervising officer to whom an officer is operationally responsible is rarely the officer who makes the appointment and promotion decisions which determine the career of the subordinate officer. The supervisor can make a contribution to these decisions through the rating reports and he can give his own estimate of his subordinate's career prospects which could have some counselling value for the officer he supervises. The meaningful counselling which focuses on career prospects rather than past performance must be got where the decisions are made - in Personnel Operations Division. This unavoidable delegation of an important management responsibility to the Personnel Branch means that there is a real risk that the counselling may not be well done.

237.

We are well aware of the heavy burden that rests on the posting officers in Personnel Operations Division. We must nevertheless report that many officers - not just juniors - remarked on the infrequency of good career planning interviews, and expressed the feeling that they had little or no opportunity to contribute to the career and posting decisions which affected them. The validity of this is substantiated by the fact that in the early stages of the interviewing programme in this project - before the need for time control was apparent - many of the interviews between project consultants and the FSOs in the group ran to two hours or more. Many officers had rarely had an opportunity for a discussion of their career in depth with someone who wanted to listen. The requirement for regular career planning interviews for officers at all levels would appear to be a pressing one.

238.

The rather special case of senior officers deserves some mention. Senior officers stationed in Ottawa are in a position to get some kind of comment on their performance from their immediate superiors, but not so those at posts abroad. An officer in charge of a post abroad has no one to whom he is operationally responsible (other than the Minister of the Under-secretary, who has many pre-occupations) with whom performance can be discussed in any detail. Related to this circumstance is the fact that foreign service officers of Grade 6 level or above - 32.5% of the Department's FSO strength - do not have any rating forms completed on them: in other words, the event which is the occasion for performance appraisal for officers of Grade 5 level and below never takes place for more senior officers. Without a systematic appraisal system it is difficult to see how inefficiencies in manpower utilization and perhaps inequities in promotion, through too much reliance on the seniority factor, can be avoided. As we have noted elsewhere in this report, there appears to be a requirement for an appraisal system for senior officers. We believe more effective arrangements for career planning interviews for senior officers would also be desirable.

(R 40)

Accordingly we recommend that a programme of interviews of foreign service officers by a personnel officer be inaugurated as soon as possible so that every foreign service officer shall have an opportunity to discuss thoroughly and informally past ratings and postings, career aspirations and other personnel matters affecting him, the interview to be held at a time free of imminent posting or promotion decisions.

239.

The interviews which project consultants had with officers of the project group revealed a noticeable lack of a managerial attitude on the part of the officers with respect to the various jobs they

had had. One of the consultants who interviewed over 70 officers found that, with one exception, they were all "activity" oriented rather than "objective" oriented. This kind of attitude will no doubt change as the Department becomes more "objective" oriented, as it will certainly do. The process of remoulding attitudes can perhaps be accelerated if the rating form used for officers were to focus more on work requirements, which are closely related to objectives, rather than personal characteristics. Such a change would incidentally take a lot of the pain out of appraisal interviews, since they would revolve more around objective matters - how the work was done - and less around sensitive subjects connected with the officer's personality.

(R 41)

Accordingly we recommend that the foreign service officer rating form be revised to change the basis of rating from personal characteristics to work requirements.

240.

We would like now to make a proposal concerning officer development which relates to the changing work requirements of the Department. We mentioned in paragraph 229 that the steady increase in Canadian government activities abroad would create demands for co-ordination which will no doubt have to be met in large measure by the Department of External Affairs. To meet these demands foreign service officers will not only require management skills as we have suggested above but will also need to have some acquaintance with the work of departments of government other than the Department of External Affairs, particularly those which are involved in operations abroad.

241.

We do not believe that this latter requirement can be adequately met through orientation training: direct experience is likely to be more effective. Such direct experience would, we believe, be

particularly appropriate for the generation of FSOs who will be moving into the middle working levels of the service in the next few years. Most of these officers have passed virtually all their working career in the Department of External Affairs. The information tabulated in Figure 1 on page 4 indicates that -- in comparison with their predecessors of the 1940s -- the present generation of junior FSOs includes a much higher proportion of officers who have had no significant employment experience in any other department of government or in the private sector before joining the foreign service. The decline in the proportion of officers who have come into the service by lateral entry has also been noted in paragraphs 94 and 95 above. To ensure that foreign service officers are not nurtured in too narrow a context and to meet the growing requirement for officers with a broad knowledge of Canadian government activities we believe a development programme should be worked out which will give a substantial number of FSOs some working experience in other government departments.

242. We have mentioned in Chapter III (paragraph 45) that secondment to External Affairs of officers from other Government departments either directly or through the Career Assignment Programme might be a suitable short-term measure to ease the shortage of foreign service officers in the middle grades. An exchange arrangement under which officers of the Department of External Affairs would be seconded to other departments in exchange for officers from other departments who might be seconded to the Department of External Affairs would do nothing to ease the Department's manpower shortage: it would, however, do a great deal to diversify the experience of foreign service officers while at the same time bringing into the Department the knowledge and skills of officers whose main working career has been in other departments of Government. Officers who have had the opportunity of serving outside

the Department of External Affairs for a period of secondment (e.g. in the Canadian International Development Agency, in the Privy Council Office, in the Department of National Defence and in the Treasury Board) have certainly benefited from the broadening experience which these assignments afford. Secondment to other departments has not, however, affected more than a small number of FSOs: at the present time, for instance, ten officers are on secondment to other government departments or agencies. If the Department is to benefit from arrangements of this kind a much more extensive programme must be laid on. Clearly this can only be done if the officers seconded are in most cases replaced by officers seconded from other departments to the Department in exchange.

Accordingly we recommend:

(R 42)

- a) That, to diversify the experience of foreign service officers and to ensure that as many as possible obtain some direct knowledge of the work of other government departments, the Department work out through the Public Service Commission arrangements whereby at least 25 foreign service officers are at all times serving limited tours of duty on secondment in other government departments or agencies; and
- b) that in order to bring into the Department experience and skills from elsewhere in the Public Service, officers from other departments of government be seconded to the Department of External Affairs for limited tours of duty both in Ottawa and posts abroad, in exchange for the foreign service officers seconded out, except where the latter are covered by man-years allocated to the department specifically for secondment purposes.

UTILIZATION OF FOREIGN SERVICE OFFICERS

243. The questions we have sought to answer in this part of our enquiry relate to the Department's manpower economy in its employment and deployment of foreign service officers: are FSOs being used to best effect in the present generalist system? Should they be more specialized or less specialized? Are we using FSOs to do work which would be better done or as well but more cheaply done by other classes of employee? Are we wasting FSO resources through duplication of effort? Are FSOs being adequately supported by other categories of employee? We propose first to deal with the problem of generalists versus specialists.

244. In a previous section we reviewed this problem from the point of view of FSO career paths and the training of FSOs. It would be useful here also to consider this problem from the point of view of the effective utilization of FSOs.

Generalists versus Specialists

245. In our approach to this problem we endeavoured first to ascertain the degree of specialization which now obtains in the Department - how many of the Department's foreign service officers are generalists properly speaking, and how specialized are the specialists. This was not particularly easy as the Department's information about how an officer has been employed is not always recorded in places that are easy to get at. For practical purposes we found the best thing to do was to make a sample study of 66 senior officers on whom we had fairly full information as recorded in the Personnel Inventory Forms which senior officers have filled out in connection with the Public Service Commission's development of a service-wide manpower inventory.

The sample consisted of eight FSOs 9, 16 FSOs 8, 24 FSOs 7 and 20 FSOs 6. It was a random sample, but only in the sense that these 66 officers happen to have completed inventory forms.

246. Of this group of 66 officers, 18 could be designated as generalists. Their education, pre-departmental employment and their appointments and assignments in the Department were so diversified that no discernible specialist thread could be identified.
247. Of the remaining 48 officers in the group, eight have had more than half their assignments in one field, and six others exactly half; these fourteen officers could be identified as the closest thing the Department has to specialists in the sample group. The remaining 34 officers have had two or more assignments in an activity area (in some cases related to their education or pre-departmental working experience) and may be regarded as orbital specialists in the sense that they have moved into an activity, out of it and into another activity and then back to the original activity, at least once and sometimes two or three times. Ten officers of the group could be identified with two different fields.
248. Since the group studied is not a proper statistical sample and since our methods of assessing specialization are very rough, not too much importance should be attached to the exact percentage figures for the sub-groups into which the sample can be divided. Broadly speaking one can say that about one fifth of the group are specialists, about one quarter are true-blue generalists, and the remainder - slightly over half - fall somewhere in between.
249. How far should the Department go in developing specialists in certain areas? To get some suggestions on this we consulted the following key officers:

Legal Adviser
Director of the Office of Economic Affairs
Director of the Office of Politico-Military Affairs
Head of Information Division
Head of Cultural Affairs Division
Head of D.L.(2) Division
Canadian International Development Agency - Director
General of Personnel
Director General of the Personnel Branch

In consulting these officers we had in mind that they were concerned with types of activity - legal, economic, cultural, information and aid - which can be found elsewhere in Government service, and that if there was a case for the employment of specialists on the substantive side of the Department's operations, it would probably be found in some of these areas.

250. All these officers, except one, indicated their general satisfaction with the broadly qualified foreign service officer as the best kind of person to do the work in their particular branch or division. There was no suggestion (again with one exception which we shall explain later) that the Department would do better to employ specialists from outside the service for some aspects of their unit's work, nor that the Department should develop a specialized FSO stream where officers would work exclusively in one area for the main part of their career. Several of the senior officers consulted emphasized the Department's co-ordinating role and the corresponding requirement that officers working in their Divisions should have a capacity to see a particular activity in its proper perspective in relation to other types of activity in a given country or area. For instance, an officer in the Office of Economic Affairs who had had experience as a political officer and who could see particular economic problems in relation to a broader picture was more valuable than an officer with highly developed

skills in a particular field of economics who had spent nearly all his working life in that area of activity.

251.

A number of these senior officers did stress the advantage for the Department in having an officer appointed to their field of activity on different occasions in the course of his career, with such assignments interspersed with other assignments in different aspects of the Department's work. An officer who had had an assignment in, say, North American Defence and NATO Division as a junior officer would, if he returned to the Division as an FSO 4, be able to learn his job much more quickly than one who came to the Division without this previous experience.

252.

Interpreting these various comments from senior officers who are in a good position to see our qualitative manpower requirements in their particular fields, we believe that the further development and sophistication of orbital specialization within a service that can remain basically generalist will meet the Department's own peculiar requirement for specialization better than any more elaborate programme for setting up differentiated specialist streams within the FSO group. Development of orbital specialization will require a greater degree of career planning than is now practiced. Some career planning has been carried out in the Department for some time: this is evident from the number of officers in the senior officer sample mentioned above who have developed orbital specializations. In a number of cases there is a logical sequence of appointments for an officer who, largely because of these appointments, developed a certain measure of specialization through accumulated experience. We have the impression, however, that most of the appointment decisions were made one by one as the vacancies developed and that there was relatively little planning which extended beyond the next appointment. What we are suggesting now is a greater degree of forward planning and

an increase - though a fairly modest one - in the amount of orbital specialization to be built into the careers of foreign service officers.

253.

We believe that in the development of any programme for increasing the degree of orbital specialization in FSO careers, the Department should take care to avoid too much specialization. The foreign service officer is concerned primarily with relationships - relationships of all kinds: and while he must concern himself with matters of substance, he must not do so to the extent that his capacity to deal effectively with relationships is impaired. We suggest that the Department's aim, for instance, should be not to develop economic specialists but rather specialists in international relationships which are primarily economic in character.

(R 43)

Accordingly we recommend that with due regard to the generalist nature of the service, the Department develop a policy on orbital specialization to ensure that the service will have an adequate supply of officers with special knowledge and experience to meet the changing work requirements of the service; and that the particular abilities and interests of foreign service officers in special fields may be developed for the benefit of the foreign service as well as the individual officer concerned.

254.

Elsewhere in this report we have recommended certain measures whose implementation will be essential if a programme of orbital specialization is to be further developed: we refer in particular to the accumulation of much fuller information than is now available about the job content of the Department's various FSO positions, the requirement for much fuller manpower inventory information, the requirement for frequent two-way communication between the Department and individual officers, and finally, the need for runner-up charts listing possible replacements for officers occupying key positions both at posts abroad

and in Ottawa.

Loss Of Time In Job Changes

255. All foreign service officers - generalists and specialists alike - must contend with one characteristic of their career pattern which occurs much more frequently in the foreign service than in other lines of work - namely, the requirement to learn a new job. We have developed no statistics on the frequency of this but we suspect that - not counting the training assignments during an officer's first posting in Ottawa - the average FSO changes jobs every eighteen to twenty-four months. For officers who are taking on a new job in their orbital specialty the task of getting settled in and working up to full production is easier and shorter. For the officer who is changing to a completely different line of work the running-in period can require several months. Indeed, heads of division whom we consulted cited this circumstance as the main reason why they preferred officers who had developed an orbital specialty in the work of their division: the generalists, they said, often took too long to learn a new job.

256. If the Department's utilization of its FSO resources is to reflect good economy, everything possible should be done to reduce the loss of time and efficiency which occurs when FSOs change jobs, the totality of which must be considerable over the whole service in the course of a year. One standard remedy which is dear to the hearts of many supervisors is the period of overlap between an incoming officer and his departing predecessor. Discussions we have had with a number of officers suggest that this device is rarely effective. In many cases the officer taking over has just arrived at the post from Ottawa or elsewhere and the officer surrendering responsibilities is about to depart for Ottawa or elsewhere. Both officers are frequently highly

distracted by their personal problems and the possibility of effective communication between them is very slight indeed. We are of the impression that Personnel Operations Division is sensible in not squandering manpower on this essentially inefficient exercise.

257.

While we have not studied the problem in detail, we would like to advance a suggestion which - if conscientiously implemented - could reduce considerably the loss of efficiency which occurs each time a job changes hands. Our proposal is that every foreign service officer working on a regular job (as distinct from a project) should as one of his normal duties prepare a turnover brief which would contain a full and complete description of how he does his job. This document, which would include names, titles - perhaps even telephone numbers - of all contacts outside the Department or post, outlines of special procedures and recurrent tasks, etc., could be made available to the new incumbent even before he left Ottawa or his post abroad. The new incumbent would have an opportunity to study his assignment, make any special preparations that appear to be called for and generally prepare himself for his new job in such a way that the break-in period should be less painful for him and less conducive to the loss of efficiency in the unit. The system would work best if the document were prepared fairly early in an officer's incumbency and then revised at regular intervals so that it would be ready to be passed at any time to a newly named incumbent and would not have to be prepared in the hectic days just before an officer leaves his post or division for his next assignment. Turnover briefs would have the additional advantage of being available to temporary replacements who have to take over an officer's work when he is away on annual leave, at conferences or ill.

(R 44)

Accordingly we recommend that the Department consider requiring officers as a matter of routine to prepare turnover briefs which would contain a full description of their job for the guidance of the next incumbent or any temporary replacement; thus obviating any requirement for the costly and inefficient device of overlaps between a departing officer and his successor.

FSOs In Non-FSO Work

258. In the course of our conversations with the senior officers mentioned above, we were able to identify some types of activity where it seemed likely that FSOs were doing work which would be either better done or less expensively done by other classes of employee.
259. One important area of activity in this connection is aid work. A number of officers we consulted concurred that there were two main types of activity abroad in the aid field - namely, programme planning and programme administration. Many were also of the view that much of the programme administration work could probably be done by officers other than FSOs. It was also agreed that some aid programme planning was of a technical nature and required technical officers from CIDA to do it properly. On the other hand there was a conviction that a great deal of aid work had important political aspects and was properly the province of the FSO.
260. Although there were some sixty officers engaged in aid work at posts abroad, there was no well organized body of knowledge about the various types of aid work to be found at each post. The problem is further complicated by CIDA's current programme to give field experience to a large number of their Headquarters officers, a programme requiring

joint ad hoc decisions by External Affairs and CIDA on the staffing of various aid positions abroad, in many cases where the exact nature of the work to be done may not be too well known.

261.

It seems to us urgently necessary that a work analysis study be carried out at every post where aid work is done to ascertain the exact nature of the aid workload and to determine how this workload could best be distributed between various classes of employee. The information so obtained could be shared with CIDA - indeed much of it must be obtained with their co-operation - and could serve not only to assist the Department in assessing the costs of its handling of the country's aid programmes, and estimating how these costs might be lowered, but could also enable us to determine how much of the aid work abroad should be done by FSOs, how much by AS officers from this Department and how much by other types of officer from the Department of Trade and Commerce and from CIDA. In addition to that important information, the work analysis would also enable the Department's training section to develop appropriate types of officer to do aid work at posts abroad. A very substantial number of officers now doing aid work abroad are junior officers on first posting out, some of whom had some exposure to aid work in CIDA before leaving Ottawa, but no specific training on how best to perform it.

262.

There are other reasons why the Department should assess carefully its future commitment in this field. It will make a difference to the publicity material we use in recruiting, which properly should reflect the nature of the work FSOs are going to be expected to do. It can also affect our recruiting standards in the sense that we will clearly need a proportion of officers in each new class who are suited and motivated to do aid work. It must find its place in

the image of the Department so that FSOs who are asked to do aid work will not have the feeling that they are being shoved aside into a peripheral area and that their performance on aid work will count for little in comparison with what other officers do in the political field, for instance.

(R 45)

Accordingly we recommend that in co-operation with the Canadian International Development Agency, the Department carry out a work analysis study of aid work now done at posts abroad and of additional aid work which will have to be done within the foreseeable future in order to determine what classes of employee should be assigned to this work, from which departments they should be drawn, how they should be trained to do it and how the selection standards for any of the classes of employee concerned should be modified.

263.

The Head of Cultural Affairs Division expressed the view that there were some jobs in the cultural affairs field - both in the Division in Ottawa and at a few posts abroad - which would be better done by personnel with an appropriate background than by a generalist officer assigned to cultural affairs work for an occasional tour of duty. The Head of Cultural Affairs Division felt that it would be quite possible to identify such jobs and make arrangements to fill them from outside the Department and that, in many cases, this approach would be preferable to trying to develop foreign service officers in the cultural relations field who had no special background or aptitude for it. He recognized that there were some officers now in the Department as FSOs - and probably others who would be recruited in years to come - who had the background and aptitude to do many of the cultural affairs jobs effectively. On balance, however, he thought it would be wise for the Department to supplement this relatively small number of officers with officers from outside the Department who could

be brought in on a secondment or contract basis to fill vacancies which otherwise we might have great trouble in filling from our own resources.

(R 46)

Accordingly we recommend that the Department undertake a work analysis study of Cultural Affairs Division and cultural affairs positions at posts abroad to determine which jobs should continue to be filled by foreign service officers, which jobs should be filled by officers in the AS group, and which jobs should be filled by cultural affairs officers recruited, seconded or engaged by contract from outside the Department.

264. D.L. (2) Division agreed in the course of our discussion with them that there were some jobs in the Division now being done by FSOs - and often because of their nature not much liked by them - which could be done by classes of employee other than FSOs provided such personnel were properly selected and trained. The number of officers who might be released for other duties by this re-arrangement would not be large, not more than two or three at most.

(R 47)

Accordingly we recommend that a work analysis study be done in D.L. (2) Division to determine which jobs now being done by foreign service officers could be better done by some other class of employee and how such employees might be selected and trained.

265. Our discussions with various functional divisions indicated that there was a certain amount of administrative work that had to be done in each division which was somewhat beyond the scope or capacity of the divisional secretary and which now had to be done by FSOs for want of any other available employees. The Department should ensure that FSOs are not increasingly taken up with such administrative duties in Headquarters division.

(R 48)

Accordingly we recommend that the Organization and Methods Unit carry out regular studies of functional and area divisions in Ottawa to determine whether alternative staffing arrangements would free some FSOs from administrative work which might better be done by administrative officers.

Duplication Of Effort

266. FSOs are not being economically utilized if they duplicate one another's efforts. Doubtless there is danger of this sort of thing occurring in any organization: perhaps there is an even greater danger in an organization like the Department of External Affairs which has evolved almost entirely in response to the practical demands of increasing workload, until recently with little benefit from organizational studies or any critical enquiry into various organizational alternatives.

267. The Department is becoming more conscious of organizational problems, however, and is taking the first essential steps to bring them under control. Of the five new headquarters divisions which have been set up in the past eighteen months, four of them (Central Planning Staff, Staff Relations and Compensation Division, La Direction des Relations entre Pays Francophones and Co-ordination Division) received memoranda outlining their areas of responsibility, and a fifth (Personnel Planning and Development Division) is in the course of preparing its terms of reference. Preparation of such terms of reference is, of course, no guarantee that duplication of effort and uncertainty about areas of responsibility will not occur: from the limited enquiries we made, we received the impression that both La Direction des Relations entre Pays Francophones and Co-ordination Division had encountered overlapping problems. We recognize that the peculiarly

sensitive matters dealt with by these divisions cannot always be handled according to standard procedures in normal organizational channels and that some duplication of efforts as between layers of authority in the Department cannot always be avoided. Overlapping of responsibilities as between these new divisions and other divisions such as European, African, and Middle Eastern and Legal divisions, which are concerned with aspects of the same problems, is, however, a different matter. If this difficulty exists in the case of these new divisions, it is likely also to obtain in the case of older units to a greater or less degree. This is likely to be a continuing problem and accordingly we would suggest that provision must be made for a continuing solution to it.

(R 49)

We recommend, therefore, that the Central Planning Staff and the Personnel Planning and Development Division be directed to work out a programme which will provide for a continuing review by these two units of the work areas of Headquarters divisions in order to reduce and prevent duplication of effort as between headquarters units.

268. Perhaps a greater danger of duplication of effort exists in the vertical lines of communication in the Department. The distance now in terms of the numbers of levels of authority between the desk officer and the Minister is in some cases considerable. Numerous instances could be cited of mature officers with about ten years' service and at the grade 5 level who are separated from the Under-Secretary by three levels of authority - Head of Division, Head of Branch and Assistant Under-Secretary, or in some cases, Head of Section, Head of Division, Assistant Under-Secretary. It has been observed that this layering of authority is required more to meet the needs of liaison with other departments than to provide additional levels of supervision.

So long as the line of authority passes through these various layers, however, the temptation to contribute to the supervisory process and therefore to duplicate the work of subordinates will always be present for each officer in the hierarchy.

269. Another reason for duplication of effort as between levels of authority in the Department is the absence of any definition of the different nature of responsibilities that are appropriate at each level in the Department. Just as there is a requirement to define the functions of the various divisions at Headquarters in order to ensure that they will not overlap in their activity and therefore waste precious manpower resources through duplication of effort, so there is an equally pressing requirement that the Department define the functions and the responsibilities of the different levels of authority in the Department so that Assistant Under-Secretaries, Branch Directors, Heads of Division and Heads of Section will have a clear idea of what they are supposed to do and what they are not supposed to do. The old philosophy that any officer who is competent enough to be made Head of Division should be able to figure out his role and responsibilities himself is not good enough in the large and complex organization which the Department now is. At the present time insufficient appreciation of the differences in responsibilities which should attach to different levels of authority in the Department means that foreign service officers as they move into more senior positions continue to exercise their professional role as diplomatists without assuming sufficiently the managerial role which their more senior positions require. Since one man can do only so much work, if he is to do more in the way of management (i.e. the planning and development of human and financial resources at his disposal to achieve departmental and governmental objectives) he must obviously spend less time on those aspects of his professional work that can be delegated to

subordinates. Failure to delegate sufficiently is a widespread short-coming in the Department which does much to explain the condition of chronic overwork which exists at the upper levels and the nagging under-employment which can be found at the lower levels. The underemployment amongst the more junior officers is not always a matter of having insufficient work to do but often a matter of having insufficient challenging work. This state of affairs combined with a frustrating sense of a lack of participation in the more interesting aspects of the Department's work are not conducive to the development of good morale amongst junior officers.

270.

In Chapter IV we have made recommendations for the inauguration of some management education training for foreign service officers. To promote the best utilization of FSOs and to reduce duplication of effort which may take place at different levels in a highly structured hierarchy, we believe this management education should be supplemented by a clear articulation of the functions appropriate to various levels. A study along these lines could make possible the provision of guidelines to the occupants of positions of responsibility and may in some cases suggest organizational changes.

(R 50)

Accordingly we recommend that Personnel Planning and Development Division, in co-operation with the Central Planning Staff, undertake a project to define the different responsibilities which should attach to different levels of authority in the departmental organization at Headquarters.

Use Of Support Staff

271.

Good utilization of a class of employees as sophisticated as foreign service officers requires that they be adequately supplied with the necessary support staff. Foreign service officers require support staff in Headquarters units in the form of stenographic and secretarial

assistance (all that is normally provided, for instance, in all political and many functional divisions) and adequate clerical staff, particularly in the Registry which stores and maintains the files which foreign service officers use. There is a further requirement for general administrative support which is provided in the form of organizational support for entire units rather than for individual foreign service officers. At posts abroad FSOs require - as all personnel do - a substantial measure of individual administrative support because of the complications of living and working in an alien environment.

272. The Department is chronically short of stenographers, which means that many foreign service officers are not adequately served insofar as secretarial assistance is concerned. On the other hand one discovers on enquiring into this problem that one of the strongest complaints from stenographers in the service is that they are not themselves adequately used by the officers whom they serve. The crux of the problem here appears to be that many foreign service officers have an insufficient appreciation of the extent of the support assistance they could get from their stenographic assistants if they asked for it and if they provided a certain minimum of coaching and direction. The reason for this state of affairs is that most foreign service officers come directly to the Department from the universities where they have had no experience in working with a secretary. Supervision and direction of a secretary may seem elementary enough but the alarming extent to which this job is improperly done in the Department of External Affairs suggests an urgent need for training in this field and conscientious follow-up action by officers in positions of responsibility.

(R 51)

We recommend, accordingly, that induction training of foreign service officers include some training in the proper utilization of stenographic assistance and in the use of dictating machines.

273.

We have observed that a substantial number of foreign service officers still tend to develop and use their own filing systems. While we understand that the whole question of records management remains under continuing review, we suggest that there is an added reason for pressing on with it in the sense that, so long as the Registry does not provide foreign service officers in operational divisions with the service they require, there will continue to be a misuse of foreign service officer manpower through diversion of their efforts into their own home-made records systems.

(R 52)

We recommend that the Organization and Methods Unit investigate situations where bootleg registries exist and recommend such changes in organization and procedure as may be required to ensure that the needs of divisional desk officers for registry support are properly met.

VI

REPORT OF DAVID JACKSON AND ASSOCIATES LIMITED

274. Dr. Jackson's research, which in a sense was a sub-project of the main project, had as its first objective the identification of selection criteria which could be useful in recruiting, and secondly the identification of features of the Department's performance evaluation procedures which might predict progress in the service. The research involved the administration of a substantial battery of tests to a large group of foreign service officers, and the correlation of this data with information concerning the officers from the Department's records. Insofar as the identification of selection criteria was concerned, the results of the research were somewhat disappointing. Foreign service officers seem to be such a heterogeneous group -- so many different types of officer do well in the service -- that it has proved impossible to discover any new combination of measurable qualifications or characteristics which might identify the kind of candidate likely to do well in the foreign service. In other words the existence of an External Affairs "type" seems not at all to be borne out by the evidence assembled in this study.

275. The research as carried out, however, involved the study of the project group as a whole. It is possible that some different conclusions might be drawn if the group was divided in two -- say those who joined the service before January 1, 1960 and those who joined after that date -- and the data analysed again: the relationship of characteristics to performance amongst those who have been from nine to sixteen years in the service may well turn out to be different from those who have been in a shorter time. Data of the kind assembled in this research exercise is not likely to be gathered again for many years, and

its availability and the effort and expense that went into collecting it suggest that it would be worth while if the Department were to seek to have it further analysed.

(R 53)

Accordingly we recommend that the Department explore with the Public Service Commission the possibility of submitting the data collected in Dr. Jackson's research study to further computer analysis, with a view to determining whether there are consistent differences between the older and younger FSOs in the project group that might be significant either for selection on the one hand or training and development on the other.

276. The first and second chapters of Dr. Jackson's report (Objectives, and Summary and Recommendations) are reproduced in Appendix V of this volume. The full text of his report forms Volume III of the project report, but because of its technical nature this volume is not being reproduced in quantity.

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A P P E N D I X I

TERMS OF REFERENCE

for

MANPOWER PLANNING STUDY

DEPARTMENT OF EXTERNAL AFFAIRS

- A. Memorandum re Proposed Study
- B. Study of Manpower Requirements
- C. Letter to Under-Secretary of State
for External Affairs
from
Bureau of Management Consulting Services

October 13, 1967

MEMORANDUM to Mr. J. R. Maybee

Proposed Study

I believe Bruce Williams discussed with you in general terms the Under-Secretary's intention that you should undertake a study of (a) training programmes and other methods for meeting our forecast requirements for experienced officers; and (b) other aspects of career development for Foreign Service officers, in the light of current personnel policies and proposed modifications.

We are still short of experienced officers to cope satisfactorily with growing demands. The Under-Secretary would like you, because of your experience, to consider how best we might cope with this problem in the medium or long-term. In this study you will want to refer to various recommendations that have been made by outside consultants, as well as to inform yourself of the implications of new government-wide programmes relating to such matters as bilingualism and collective bargaining. Without restriction on the direction of your studies, the following are a few suggestions which you may wish to pursue:

1. Training of probationary officers - how could this be improved to accelerate their experience? Could we send some of them to posts in training for example?
2. Middle rank training - should we set up a Foreign Service Institute type of training scheme or should we take advantage of facilities available elsewhere?
3. Could we redeploy our existing resources to better advantage or step up recruiting at middle and senior grades?
4. Could we improve on our present recruiting procedures?
5. An assessment of foreseeable requirements for personnel, in the light of known programme priorities for, say, the next five years.

As I mentioned to you, it would be helpful to us and I believe very relevant to your studies, if you could also participate as a member of one of the seven oral boards which will be required for a month beginning November 6, for the 1967 FSO 1 competition.

Under-Secretary of State
for External Affairs

November 24, 1967

STUDY OF MANPOWER REQUIREMENTS

At the request of the Under-Secretary, Mr. J. R. Maybee will serve as a special adviser on personnel problems, attached to the Inspection Service, and will undertake a study of the Department's manpower requirements, with particular reference to Foreign Service Officers.

Purposes:

- a) To recommend to the Under-Secretary the new or revised policies and procedures the Department should pursue to ensure that it will have adequate numbers of experienced Foreign Service Officers to meet its future commitments.
- b) To identify the related staff resources that must be available to enable FSOs to function effectively, and to indicate how the Department can determine the nature and extent of those needs.
- c) To determine how the manpower planning function can best be carried out in the Department.

Method

With the help of departmental officers and of PSC personnel specialists, the special adviser will prepare:

- a) An assessment of needs;
- b) An inventory of resources;
- c) An outline of corrective measures

He will examine the effectiveness of existing practices in recruiting, selection, training, assignment and career development of FSOs.

The study will take into account the likely effect on utilization of FSOs of Government policies concerned with promotion of bilingualism, the development of collective bargaining, and the adoption of new financial management techniques.

Ottawa 4, December 4, 1967

Mr. M. Cadieux
Under-Secretary of State
for External Affairs
External Affairs Department
East Block
Ottawa, Ontario.

Dear Mr. Cadieux :

On November 7, 1967, Mr. F. Hinton and I met with Messrs. Bennett, Maybee and Tovell of your Department. The purpose of the meeting was to examine current and future requirements for the middle level Foreign Service Officers with regard to the time it currently takes to develop these people.

During the discussion, we agreed on the three following recommendations:

- 1) Manpower forecasting - the identification of the number and type of people required for the department to successfully fulfill its purpose; also, the number of people available through the present recruitment and training process. (The discrepancy between the two represents the problem the department now faces.)
- 2) Study of career paths of the officers at the intermediate level. The objective of this study would be to identify the average and above average people - what characteristics, education and work experiences they have had which might be helpful in identifying and accelerating the careers of others.
- 3) The development of a training program involving the implementation of findings in (2) above.

It was agreed that number (1) above, could best be handled by Mr. Maybee and his colleagues in the Department of External Affairs. Our division would be available to assist in the design of the format. It was agreed that the extent of our participation would represent approximately one half day.

Our Division was also requested to identify tentative terms of reference for number (2).

TERMS OF REFERENCE

The Personnel Consulting Division of the Bureau of Management Consulting Services would undertake a study of career development in the Department of External Affairs. The objective of the study would be to identify particular backgrounds and experiences which have enabled Foreign Service Officers in the middle levels to be more effective in a shorter period of time than some of their colleagues. The identification of such data would be used by the department as a basis for designing work experiences and training programs and/or modifying the present entrance level to the Foreign Service Officer Category. This would enable the department to maintain the present standard of officer but the level of effectiveness could be reached in less than the seven years it is now taking.

THE RESOURCES INVOLVED

We would consider this a team project; the team would consist of a Personnel Consultant with previous success in handling this type of problem; a senior member of the department who has an extensive background in the diplomatic service both in and out of this country (it would be helpful if this member of the team had during his career, an assignment as Personnel Director). The third member of the team would be Dr. David Jackson of David Jackson and Associates, who would be brought in, as the study progressed, to do an analysis of characteristics.

THE FORMAT

The people concerned would be approximately 100 middle level category Foreign Service Officers. The project team would search records, interview the group, design and administer a survey questionnaire and a number of aptitude tests. The team would interview Senior Level Officers who have previously supervised these and/or comparable people.

The co-operation of the group would be sought on the basis that this is a research project - its purpose would be identified and the department and ourselves would assure them that any data collected would be regarded as privileged and would not form part of their permanent records. We would also feedback to them, at their request, the results of any aptitudes identified in the study.

The earliest we could begin this study is in April. If you are interested in pursuing the matter, we would welcome the opportunity of confirming the starting date with you.

The completion of the study would take from four to six months.

This second recommendation discussed is, in my view, one of the three essentials required to institute a new career planning program in your department. I would like to be able to assure you that career patterns are predictable and that it is possible, by objective and impartial means, to assess requirements and plan programs which are helpful to both the senior people responsible for directing others and those who are developing. While this has successfully been done in a number of situations, the Department of External Affairs is sufficiently unique in its mission, that it would be imprudent to make an unqualified promise of results.

We can say, however, that the problem is an interesting one and that we would be pleased to utilize our professional expertise, the experience of Dr. Jackson and the situation knowledge of the Departmental Personnel in trying to produce workable solutions.

Yours sincerely,

P. J. Chartrand
Chief, Personnel Consulting Division
Bureau of Management Consulting Services

PJC/cam

c.c. Mr. Bennett
Mr. Maybee
Mr. Tovell

A P P E N D I X I I

PROPOSED
MANPOWER PLANNING
for
DEPARTMENT OF EXTERNAL AFFAIRS

- A. Manpower Planning Chart
- B. Manpower Planning - Notes on the Chart
- C. Man-Year Expenditure Reports
- D. Estimate of Manpower Available
- E. Estimate of Recruiting Needs
- F. Manpower Movement Projection
- G. Promotion Movements

CHART OF THE WORK OF MANPOWER PLANNING

MONTH	MANPOWER ACCOUNTING	MANPOWER FORECASTING	RECRUITING	TRAINING	POSTINGS AND ASSIGNMENTS	APPRAISALS	PROMOTIONS	CAREER PLANNING AND COUNSELLING	SEPARATIONS	ORGANIZATION	UTILIZATION
JANUARY	a) Request posts and divisions to report MY expenditures under activity headings and by position b) Obtain from SR&C 9 - mo. summary of MY expenditures	a) Request posts and divisions to forecast MY requirements for NFY + 1				a) Prepare rating review brief		(No Time Schedule) a) Review career planning procedures b) Review format of posting preference forms			(No Time Schedule) a) Debrief personnel returning from posts to check utilization practices b) Follow up liaison tour reports which indicate poor utilization c) Initiate utilization studies
FEBRUARY	c) Obtain job information from FSO rating forms. d) Tabulate MY expenditure reports prepared by posts, divisions and SR&C e) Pass job information from a) and c) to classification	b) Prepare estimate of manpower available for NFY + 1 c) Tabulate requested MY for NFY + 1	a) Analyze selection data from FSO competition for comparison with previous years b) Review recruiting policy and FSO selection procedures	a) Estimate Man-Years required to meet training needs in NFY + 1	a) Prepare forecast of postings, home leave and assignment moves schedule for NFY + 1			c) Analyze preferences d) Estimate Departmental requirements for FSO's with special qualifications or area interests e) Review of Manpower Inventory methods			
MARCH	f) Analyze reports and prepare interpretive memos for line management	d) Prepare MY deployment plan for NFY + 1		b) Check training section's plans for NFY c) Check available manpower skills and experience against work requirement information			a) Prepare promotion brief for FSO promotions committee	f) Plan and audit career planning interview programs g) Prepare runner-up charts for key positions		a) Review deployment plans for NFY + 1	
APRIL				d) Review training recommendations from FSO rating reports		b) Extract from FSO rating forms recommendations concerning training, posting and assignments for FSO. c) Extract from FSO rating forms information for manpower inventory			a) Prepare separation reports b) Revise five-year forecast of separations	(No Time Schedule) b) Develop and maintain divisional terms of reference; review periodically with Heads of Division c) Define and review responsibilities for different authority levels	
MAY											
JUNE											
JULY											
AUGUST		e) Revise MY deployment plan in light of approved Program review f) Estimate recruiting needs for five year period g) Remodel FSO personnel system h) Request classification on new positions.	c) Prepare recruiting target for next fiscal year								
SEPTEMBER		i) Analyze activity content of new positions j) Rework manpower movement projections report on trouble areas to Director General of Personnel	d) Check recruiting standards against activity mix information e) Check manpower inventory against activity mix information on existing and new positions	e) Check activity mix of new positions for training needs		d) Review FSO rating forms and instructions to supervising officers			c) Revise plans for relieving manpower pressures by means of planned separations		
OCTOBER			f) Consult USSEA about prospective O-in-C appointments g) Recommend lateral recruitment objectives to Pers. Ops. Div for NFY h) Prepare briefing material for FSO selection Boards		b) Revise estimate of available manpower for NFY; allocate available MY to divisions and posts						
NOVEMBER					c) Inform area divisions of MY allocations for NFY and invite proposals on allocations to posts		b) Analyze promotion decisions				
DECEMBER									CODE MY = MAN-YEAR SR & C = STAFF RELATIONS AND COMPENSATION DIVISION NFY = NEXT FISCAL YEAR		

MANPOWER PLANNING

To convey the wide range of activities involved in the operation of a manpower planning programme, and to reflect the cyclical nature of much of this activity, we have prepared the accompanying chart (Appendix II A), arranged by activity headings in vertical columns and months of the year in horizontal bands. In the ensuing notes we have provided some introductory observations for each activity heading, and then we have amplified the brief listings of tasks on the chart: notes and chart should therefore be read together. We have not tried to identify in each case the unit which should be responsible for the activity listed: many of them should fall within the purview of Personnel Planning and Development Division, some under Personnel Operations Division, some elsewhere. Location of responsibility for each task should be negotiated by the units concerned and the agreed arrangements approved by the Director General of Personnel and the Assistant Under-Secretary (Administration).

1. MANPOWER ACCOUNTING

The principle to be applied in this aspect of manpower planning is that the expenditure of man-years should be accounted for as carefully as the expenditure of money. It will probably take the Department some time to decide -- after some trials and errors -- the best way to account for its expenditure of man-years to satisfy its own requirements as well as the demands of the Treasury Board. In its Circular No. 1968-39 of June 3, 1968, the Treasury Board indicated that:

"Beginning with 1969-70, each department will be requested to submit to the Treasury Board prior to the beginning of the new year, a forecast for each quarter of its planned man-year utilization and strength in each of its programmes, and subsequently, to submit also, normally within four weeks of the end of each quarter, a report of the actual man-year utilization and strength compared to forecast utilization and strength."

In addition, in their Programme Review Submissions for 1970-71 and subsequent years, departments will be asked to show their man-year requirements by activity, and a projection of the strength at the end of each fiscal year in the forecast period. The Department may wish, for its own purposes, to keep track of its utilization of man-years by activity in a good deal more detail than the Treasury Board requires. Manpower accounting as outlined below is related more to our estimate of what the Department will require to know for its own purposes than to our knowledge of the kind of activity information the Treasury Board may require.

Notes On The Chart

January

- (a) Request posts and divisions to report man-year expenditures under activity headings and by position.

Posts would be expected to provide this information as part of their annual programme review memorandum (Woods Gordon Report, p. 66, Item (3)). A preliminary effort to obtain this type of information has been made this year by means of a request for completion of a country data questionnaire which was sent to posts as part of the programme review activity. The activity headings that can be used for this type of reporting are the following :

- 1) Direction and Administration
- 2) Political Work
- 3) Economic Work
- 4) Politico-Military Work
- 5) Security and Intelligence
- 6) External Aid
- 7) Public Information
- 8) Cultural Affairs
- 9) Consulate Work
- 10) Commercial Affairs
- 11) Immigration
- 12) Representation

- (b) Obtain from Staff Relations and Compensation Division a nine-month summary of man-year expenditures.

Arrangements should be made to obtain this type of information by post, region and headquarters unit and by class of employee from computer print-outs that are being developed to keep track of financial expenditures. This is the kind of information that will be required quarterly for the Treasury Board. The nine-month summary for the current year will be useful, in connection with the full year's report for the previous fiscal year, in identifying trends that will be relevant to the drafting of plans for future manpower deployment.

February

- (c) Obtain job information from FSO rating forms.

At the present time the "Description of Duties" section for the FSO rating forms provides the fullest and most up-to-date information about how Foreign Service Officers spend their time. Until posts become accustomed to providing adequate and reliable information in the programme review context (as required in item (a) for January above) it will probably be helpful to make use of

the job description material available from this source.

- (d) Tabulate man-year expenditure reports prepared by posts, divisions and Staff Relations and Compensation Division.

We attach in Appendix II (C) the type of tabulation which we believe will be informative in this connection. These tabulations will enable the Department to see by post, region and headquarters unit where the manpower is actually being used and, in broad terms, what it is doing.

- (e) Pass job information to Classification Section.

Whether or not it will be necessary to classify FSO positions in order to determine pay entitlements for the incumbent or for the FSO group as a whole, the Department should, as we have recommended elsewhere, maintain up-to-date information about the job content of every FSO position, to assist Personnel Operations Division in their posting and assignment work and to provide basic information that will be needed in any planning studies in the recruiting, training or career planning fields. The Classification Section should update its position record cards at least once annually.

March

- (f) Analyze reports and prepare interpretive memoranda for line management.

We envisage that Personnel Planning and Development Division will indicate for the benefit of the Senior Committee, Central Planning Staff, Personnel Operations Division, Training Section, etc., the extent to which the Department fulfilled the personnel deployment plans drawn up nineteen months previously following Treasury Board approval of the Programme Review. The analysis will also draw attention to shifts in manpower deployment and changes in the pattern of FSO utilization under the twelve activity headings.

2. MANPOWER FORECASTING

While manpower accounting looks backward, manpower forecasting looks ahead: it is essentially a budgeting activity. The purpose of looking ahead is not just to meet the requirements of programme planning and budgeting, but to enable the Department to review and if necessary plan changes in its recruitment, training, development and promotion policies.

Notes On The Chart

January

- (a) Request posts and divisions to forecast man-year requirements for the next fiscal year plus one.

These forecasts, which would be prepared by posts and divisions at the same time as the companion reports on past man-year expenditures, would also form part of the programme review activity described in item (3), page 66 of the Woods Gordon Report.

February

- (b) Prepare estimate of manpower available for next fiscal year plus one.

The manpower planner would have at hand a manpower movement projection prepared in the previous September. He would revise this to take account of the number of new FSOs being recruited at this time and would, on the basis of this information, plus an elaboration of the manpower movement projection, produce a schedule of the number of FSOs available for disposition as operational officers month by month throughout the next fiscal year plus one (see Appendix II (D)). This information will be vital to those officers who must draft the programme presentation in March, since it will provide a detailed estimate of the manpower available to the Department in the fiscal year for which plans are being made and will therefore be a limiting factor in the preparation of the estimates for that year.

- (c) Tabulate requested man-years for next fiscal year plus one.

This would be a first consolidation of proposals received from area divisions which would in turn have received these proposals from posts abroad. This tabulation, together with the estimate of manpower available mentioned in Item (b) above, will be two of the principal documents required for hammering out a manpower plan for next fiscal year plus one (Woods Gordon Report, page 68, Item (8)).

March

- (d) Prepare man-year deployment plan for next fiscal year plus one.

Personnel Planning and Development Division would play a staff role in assisting the Senior Committee in its drawing up of a man-year deployment plan for the programme review.

August

- (e) Revise man-year deployment plan in light of approved programme review. (Woods Gordon Report, page 68, Item (11)).

Personnel Planning and Development Division and

Personnel Operations Division assist the Assistant Under-Secretary (Administration) in translating the man-year allocation decided upon by Treasury Board into a manpower target for the Department and a man-year deployment plan.

- (f) Estimate recruiting needs for five-year period.

On the basis of the approved programme review a revised estimate of recruiting needs will be extracted from the over-all manpower plan. (See Appendix II E).

- (g) Remodel FSO personnel system

Pending review by the Bureau of Classification Revision of the classification system for FSOs in this Department, the number of FSOs the Department is entitled to have in any given grade is determined by the number of positions classified for each grade. The resulting system (the three-pipe radiator of Chapter III Section (a), or, as some would have it, the pyramid or Christmas tree constitutes the framework within which the Department must operate its career service. To the extent that under the present system alternative staffing patterns can be designed to handle a given workload, Personnel Planning and Development Division should carry out job engineering in such a way as to ensure that the best possible career structure can be maintained to satisfy development requirements and to cater to promotion expectations. This function of maintaining an appropriate career structure may become even more important if the Bureau of Classification Revision directs the Department to adopt a different classification system for FSOs.

- (h) Request classification action on new positions.

Personnel Planning and Development Division will provide the Classification Section with job engineering advice with respect to new positions provided for in the approved programme review.

September

- (i) Analyse activity content of new positions.

Manpower accounts prepared earlier in the year (Manpower Accounting, March) will identify trends in the change of the Department's activity mix. The activity mix of new positions authorized by the Treasury Board may alter the over-all picture: such changes should be identified for use in

recruiting, training and career planning contexts.

- (j) Rework manpower movement projections: report on trouble areas to Director General, Personnel.

Regular projections of manpower movement through the FSO system should be prepared in as much detail as seems desirable. These projections should be revised each year soon after the manpower target for the following fiscal year has been established. Shortage and oversupply areas in the FSO manpower system should be identified so that remedial action can be planned where necessary. (See Appendix II F).

3. RECRUITING

The main contributions which manpower planning can make to recruiting are first, in ensuring that recruiting policies and procedures are in keeping with the Department's changing needs, and secondly, that the targets for recruiting various types of employee are properly set.

Notes On The Chart

February

- (a) Analyse selection data from FSO competition for comparison with previous years.

When selection activity for new Foreign Service Officers has been completed, the full package of selection data should be passed to Personnel Planning and Development Division for analysis, in order to determine the changing profile of classes of recruits and the effectiveness of selection techniques. Personnel Planning and Development Division will in effect audit the annual recruitment operation as carried out by the Employment Section of Personnel Operations Division.

- (b) Review recruiting policy and FSO selection procedures.

An annual stock taking by Personnel Planning and Development Division and Personnel Operations Division to be carried out in the light of the planning "climate" identified by the Senior Committee to ensure that current policies and procedures are appropriate for achieving the identified long-term aims.

August

- (c) Prepare recruiting target for next fiscal year.

The target would be set in relation to the estimate of recruiting needs based on the five-year forecast as approved by the Treasury Board and would take into account any short-term modifications of the estimate of recruiting requirements developed as part of the regular manpower forecasting.

September

- (d) Check recruiting standards against activity mix information.

Employing the analysis of the activity mix of both existing and new positions (Manpower Accounting, Item (f) and Manpower Forecasting, Item (i), Personnel Planning and Development Division will wish to consider the extent to which future manpower requirements may be affected by these changes and decide whether any modification of recruiting standards or publicity material is necessary.

- (e) Check manpower inventory against activity mix information on existing and new positions.

The purpose of this comparison is to identify requirements for special skills or experience that cannot be met from existing resources through training and development, but which might be met through lateral recruitment or borrowing of personnel from other government departments.

October

- (f) Consult Under-Secretary of State for External Affairs about prospective Order-in-Council appointments.

The recruitment target proposed in August will be an inclusive figure covering junior officer recruitment, lateral recruitment and Order-in-Council recruitment. In order to reach a firm decision on the extent of the two former types of recruiting, Personnel Branch will need to know how many positions to hold in reserve in case some Order-in-Council appointments are to be made.

- (g) Recommend lateral recruitment objectives to Personnel Operations Division (Employment Section) for next fiscal year.

In the light of the over-all recruiting target identified in August (Item (c) above) and in the light of the Under-Secretary's estimate of the number of positions which should be held for possible Order-in-Council appointments, Personnel Branch should be able to identify the extent and type of lateral recruitment that should be carried out in the next fiscal year to meet requirements identified in item (e) above.

- (h) Prepare briefing material for FSO Selection Boards.

This material should reflect the most recent revision of recruiting targets, an estimate of promotion possibilities and particularly changes in the selection standards if any are required to reflect changes in the departmental work requirements. Selection officers should plan their work in the knowledge of this information.

4. TRAINING

Manpower planning should be able to provide the Training Section with valuable assistance in the identification of training needs. For this purpose information of two kinds is required -- information about the work to be done, both in existing jobs and in new positions, and information about the people available to do the work -- their experience and known capacities as recorded in the Department's manpower inventory, and their shortcomings and needs as reflected in the rating reports.

Notes On The Charts

February

- (a) Estimate man-years required to meet training needs in next fiscal year plus one.

This estimate is required to enable Training Section to stake a claim to an adequate allocation of man-years in the man-year deployment plan to be drawn up for purposes of the programme review submission.

March

- (b) Check Training Section's plans for next fiscal year.

Personnel Planning and Development Division should ensure that Training Section will make maximum use of man-years allocated for FSO training at all levels.

- (c) Check available manpower skills and experience against work requirement information.

Using the interpretive memoranda prepared under Manpower Accounting item (f), and manpower inventory information, Personnel Planning and Development Division should ascertain what training and development programmes are necessary to ensure that available manpower obtain the qualifications to do the jobs identified in the new annual listing.

April

- (d) Review training recommendations from FSO rating reports.

Training recommendations from FSO rating reports, after confirmation or modification by the Rating Review Committee, should be reviewed and compared with information obtained under (c) above.

September

- (e) Check activity mix of new positions for training needs.

Personnel Planning Division should check the work content of new positions to ascertain whether training needs identified in (c) and (d) above require modification.

5. POSTINGS AND ASSIGNMENTS

Traditionally most of the posting and assignment work has been geared to a home leave schedule for officers at posts abroad: the practice of straightforward replacement has been modified by changing availabilities and priorities which have been relayed to Personnel Operations Division in a relatively unco-ordinated fashion. Manpower planning should enable the broad intentions of senior management to be translated in a fairly consistent fashion into posting and assignment plans, with operating divisions taking much more responsibility in making the hard choices on the allocation of manpower resources.

Notes On The Chart

February

- (a) Prepare forecast of posting, home leave and assignment moves schedule for next fiscal year plus one.

This forecast, which can reflect changing priorities only in a very general way, will be required mainly for estimate purposes.

October

- (b) Revise estimate of available manpower for next fiscal year; allocate available man-years to divisions and posts.

To facilitate preparation of a posting plan, estimate of operational manpower available month by month (Manpower Forecasting, item (b)) should be revised to reflect actual recruitment. After deductions have been made for secondments, language and mid-career training and emergency reserve, remaining man-years should be allocated to groups of post by area and the related division.

November

- (c) Inform area divisions of man-year allocations for next fiscal year and invite their proposals on allocations to posts.

Area divisions should recommend how manpower should be allocated to posts in their area, subject to over-riding limitations such as minimum personnel required to man a post, avoidance of dislocating cross-postings, etc. On the basis of proposals from divisions, Personnel Operations Division should draw up posting and assignment plans.

6. APPRAISALS

Manpower planning officers are in the best position to ensure that the FSO appraisal system reflects the real and current work requirements of the Department, and that the system contributes as much as possible to officer development. The Department should also ensure that valuable appraisal information is fed back into the personnel administration system where it is needed.

Notes On The Chart

January

- (a) Prepare Rating Review brief.

This document should inform rating review committees of any adjustment in manpower requirements which might indicate some modification of appraisal standards, or should otherwise confirm standards previously applied. The document should be a comprehensive brief to be given particularly to new members of the rating review committees.

April

- (b) Extract from FSO rating forms recommendations concerning training, assignments and postings for FSOs.

Recommendations from supervisors, as confirmed by the rating review committee, should be passed to the Training Section and the Posting Section for information and filed where readily available to the posting officer.

- (c) Extract from FSO rating forms information for manpower inventory.

Information concerning an officer's special abilities or strengths should be recorded where it can be actively used by posting officers. The rating review forms is the only source for much information of this kind and it should be recorded in places where it is readily accessible. The inventory system should have a place for listing the good negotiators, the good drafters and the good public speakers as well as those qualified

in Swahili or with extensive experience in information work.

September

- (d) Review FSO rating forms and instructions to supervising officers.

The design of the rating forms, the directions as to their use and the whole appraisal system should come under regular review by Personnel Planning and Development Division.

7. PROMOTIONS

Promotions are one of the key indicators of the value system that obtains in an organization, and care should be taken to ensure that the right values are consistently honoured. Manpower planners are in a good position to check the operation of an organization's value system over the long haul. They should also examine the standards that should apply, particularly for the crucial promotions from junior officer to working level officer, and from working level officer to senior officer.

Notes On The Chart

March

- (a) Prepare promotions brief for FSO promotions committees.

This brief should indicate the promotion possibilities for the next fiscal year and should provide a forecast of probable promotion movements over the next several years, as well as a record of varying promotion rates for about the last five years. The brief should provide also an up-to-date definition of promotion policy, and should spell out such objective standards as can be applied and any changes in them. (See Appendix II G).

November

- (b) Analyse promotion decisions.

A study should be made annually of the promotion decisions made by the FSO promotion committees, to compare with the outline of promotion policies contained in the brief prepared in March.

8. CAREER PLANNING AND COUNSELLING

One of the more difficult aspects of manpower planning is the meshing together of the objectives of the organization with the aspirations and capacities of the individuals which make up its work force. A great deal of sophisticated communication between management

and the employees is required if the interests of both parties are to be adequately served. The Department of External Affairs -- like many organizations -- does not have a particularly impressive performance record in this connection. Accordingly we attach particular importance to the need for fundamental change in the Department's handling of career planning interviews.

The activities listed in this section are mostly of a kind which should be recurrent, but there is no particular time of year when they need to be carried out. Accordingly we have given no time designation to the activities listed.

Notes On The Chart

- (a) Review career planning procedures.

Once a year full range of career planning procedures should be reviewed with officers of Personnel Operations Division.

- (b) Review format of posting preference forms.

These forms should be regularly reviewed to ensure that they cover all feasible types of assignment.

- (c) Analyse preferences.

Personnel Planning and Development Division should analyse preferences by FSO grades with a view to determining the supply and demand relationship. Posting officers can be guided by the results of this analysis by encouraging the officers with the least promising qualifications to steer away from fields where the supply of officers greatly exceeds the available positions, and contrariwise to attempt to interest officers in areas of work where there are more positions than willing candidates. Staff Relations and Compensation Division will also benefit from information concerning the relative popularity and unpopularity of various posts.

- (d) Estimate departmental requirements for FSOs with special qualifications or area interests.

Changes in departmental work requirements should be examined to determine any changes in the number of officers required with special qualifications or interests in particular types of work. Lists of jobs requiring special qualifications on the part of the incumbent should be prepared and passed to Personnel Operations Division on a regular basis.

- (e) Review of manpower inventory methods.

Personnel Planning and Development Division should review the methods of maintaining lists of officers with special skills or experience, to ensure that the necessary information can be available to posting

officers readily and conveniently.

- (f) Plan and audit career planning interview programmes.

Career planning interviews should be held regularly and independently of posting or assignment interviews. Personnel Planning and Development Division should assist posting officers to schedule and carry out these interviews, provide them with necessary information about career prospects and arrange any interview training which may be necessary.

- (g) Prepare runner-up charts for key positions.

The Under-Secretary and the Assistant Under-Secretary (Administration) would benefit from availability of lists of qualified officers (perhaps in descending order of availability) who might succeed present incumbents in senior positions. In due course it should be possible for Personnel Planning and Development Division to recommend to the Assistant Under-Secretary (Administration) and to Personnel Operations Division certain training and working assignments which may be necessary to prepare specific officers for certain key positions.

9. SEPARATIONS

While separation information is required mainly for forecasting purposes, it can provide a useful commentary on the Department's performance in a number of fields, and should therefore be analysed regularly. In addition separations can, to a limited degree, be used as a tool of manpower management. Policy in this connection is based upon forecast information.

Notes On The Chart

April

- (a) Prepare separations report.

This document should cover all FSO separations during the previous fiscal year, itemizing reasons where possible, proposing remedial action where this is indicated, and giving a full run down of separation rates.

- (b) Revise five year forecast of separations.

This information will be of particular use in the preparation of manpower movement projections (Manpower Forecasting, item (j)).

September

- (c) Revise plans for relieving manpower pressures by means of planned separations.

Plans for early retirement, secondment or selection out should be reviewed annually in the light of the annual revision of manpower movement projections.

10. ORGANIZATION

Since most organizational units in the Department of External Affairs and its posts abroad tend to be small, those planning expansion do not always consider the implications of expansion for organizational design. Manpower planning personnel should scrutinize all plans for expansion or decrease and decide whether organizational change is also required.

Notes On The Chart

March

- (a) Review deployment plans for next fiscal year plus one.

The purpose of this review would be to assess the needs for organizational changes, and to request such changes as are necessary.

(The following activities may be scheduled at any time).

- (b) Develop and maintain a register of divisional terms of reference; review periodically with Heads of Division..

The purpose here is to obviate or locate duplication of activity between Headquarters units and to recommend remedial action when duplication occurs.

- (c) Define and review responsibilities for different authority levels.

To maintain consistency within the Department, responsibilities for different authority levels should be codified, particularly for Branch Directors, Heads and Deputy Heads of Division, and Section Heads. In this connection Personnel Planning and Development Division could prepare briefing material for officers newly appointed to these positions. The Division could also investigate and draw attention to cases of vertical overlapping, where senior officers unnecessarily duplicate the work of subordinate officers.

11. UTILIZATION

The departmental tradition that foreign service officers can do anything has permitted the development of poor personnel

utilization in several situations. Continual watchfulness will be required to eliminate these uneconomical practices and prevent their re-emergence. The manpower planning personnel in Personnel Planning and Development Division are probably the logical people to retain responsibility for this task. No particular annual time-table is called for.

Notes On The Chart

- (a) Debrief personnel returning from posts abroad to check utilization practices.

Each employee could give a good commentary on his own utilization, and might be able to give leads where further enquiry appears necessary.

- (b) Follow up liaison tour reports which indicate poor utilization.

In some cases on the spot enquiry by manpower planning officers may be the quickest way to eliminate poor utilization.

- (c) Initiate utilization studies.

If responsibility for examining utilization generally is located with Personnel Planning and Development Division, the Division should develop a capability to carry out proper studies in this field from time to time.

FSO MAN YEAR EXPENDITURE REPORT

POST PERIOD

NOTE: Code any item of less than 5% as "R" (= Remainder). Items 2,3 and 4; 7 and 8; 9 and 10 may be combined if necessary. For purposes of this analysis "Representation" means office hour time spent on representational activity (official ceremonies, accompanying visiting Canadian VIPs, etc.)

ACTIVITY	HEAD OF POST	HEAD OF CHANCERY	NO. 3	NO. 4	TOTAL MAN-YEARS
1. Direction & Administration					
2. Political					
3. Economic					
4. Politico/Military					
5. Security & Intelligence					
6. External Aid					
7. Public Information					
8. Cultural Affairs					
9. Consular					
10. Immigration					
11. Commercial					
12. Representation					

Total FSO Man-years spent at the post:

(Count annual leave, sick leave, conferences in the region; exclude home leave, conferences outside the region). Count a full month for the month in which the officer arrives; do not count the month in which the officer leaves).

Name	Grade	Months in Reporting Period at the Post	Man Years
.....			
.....			
.....			

FSO MAN YEAR EXPENDITURE REPORT

Area Far Eastern Period March-December 1968

A.

ACTIVITY	DJAKARTA	BANGKOK	HONG KONG	MANILA	PHNOM PENH	SAIGON	TOKYO	VIENTIANE	AREA TOTALS
1. Direction & Admin.									
2. Political - Pol/Economic Pol/Military									
3. Security & Intelligence									
4. External Aid									
5. Public Info- Cultural Aff.									
6. Consular - Immigration									
7. Commercial									
8. Representation									
B. FSO Man Years Spent in Area Reported by Post									
Senior Officers (FSO 7-10)									
Intermediate Officers (FSO 4-6)									
Junior Officers (FSO 2-3)									

Total FSO Man-Years
spent at Posts

FSO MAN YEAR EXPENDITURE REPORT

C.

FSO Man Years Spent in Far East Div.	
Senior Officers (FSO 7-10)	
Intermediate Officers (FSO 4-6)	
Junior Officers (FSO 2-3)	
Divisional Total	

Grand Total, Far Eastern Area
Post & Headquarters

Total Probationary
FSO Man-Years
available to Division:

.....

(Do not include in grand total)

(NOTE: Data in Section A would be reported by posts: data in Sections B and C could come from posts and divisions, but might better come from Staff Relations and Compensation Division's computer print-out).

ESTIMATE OF FSO MANPOWER AVAILABLE

1970/71

Month	NOiT ¹ 69/70	LEiT ² 69/70	NOiT ³ 70/71	OiC ⁴ LEiT 70/71	FSOs ⁵ Transf'd to Ops	SEPARATIONS ⁶	OPERATIONAL MANPOWER AVAILABLE
April	40	5	0	0	0	1	479
May	40	4	0	2	1	2	478
June	28	3	15	2	13	1	490
July	12	3	30	3	16	2	504
August	12	2	30	3	1	1	504
Sept.	-	2	45	3	12	2	514
Oct.	-	-	45	3	2	2	514
Nov.	-	-	45	3	2	2	514
Dec.	-	-	45	3	0	1	513
Jan.	-	-	45	1	3	2	514
Feb.	-	-	45	2	0	2	512
March	-	-	45	1	1	2	511

NOTES

1. New Officers in Training who joined during FY 1969/70: it is assumed that they are all taken off probation and regarded as operational officers on the anniversary date of their joining.
2. Lateral Entries in Training who joined during 1969/70.
3. New Officers in Training who joined in 1970/71: it is assumed that they will join in three batches of 15 officers each, in June, July and September.
4. Order-in-Council and Lateral Entry Officers who joined in 1970/71: it is assumed that there will be three lateral entries and four Order-in-Council appointments, and that the lateral entrants become available for operational work in six months and the Order-in-Council appointees in two months.
5. The aggregate number of officers (new officers, lateral entrants and Order-in-Council appointees) who transfer from training or briefing to operational work.
6. The twenty anticipated separations are estimated as taking place more or less evenly through the year: it is possible that the timing of separations can be more accurately forecast.

ESTIMATE OF RECRUITING NEEDS

The approved programme review will indicate the Department's rate of expansion over the next five years, and from this information the size of the FSO group five years hence may be estimated. If, for instance, the programme review were to indicate an expansion rate of 20% over the next five years, one may apply this percentage to the existing FSO establishment of 515 and come up with a five-year expansion of the FSO group of 103 officers, giving a target figure of 618 officers for March 31, 1974.

From this five-year target figure interim targets can be established for the intervening years, reflecting either an even growth or some modification of an even growth to take account of other circumstances. One might choose, for instance, interim targets as follows:

1969/70	1970/71	1971/72	1972/73	1973/74
520	545	570	594	618

Starting with an estimate of strength for April 1, 1969 of 490 officers and applying separation rates based on past experience, one can develop a recruiting target table as follows :

	1969/70	1970/71	1971/72	1972/73	1973/74
Target Strength	520	545	570	594	618
Strength, Year Opening	490	520	545	570	594
Separations-18		-20	-21	-21	-22
Net	472	500	524	549	572
<u>Recruiting Target</u>	<u>48</u>	<u>45</u>	<u>46</u>	<u>45</u>	<u>46</u>
Strength, Year End	520	545	570	594	618

MANPOWER MOVEMENT PROJECTION

In this table the FSO target strengths shown for each year are the same as those used in Appendix II (E), and reflect an anticipated expansion rate of 20% over the next five years. Arbitrary assumptions have been made about the number of classified jobs that will be available at each level: so long as the FSO personnel system is tied (as it now is) to the number of classified jobs that exist at each level, this will be the vital limiting factor to the number of promotions that can be made. This table shows the promotion movements only between the three major levels: a more detailed kind of table showing movement from grade to grade could be constructed, though in view of the lack of clear differentiation between grades in our present system, it would be very difficult to make sensible estimates of numbers of positions in so precise a manner.

Attention is called to the forecast of the number of officers promoted out of the FSO 1-3 group into the FSO 4 - 6 group in 1971/72 and 1972/73. This movement will only be possible if the number of jobs classified at the FSO 4 - 6 level can be increased in number to accommodate these large groups. This table, combined with that shown in Appendix II G, can enable manpower planners to locate the situations of possible oversupply or shortage well in advance.

Appendix 11 F

	1969/70	1970/71	1971/72	1972/73	1973/74
Target Strength	520	545	570	594	618
Jobs classified, FSO 7-10	105	109	113	117	121
Strength, Year Opening	101	103	107	111	115
Retirements	-4	-3	-4	-3	-4
Other Separations	-3	-4	-4	-4	-4
O-in-C Recruitment	2	1	2	1	2
Promoted In	7	10	10	10	11
Strength, Year End	103	107	111	115	120
Jobs classified, FSO 4-6	254	274	294	310	320
Strength, Year Opening	196	213	220	257	308
Separations	-3	-4	-4	-4	-5
Promoted Out	-7	-10	-10	-10	-11
Lateral Entry	6	2	1	2	1
Promoted In	21	19	50	63	23
Strength, Year End	213	220	257	308	316
Jobs classified, FSO 1-3	161	162	163	167	177
Strength, Year Opening	193	204	218	202	171
Separations	-8	-9	-9	-10	-9
Promoted Out	-21	-19	-50	-63	-23
Recruited	40	42	43	42	43
Strength, Year End	204	218	202	171	182

PROMOTION MOVEMENTS, 1968/69-1973/74NOTES ON THE TABLES WHICH FOLLOW

The purpose of promotion movement projections is simply to determine what the average rate of advancement for FSOs might be, given certain assumptions about the size of the FSO group which the Department decides to have and the number of officers permitted in each grade or in each major grouping. The attached projection table traces movements between major groupings (Group A, FSO 7-10, Group B, FSO 4-6 and Group C FSO 1-3) and also within Group C.

This table has not been constructed with the notion that any individual officer should be promoted at a predetermined rate: good officers will go faster than the average, poorer ones slower. Determination of the average rate of promotion, given certain assumptions, will enable the Department to take its promotion decisions in the light of future circumstances that can be forecast with reasonable accuracy. The tables can be checked and modified each year in the light of actual promotions made.

These projections are made on the assumption that the target strength for 1973/74 is 594 FSOs. It is also assumed that there will be sufficient jobs classified at the FSO 7-10 level and at the FSO 4-6 level to permit the promotions indicated.

In Section A, the senior group, the figures shown under the 1963/64 heading represent the number of FSOs on strength in each year of the five year period who were promoted into the senior group in 1963/64 or earlier. Year by year the numbers reduce as retirements and other separations take place, until in 1973/74 there are 11 officers left of 1963/64 vintage or earlier. For the sake of convenience, it is assumed that in this five year period all the separations -- retirements and all other kinds -- take place from the most senior sector of the senior group. Those FSOs now in the senior group who were promoted there in 1964/65 are the 11 officers shown in the column with the 64/65 heading, and so on. The additions at the right hand end of each line (five in 1968/69, 13 in 1969/70 etc.) include not only those promoted up from Group B each year, but also an allowance for possible Order-in-Council appointees: two in 1969/70, one in 70/71, two in 71/72, two in 72/73 and one in 1973/74.

From the chart it is possible to tell how long the average officers may have to wait for promotion. The eleven officers promoted from Group B to Group A in 1969/70, for instance (who, with two Order-in-Council appointees, make up the 13 officers shown at the right hand end of the 1969/70 line in Group A) were made up of 8 FSOs who had been in grade 6 since 1965/70 and three since 1966/67 (with approximately 20 years service in the Department). The thirteen officers promoted in 1973/74 (who, with one Order-in-Council appointee, make up the 14 officers shown at the end of the 1973/74 line in Group A) would be moving up after five years in the grade (and 17 years in the Department on the average).

In the group B the present FSOs 6 are shown by their promotion year; current FSOs 4 and 5 are grouped together in the bracketed figure, and officers promoted into Group B from Group C in the five year projection period are shown by their year of promotion at the right hand end of each line. The destinations of the FSOs 6 each year are indicated at the left hand end of the line: "1 out, 11 up" means one FSO 6 is deemed to separate and 11 to be promoted to group A. Separations from the present FSO 4 and 5 group are reflected in the declining figure in the bracket.

In Group C movements are shown grade by grade as well as from this Group to Group B. Allowances are made for separations: thus the 54 FSOs 2 who had been one year in the grade in 1968/69 are deemed to lose three officers in the course of the year, and when that group is promoted to FSO 3 in 1969/70 only 51 officers are shown. In order to demonstrate the anticipated average movement of the 25 FSOs recruited in 1968/69 we have underlined the figures which represent this group. The 20 who are thought likely to remain by 1973/74 are deemed to be promoted to Group B in that year along with 3 officers who were recruited in 1967/68.

PROMOTION MOVEMENTS, 1968/69 - 1973/74

A. FSO 7-10

	Number of Officers Promoted in:										Total in Group	
	63/64	64/65	65/66	66/67	67/68	68/69	69/70	70/71	71/72	72/73		73/74
1968/69	49	11	12	12	9	5						98
69/70	41	11	12	12	9	5	13					103
70/71	32	11	12	12	9	5	13	13				107
71/72	25	11	12	12	9	5	13	13	11			111
72/73	17	11	12	12	9	5	13	13	11	16		119
73/74	11	11	12	12	9	5	13	13	11	16	14	127

B. FSO 4-6

1968/69			8	25	13	9(+133)						188
69/70	(1 out, 11 up)			21	13	9(+131)	21					195
70/71	(1 out, 12 up)			8	13	9(+129)	21	19				199
71/72	(1 out, 9 up)				11	9(+127)	21	19	50			237
72/73	(2 out, 14 up)					4(+125)	21	19	50	63		282
73/74	(2 out, 13 up)					112	21	19	50	63	<u>23</u>	288

C. FSO 1-3

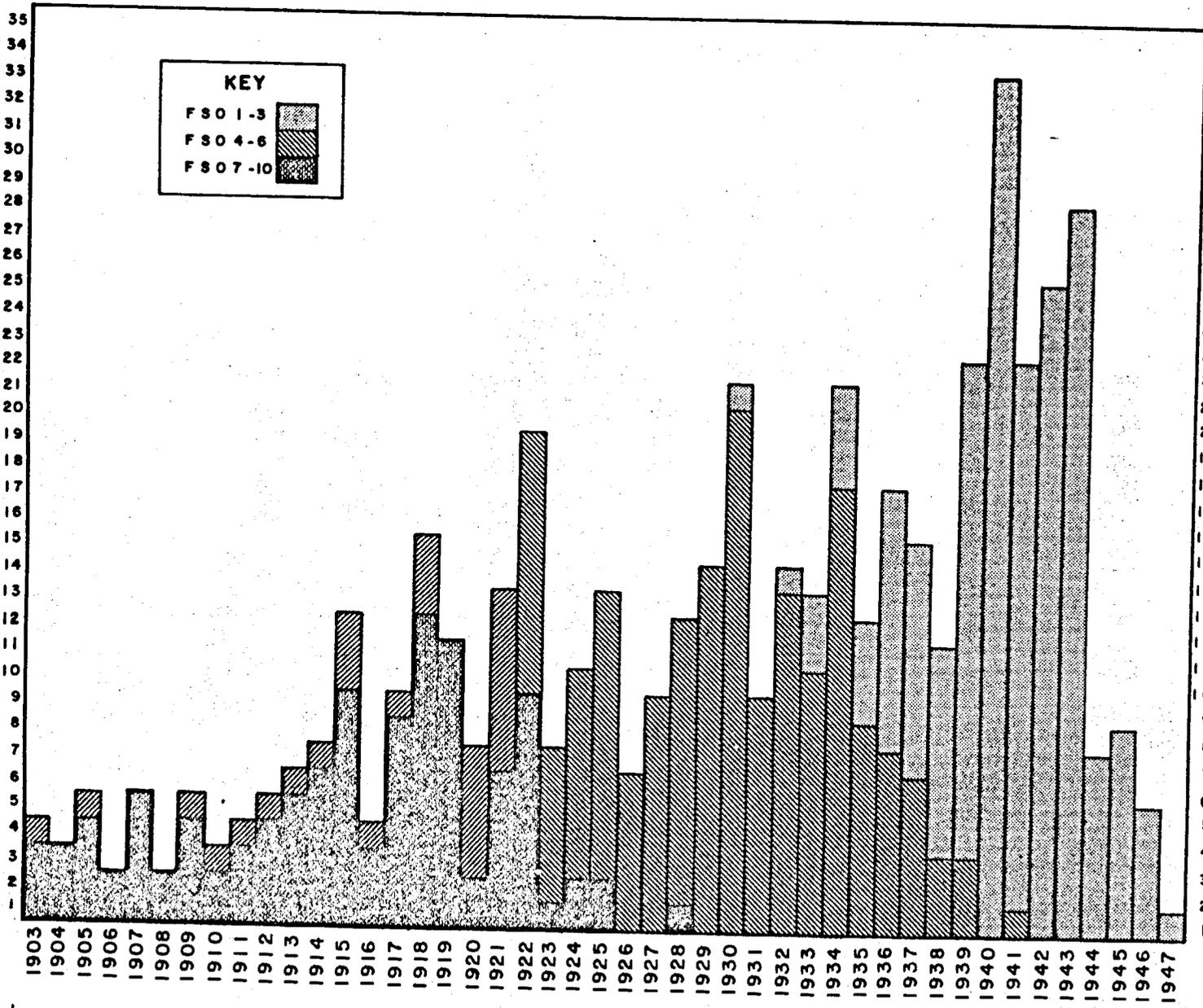
1968/69	FSO 3			16	27	27						
	2				54	48						
	1					<u>25</u>						197
69/70	FSO 3 (1 out, 21 up)				21	27	51					
	2					48	<u>23</u>					
	1						<u>44</u>					214
70/71	FSO 3 (2 out, 19 up)					27	51	45				
	2						<u>23</u>	43				
	1							35				224
71/72	FSO 3 (2 out, 50 up)						26	45	<u>20</u>			
	2							43	<u>33</u>			
	1								33			200
72/73	FSO 3 (3 out, 63 up)									41		
	2							5	<u>20</u>			
	1								<u>33</u>	31		
										39		169
73/74	FSO 3 (2 out, 23 up)									41	31	
	2									31	37	
	1									39		179

A P P E N D I X I I I

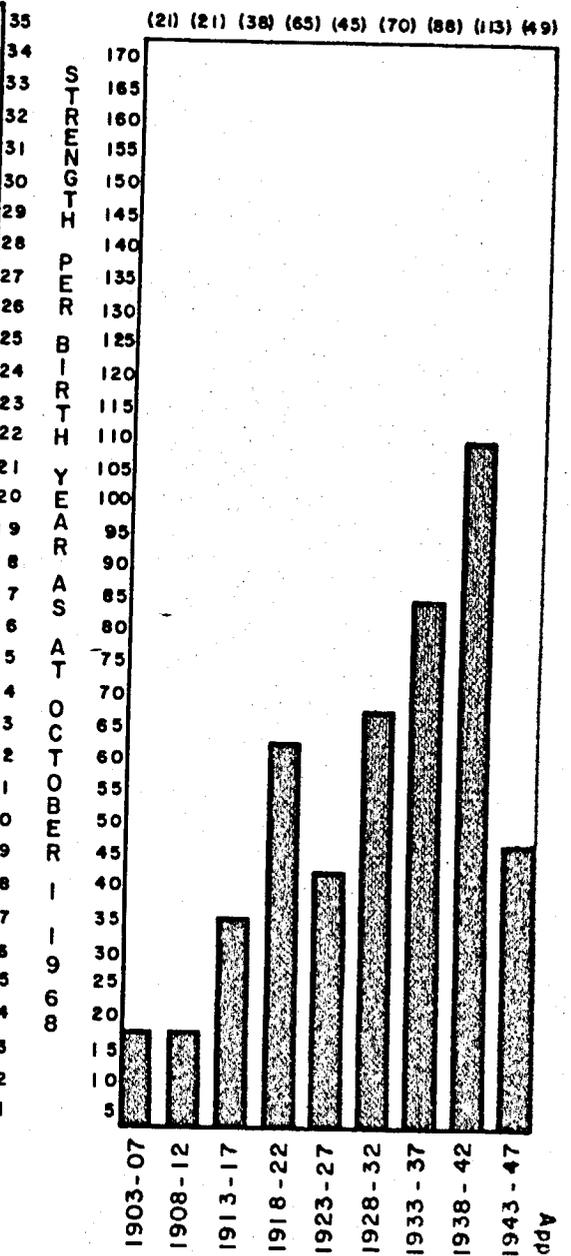
F S O A G E P R O F I L E

F50 AGE PROFILE

(a) For each year



(b) Per 5-year age spans



REASONS FOR RESIGNING: THREE JUNIOR OFFICERS

1. Excerpt from letter, 1963:

"I am writing in reply to your request that I inform you of the reasons which prompted us to resign from the Department of External Affairs

Initiative, my Departmental superiors related to me by precept and example, was a dangerous characteristic. Senior officers are not impressed with fresh approaches or extraordinary solutions; they prefer humility and absolute adherence in written reports to 'Departmental English'. The goal seemed often to be of little importance, but the means of attaining it had to be procedurally correct and flawlessly stylish

.....How many senior officers are sufficiently confident of themselves to acknowledge, for the record, a good job on the part of a junior? Not many. Without even this incentive, and without much example, the idealism soon wears thin

I was not prepared to accept the general disinterest directed towards junior officers, and the utter disregard paid all too often to their questions and comments. In these respects the 'University of the East Block' was largely ludicrous"

2. Excerpt from letter, 1968:

"I have now decided to leave External after three and one half years essentially because I feel I am stagnating. With few exceptions my supervising officers have refused to give me challenging work; in most cases these officers were heavily burdened and much of their work, I believe, could very adequately have been done by junior officers. Occasionally I mentioned that I considered the content of my work was clerical in nature and the response was simply to increase the quantity of work I was handling. The result is that my biggest accomplishment in External has been the increase in my capacity to handle a large volume of routine work; my biggest disappointment has been a real decrease in my capacity to concentrate on one problem, to think it out clearly, and to put my thoughts in writing.

I realize there is a great deal of administrative work of a dull and routine nature which is important and which has to be done to keep the Department running. I think I never shirked my share. But, given the attitude of most of the senior officers I met and the rapid rate of growth of consular, aid and administrative work I am pessimistic about the chances of my doing more substantial work for some years. Many senior officers hold as the key to their administrative philosophy that junior officers must have a thorough immersion in the bottom level operations of the Department. This may be sound but

surely it should be coupled with the systematic introduction of the junior officer to work at higher levels. I can honestly say that ninety-five per cent of my work in three and one half years could and should have been done by clerical personnel.

This all sounds like sad stuff, but in fact my time in External has not been unenjoyable. I have made many friends, have travelled and have enjoyed the representational side of the work; I simply have not been satisfied with the content of my office work."

3. Excerpt from memorandum by a senior officer, 1967:

"I was sorry to learn that Mr. X's disenchantment with this Department had reached the stage where he has submitted an application to transfer Unfortunately for us Mr. X's departure will be a serious loss. On his rating form I would have given him very high marks

If he is the type of officer we want -- and I think he is -- then why haven't we been able to arouse his enthusiasm for our work? In his comments to me, he said he thought Y was much better organized in inducting and training its new officers. He said he had the impression that once they joined this Department, new officers were cut adrift. They had little sense of belonging and no one from Personnel Division seemed to take an interest in them. Since he joined, no one had got in touch with him to see how he was getting along or to ascertain if he had problems. He said his friends on language courses felt even more neglected....."

A P P E N D I X V

A STUDY

of the

CHARACTERISTICS OF SUCCESSFUL

FOREIGN SERVICE OFFICERS

-
David Jackson and Associates Limited

Chapter I - OBJECTIVES

Chapter II - SUMMARY AND RECOMMENDATIONS

Note: Included here are two chapters only of the report. The entire report is bound separately as Volume III of this overall study of MANPOWER PLANNING AND DEVELOPMENT FOR FOREIGN SERVICE OFFICERS.

CHAPTER I

OBJECTIVES

1. The identification of the selection criteria which could be most useful in obtaining candidates with optimal aptitudes for the Foreign Service.

2. To identify features of the present performance evaluation procedures which appear to predict progress in the Service.

3. The identification of characteristics of any Service Training Program which would develop the optimal aptitudes to their highest level within the time constraints of the Department.

4. To determine from the officers' opinions, what aspects of the Foreign Service system are seen to cause dissatisfaction with recruitment, training or assignments.

CHAPTER II

SUMMARY AND RECOMMENDATIONS

OVERVIEW

This portion of the study was predicated in a large part on the assumption that a shortage of well qualified Foreign Service Officers at the mid-range of the organization could be due to poor selection procedures; more specifically that better psychological testing of candidates might improve selection. Other aspects of the problem were examined by other members of the research team.

The findings suggest:

1. The roots of the problem do not lie in the selection process but in what happens to officers after they are selected - their training, supervision, and career planning should be improved.
2. Criteria of success in the Service are too global to be satisfactory for empirical investigation and probably this lack of specificity reduces the ability of officers or their supervisors to accurately assess weaknesses or strengths in performance. There is an immediate need for a detailed function analysis which will map the roles within the Department along with behavioral specifications of what constitutes satisfactory functioning in each role.

3. The Department personnel lack skills in public administration and supervision.

4. The selection procedure could be immediately improved, not by incorporating a large psychometric battery, but by making the group interviews with candidates more productive. Procedures for structuring the interviews and recording the interviewers' evaluation of the candidate should be designed, tested, validated and put into general practice.

SUMMARY

FEW
PREDICTORS
RELATED TO
CRITERIA

From our testing of 243 predictor variables only five were related to success criteria.

There may be several reasons why the number of significant predictor variables was low. Perhaps our selection of predictor variables was too limited.

This seems unlikely in view of the number and variety of variables studied. Secondly, we may have been using the wrong criterion variables. This also does not seem likely because the seven criterion variables which we used were correlated with each other. Also, as our case studies show, the criterion variables were valid measures of the actual behaviors suggested by the Foreign Service Officer Rating Report to be important.

We believe that the criterion variables were too global to reflect the diverse functions of Foreign Service Officers. In fact, success in the Service appears to result from many different patterns of behavior.

THREE
CRITERION
FACTORS

From a list of eight characteristics derived from the Foreign Service Officer Rating Report form, plus the individual's achievement on two external criteria, statistical analysis suggests one major factor contributing to successful performance in the Foreign Service and two minor but independent factors. The most important factor in success appears to be Good Judgment and Dependability which are found in close association among the officers studied.

The second factor is Ability to Deal Effectively with Others. Finally, the least distinct factor of success is Originality. In fact, Originality appears not to be consistently rewarded in the present system. All three dimensions were conceived statistically to be independent of each other. Thus, being high on one did not necessarily imply being either high, low or in the middle on another.

INTELLIGENCE
IMPORTANT

While Intelligence correlated with only one criterion variable we did find that the Foreign Service Officers possess I.Q.s significantly above other comparable groups. Actually we suggest Intelligence is a threshold predictor variable. That is, to be successful in the Foreign Service one must possess superior intelligence. Once a man is in the Service, however, his intelligence ceases to be a factor related to his success.

POOR
MANAGEMENT
SKILLS

We found that generally the Foreign Service Officers in the sample were weak in managerial skills. The Leadership Opinion Questionnaire showed that the officers were considerate of subordinates but were lacking the ability to orient and structure their tasks.

The Ghiselli Self-Description Inventory* also suggests the officers studied were below middle-management norms on Initiative and Perceived Occupational Level which Ghiselli considers important to the ability to manage. From comments by officers during their interview, it was evident that the system offered little opportunity for the development of managerial skills.

THREE
PRIMARY
INTEREST
AREAS

Judging from the occupational categories which are most congruent with the F.S.O. group studied, there are three general areas of interest:

- A) People
- B) Public Administration
- c) Writing

At the other extreme, there was a rather strong antipathy to mercantilism. The distinction should be made between an interest in public administration

* Permission to use the Ghiselli Self-Description Inventory was obtained from the Selection Procedures and Testing Services Division of the Public Service Commission.

and an interest in business administration. Some officers relegate any interest in administration to the single category of mercantile administration. In terms of interests, the officers seemed interested in one type of administration and not the other.

GENERALLY
WELL
ADJUSTED

While the level of personality adjustment was not related to degree of success in the Department, the norms for the group of officers studied suggest their level of adjustment is better generally than average.

EVIDENCE
OF POOR
SUPERVISORY
PRACTICES

There is evidence that men were not given supervision in terms of clear goal setting and direct communication about the supervisors' evaluations of the F.S.O.'s performance. More capable officers appear to be more critical of the calibre of supervision they are receiving than their less successful confreres. One of the most interesting implications of comments made about training needs was that middle level officers need to be taught how to supervise subordinates effectively.

What seems to be lacking in much of the present supervisory practices, in the eyes of the subordinate is a sense of, "Where am I going?", in terms of career planning and, "How am I doing?", in terms of joint goal setting and review by the officer and his supervisor.

One of our most striking findings was that many of the officers felt that their assignments were not challenging enough. Closer supervision should have made it obvious to senior officers, that junior officers were willing to accept more responsibility. It is ironic that senior officers were feeling overworked while junior officers were bored because little responsibility was delegated to them. The result was, many felt they spent much of their time carrying out tasks which should be assigned to clerical staff.

SELECTION
PROCEDURE
USING GROUP
INTERVIEW
UNSTRUCTURED

The selection procedures were criticized by some officers during the interviews as being vague and unstructured. The methods used in the group appraisal sessions were not consistent and selection criteria were mainly undefined.

RECOMMENDATIONS

1. A detailed work analysis should be conducted by the Department. Such an analysis would be a complete review of the responsibilities involved at various levels. This analysis should include a complete description of all duties. Communication flows both written and verbal should be studied for each role. The activities of the incumbents should be recorded within random time intervals. Perceptions of the role by not only the incumbent but by subordinates and superiors should be recorded. This procedure would help to make evaluation criteria more specific and could lead to the isolation of specific variables which would predict success in the Service at various levels.
2. An intensive training program which would increase managerial and supervisory skills should be developed for personnel at various levels of the Department. Attention should be given to the officer's ability to orient his subordinates and structure his activities with a goal setting and review framework. Better management and supervision could lead to faster development of junior officers and relieve the burden on the shoulders of senior personnel at the same time.
3. The Department should increase its counselling services for junior officers. This would entail expansion of the Personnel Department so that officers could be consulted and briefed before each

assignment. Counselling would make career planning possible which would integrate assignment decisions with training. Psychological testing as an aid to this type of counselling would be much more valuable than used as selection instruments.

4. The group interview with candidates in the selection process should be structured to ensure consistency in evaluating candidates. This would involve structuring the interviews. A set of scales should be constructed to enable members of the board to systematically record comparable information about all candidates.

5. The test battery given to candidates in the selection process should be made up of the Group Intelligence Test* and the Ghiselli Self-Description Inventory. The Group Intelligence Test should be used with a cut-off point one standard deviation below the mean for the 100 officers studied, 108.1, with a standard deviation of 19.18. Officer candidates receiving a lower score should not be considered for group interview.

* The General Intelligence Test (GIT) was constructed by the Selection Procedures and Testing Services Division of the Public Service Commission, and permission was obtained for its use in this study.

6. The Ghiselli Self-Description Inventory should be administered but not as a screening device. Test scores for this instrument should be available to those carrying out the interview to allow them to assess whether interpersonal values of the candidate are consistent with the demands of the Department. High scores of the Self Assurance subscale would suggest lack of Originality as defined by the judges in this study. A low score on the Sociometric Popularity subscore would raise questions about the candidate's ability to Work Effectively with Others. Comparing Ghiselli scores and ratings on associated dimensions by the group interviewer would provide cross-validating information upon which to make their final selection.

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