

S2-1. SURVEY PROCESS -- AN OVERVIEW

a. General

The purpose of this section is to present a brief picture of the overall inspection or survey process. It is written with the new inspector in mind and is intended to reflect the major steps and their relationship in the survey process.

Under the career merit system, the Civil Service Commission has the responsibility for reviewing and appraising many aspects of agency activities in managing their human resources. Following the principle expressed in Executive Order 9830, the Commission has delegated its authority in most personnel areas to the heads of agencies subject to published standards, rules, regulations, and guides. In some areas, for example, the classification of positions, the law holds agency heads directly responsible for placing jobs in classes and grades under standards issued by the Commission.

In addition, the President has directed that in managing human resources, Federal managers must also carry out the Administration's expressed policy in such areas as equal employment opportunity for all citizens and affirmative willingness to deal cooperatively with properly established employee organizations.

Federal managers therefore have a dual responsibility, no part of which can be delegated to others. They are responsible for getting their jobs effectively done with people and at the same time for doing this in a way that carries out public policy as it has been promulgated by appropriate authority.

Decentralization of operations requires a review of personnel management to assure proper use of delegated authorities. The Commission has a multipurpose role in this review function.

As the central personnel agency, the Commission has a leadership function. To exercise this function, the Commission conducts periodic audits and reviews to evaluate how personnel management is contributing to mission accomplishment.

The Commission also has responsibility for assuring that the authorities that have been delegated or assigned to agency heads, either by the Commission or directly by law, are being exercised within the spirit of the requirements that apply and that employee rights embodied in law and regulation are being honored.

In most Federal personnel matters, the Commission serves as the eyes and ears of the Administration with responsibility for reviewing and reporting on how managers are carrying out the President's declared public policy objectives in equal employment opportunity, employee-management cooperation, appeals and grievances, and so on.

Since the inspection function is carried out primarily through the nationwide inspection concept the following discussion concentrates on the steps involved in nationwide inspections. However, most of the steps also appear in inspections other than those conducted under a nationwide plan.

b. Instructions and Guidelines

The steps involved in a survey are presented in three phases in this section: Planning, onsite action, and reporting. The steps are not necessarily in the