

ORDER

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
GREAT LAKES REGION

GL AF 1380.1

6/24/91

SUBJ: AIRWAY FACILITIES HUMAN RESOURCE MANAGEMENT PROGRAM (RIS: GL AF 1380-3)

1. **PURPOSE.** This order establishes the policy, responsibilities, and reporting requirements for the Airway Facilities Human Resource Management Program within the Great Lakes Region.
2. **DISTRIBUTION.** This order is distributed to section level and above in the Airway Facilities Division and to all Airway Facilities Field Offices in the Great Lakes Region.
3. **SCOPE.** This order governs the overall management of the human resources assigned to the Airway Facilities Division, wherein the term management refers to the allocation, monitoring and measurement of human resource levels within the division. The three human resource categories which are managed by this program are as follows:
 - a. **Operations Direct Human Resources.** Within this category, the individual human resource levels are allocated, measured and monitored for each of the Airway Facilities Sectors. This order describes the overall process used to determine the sector level human resource allocations; however, it does not cover the process and procedures used to allocate and monitor human resources at the field office and/or units level. Management of the program at the Unit/Sector Field Office (SFO) level is the responsibility of each sector manager.
 - b. **Branch Human Resources.** Within this category, the individual branch human resource levels are allocated, measured and monitored. This order describes the overall process used to determine the branch level human resource allocations; however, it does not cover the process and procedures used to allocate and monitor human resource levels at the section level. Management of the program at the section level is the responsibility of each branch manager.
 - c. **Facilities and Equipment (F&E) Human Resources.** Within this category, the overall human resource levels for F&E are allocated, measured and monitored. The primary organization receiving F&E staffing is the Establishment Engineering Branch, AGL-450; however, as deemed necessary by the Manager, Airway Facilities Division, some of the F&E human resources may be used to support other special emphasis programs. This order does not cover the allocation and monitoring of the human resources below the branch level, as that is left to the discretion of the Manager, Establishment Engineering Branch, AGL-450.
4. **OBJECTIVE.** The objective of this program is to ensure the division's human resources are soundly managed and when resource shortages occur, the available resources are applied against the highest priority requirements. Additionally, this order establishes a process whereby the following human resource management objectives are met:
 - a. **Manage the Division's Full-Time Equivalent (FTE) allowance,** for both operations and Facilities and Equipment (F&E), such that all available FTEs are consumed, on an annual basis, within one percent of the approved authorization as depicted on the division's financial plans.
 - b. **Manage the Division's End-Of-Year (EOY) employment levels,** for both operations and F&E, such that the fiscal year (FY) is concluded with on-board employment levels which are within one percent of the approved EOY employment targets as reported on the division's financial plans.
 - c. **Manage the Division's Human Resources effectively,** such that, over a period of time, all sector level resources will be distributed in a balanced manner consistent with the sector level staffing standard.

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d. Manage the Division's F&E Staffing allowances, such that the appropriate skills are employed within the Establishment Engineering Branch, AGL-450, to directly support the F&E program, based on resource requirements as determined by the Regional Program Management System (RPMS).

5. **BACKGROUND.** Prior to the issuance of this order, the human resources within the division have been managed in much the same manner as set forth herein; however, in an undocumented manner. While in prior years, we have achieved the objectives stated above, the process has not been formalized.

a. In prior years, when the only human resource management objective was to the end the fiscal year at some pre-determined employment level (ceiling), it left a tremendous amount of flexibility with regard to monthly on-board employment levels. Because of this apparent flexibility, sometimes perceived as a lack of control, the Office of Management and Budget (OMB) established a new process whereby human resources were managed as a consumable commodity, much the same as the fiscal resources within an organization.

b. In future years, a new method of managing human resources, referred to as Full-Time Equivalents (FTEs) will be used. With one FTE equaling the amount of compensable hours one full-time employee could work in a given year, each organization is given an allowance of FTEs to be consumed during the year. As with any consumable commodity, if the utilization rate for a period of time increases, there needs to be a corresponding, or offsetting, decrease of an equal amount, in order for the allowance to last the period of time it was established for. This is essentially how the FTE allowance effects on-board employment levels. If an organization spends several months of the fiscal year at two FTEs above the mean, or average, they will have to spend a corresponding amount of time two FTEs below that same mean, for the annual consumption to be within the allowance. This order establishes a formal process for managing the FTE consumption rates within the division in a manner which will allow for a more even-flow utilization, thereby eliminating many of the peaks and valleys which we have seen in past years.

6. **DEFINITIONS.**

a. Permanent Employee. Employees in this category are serving under a career or excepted appointment which contains no conditional or time limitations.

b. Conditional or Indefinite Employee. Employees in this category are serving under a career-conditional appointment or other nonpermanent appointment without a specific time limit.

c. Temporary Employee. Employees in this category are serving under an appointment which is specifically limited to one year or less, or pending establishment of a Civil Service register.

d. Full-Time (FT) Employees. The incumbent is regularly scheduled to work the number of hours and days required by the administrative workweek for their employment group or class. Most full-time employees have an administrative workweek consisting of five days of eight hours each, totaling 40 hours a week and 80 hours a pay period. However, some employees, such as those participating in the Alternate Work Schedule (AWS) program, or those working rotating shifts, may work other than normal administrative hours.

e. Part-Time (PT) Employees. The incumbent is employed on a pre-scheduled tour of duty which is less than the specified hours or days of work for full-time employees in the same group or class.

f. Intermittent (INT) Employee. Employees in this category are employed on an irregular or occasional basis, with hours or days of work not on a prearranged schedule, and with compensation only for the time actually employed or for service actually rendered.

g. Full-Time Permanent (FTP) Employee. This is a term used to indicate an employment category comprised of employees occupying permanent appointments and working a full-time schedule as described under

paragraph d. above. At watch-standing locations, these employees work rotating shift schedules, which are irregular from week to week; however, the basic requirement of 40 hours a week and 80 hours a pay period still applies.

h. Full-Time Temporary (FTT) Employee. This is a term used to describe an employment category comprised of employees occupying temporary appointments and working a full-time schedule as described under paragraph 6.d. above.

i. Part-Time Permanent (PTP) Employee. This is a term used to describe an employment category comprised of employees occupying permanent appointments and working a part-time schedule as described under paragraph 6.e. above.

j. Part-Time Temporary (PTT) Employee. This is a term used to describe an employment category comprised of employees occupying temporary appointments and working a part-time schedule as described under paragraph 6.e. above.

k. Re-employed Annuitant (RA). This is a term used to describe an employment category comprised of employees occupying temporary appointments and working either full-time or part-time work schedules as described in paragraphs 6.d. and 6.e. above.

l. All Others. This is a term used to describe an employment category comprised of employees occupying positions which are covered under special emphasis programs such as the Stay-In-School program, the Summer Aid program and the Cooperative Education and Development Program.

m. End-Of-Year (EOY) Ceiling. While this method of human resource management is no longer used, it is defined for clarification and comparison purposes. This term represented a number, which in turn represented the objective for the human resource management program within an organization. With regard to employment levels, the EOY employment ceiling represented the maximum number of FTP employees which were allowed to be on-board on the last day of a fiscal year. **The utilization of EOY ceilings officially ended in FY-88 when the utilization of Full-Time Equivalents (FTEs) and EOY Employment Targets became the approved method;** however, the term EOY Ceiling is still loosely used, and frequently confused, with the EOY Employment Target.

n. End-Of-Year (EOY) Employment Target. This number represents the number of FTP employees an organization is **authorized to have on-board** on the last day of the fiscal year. The division receives an overall EOY Employment Target (documented on the division's financial plan) which in turn is broken down into individual EOY Employment Targets for each sub-organization such as sectors and branches. The objectives of an organization's human resource management efforts shall be to end the fiscal year at the EOY Employment Target, while at the same time consume only the amount of FTEs which are authorized the organization.

o. End-Of-Year (EOY) Authorized Level. This number represents the maximum number of FTP employees an organization would be allowed to have on-board at the end of the fiscal year if there were no budgetary restrictions. In actual practice, we may never be allowed to achieve this level of employment, however, in the budget process, this number must be reflected on the division's Financial Plans. Additionally, the FAA Form 1412, Part IV, which lists all authorized positions, must match this number. That is, if there are 100 positions authorized for an organization, there must also be 100 positions listed on the FAA Form 1412. The actual EOY Employment Target will probably always be somewhat lower than this number. Also, two separate Position Organization Charts (POCs) must be submitted annually. One depicting the EOY Authorized level and one depicting the EOY Employment Target.

p. Full-Time Equivalent (FTE). FTEs consumed are equal to the number of paid hours, excluding overtime and terminal leave, for the fiscal year (October 1 through September 30) divided by the total number of compensable hours applicable to the fiscal year (2080; 2088; or 2096). In actual practice, there are two different

methods of measuring FTE consumption, the **ceiling** method and the **compensable** method. The next few paragraphs detail the most significant factors of each type of FTE computation.

(1) **Ceiling Method of Computing FTEs.** Using the ceiling method, the number of compensable hours is determined by calculating the total number of compensable hours beginning in the first pay period of the fiscal year, including that entire pay period, and going for the next 25 pay periods, regardless of the dates and the crossing of fiscal year boundaries.

- (a) Figures calculated with this method must be shown on the division's Financial Plan.
- (b) The Office of Budget (ABU) **allocates** FTEs using this method.
- (c) FTE work-years calculated using the ceiling method apply to paid hours in the following

sub-object classes:

- 1 1111 Full-Time Permanent Appointments.
- 2 1131 Full-Time Temporary and Indefinite Appointments
- 3 1132 Part-time Permanent Appointments.
- 4 1133 Intermittent Appointments.
- 5 1137 Part-time Temporary and Indefinite Appointments.

(2) **Compensable Method of Computing FTEs.** Using the compensable method, the number of compensable hours is determined by calculating the total number of worked hours beginning the first day of the fiscal year and ending on the last (October 1 through September 30).

- (a) Figures calculated with this method must also be shown on the division's Financial Plan.
- (b) The Office of Budget (ABU) **does not** allocate FTEs utilizing this method.
- (c) Compensable FTE calculations must correlate directly with an organizations Pay, Compensation and Benefits (PC&B) calculations shown on the division's Financial Plan.
- (d) Compensable FTEs are used to calculate the average cost of an FTE within an organization.
- (e) Funding levels which are allocated to support Pay, Compensation and Benefits (PC&B) are based on compensable FTE calculations.

(f) FTE work-years calculated using the compensable method apply to hours paid for the following sub-object classes.

- 1 1111 Full-Time Permanent Appointments.
- 2 1131 Full-time Temporary and Indefinite Appointments
- 3 1132 Part-time Permanent Appointments.
- 4 1133 Intermittent Appointments.

5 1137 Part-time Temporary and Indefinite Appointments.

q. FTE Burn Rate. This is a term used to express the rate at which an organization is consuming its allocated FTEs. If more than 1/26th of the authorized FTEs are consumed in any given pay period the organization is experiencing an excessive FTE burn rate and should plan offsetting burn rates in future pay periods. Organizations which are experiencing repetitive high burn rate pay periods will more than likely exceed their annual FTE allowance, which in turn will prevent attainment of one of the two objectives in this program.

r. Lapse Rate. A lapse occurs when a position which was used in the basic FTE calculation goes unencumbered (vacant) for a period of time. The basic FTE calculation assumes all positions listed on an employment plan are encumbered (filled) for the entire period of time represented by the plan. For example, if the employment plan utilizes monthly intervals in the FTE calculations, it is assumed all of the positions are encumbered for the entire month. In actual practice, this is not the case because of vacancies associated with transfers, promotions, retirements, etc. The overall lapse for an organization can be calculated by comparing the estimated FTE consumption for any given period of time, which is based on all positions being filled, with the actual FTEs consumed, as reported on recurring payroll reports.

s. Full-time Equivalent (FTE) Projection Model. This is a computer program which is used to model FTE consumption rates based on employment levels at the end of each pay period. The accuracy of this type model is a factor of the time-slice used in the calculations. For example, if end-of-pay-period employment levels are used, the accuracy will be greater than if end-of-month employment levels are used since the time-slice is almost twice as great. That is, there will be 26 employment levels utilized in the calculations as opposed to 12 if a monthly time-slice were used. In either of these methods, a lapse rate factor must be incorporated in order to compensate for deviations because of lapses in employment between the measuring points.

t. Airway Facilities Sector Level Staffing Standard. This is a computer generated report which estimates field human resource requirements based on direct work support of field facilities. In accordance with FAA Order 1380.40B, Airway Facilities Sector Level Staffing Standard System, these computer generated human resource levels are calculated several times each year and serve as the basis for justifying human resource requirements in the Operations Direct Budget. While it is widely recognized the staffing standard does not necessarily calculate accurate manpower requirements at the equipment and system level, it is progressively more accurate at higher levels where some of the perturbations are evened out. For example, the standard is more accurate at the sector level than at the unit level, and it is again more accurate at a regional level than a sector level. Book 2B of this report is used in the calculations for distributing sector level human resources within the Airway Facilities Division.

u. Airway Facilities Division Financial Plans. Replacing the manually-generated FAA Form 1412 Part III, this computer-generated report documents approved funding and human resource levels for both the operations and F&E appropriations. The human resource data included on this report is expressed in terms of an EOY Employment Target, a ceiling FTE allowance and a compensable FTE allowance. Together, the EOY Employment Target and the FTE allowances form the objectives to be obtained in the human resource management program.

v. Special Emphasis Staffing. Within the division, the majority of the sector level human resources and FTE levels are calculated using a ratio and proportion formula applied to the Airway Facilities Staffing Standard, Book 2B. However, due to special emphasis needed at certain locations, the division manager may approve non-staffing standard formula generated positions and FTEs for certain locations. For example, the following special emphasis staffing was established in past allocations to meet specific requirements:

(1) Air Route Traffic Control Centers (ARTCCs) were staffed at a fixed level of 92 positions each due to a need to maintain minimum watch coverage during the implementation phases of the Advanced Automation System (AAS).

(2) Chicago O'Hare was staffed at 85 percent of the staffing standard, based on the criticality of the facilities at this location in relation to the overall operation of the National Airspace System (NAS).

(3) Detroit Metro was staffed at 85 percent of the staffing standard, based on the criticality of the facilities at this location in relation to the overall operation of the National Airspace System (NAS).

7. **RESPONSIBILITIES.**

a. **The F&E NAS Planning Section, AGL-422,** is responsible for:

(1) Coordinating with AGL-424 and AGL-450, the human resource requirements which are needed to support the division's Facilities and Equipment (F&E) program. These requirements shall be based on the Regional Project Management System (RPMS). This shall include a review of the recurring monthly employment plans and FTE projections. As revised human resource allocations are received, either EOY Employment Targets or FTE allocations, these revised levels shall be communicated to AGL-424 in a timely manner.

(2) Coordinating with AGL-424, the need for additional human resources, in conjunction with other financial priorities within the F&E program.

(3) Coordinating with AGL-424, special emphasis resource requirements, in the form of narratives to support unfunded human resource requirements, for inclusion in the quarterly fiscal program reviews.

b. **The Operations Resources Section, AGL-423,** is responsible for:

(1) Coordinating with AGL-424, the human resource requirements which are needed to support the division's operations direct program. This shall include a review of the recurring monthly employment plans and FTE projections. As revised human resource allocations are received, either EOY Employment Targets or FTE allocations, these revised levels shall be communicated to AGL-424 in a timely manner.

(2) Coordinating with AGL-424, the need for additional human resources, in conjunction with other financial priorities within the operations direct program.

(3) Coordinating with AGL-424, special emphasis resource requirements, in the form of narratives to support unfunded human resource requirements, for inclusion in the quarterly fiscal program reviews.

c. **The Operations Standards Section, AGL-424,** is responsible for:

(1) Assisting the Operations Resources Section, AGL-423, in determining the operations program human resource requirements for inclusion in the annual Call For Estimates for the Operations Appropriation Budget. The estimates shall be based on input from all branch, staff and sector managers.

(2) Preparing comprehensive employment plans for submission to the Operations Resources Section, AGL-423, and the F&E NAS Planning Section, AGL-422, for use in preparing the division's Financial Plan(s).

(3) As necessary, preparing special emphasis reports and justifications for non-approved employment and FTE levels. These reports are to be provided to the Operations Resources Section, AGL-423, and the F&E NAS Planning Section, AGL-422, as appropriate, for use in preparing annual budgets and quarterly reviews.

- (4) Providing to sectors, branches, and staffs, approved Position Organization Charts, EOY Employment Targets, and Full- Time Equivalent (FTE) authorizations.
- (5) Consolidating the monthly sector and branch submitted employment plans which were prepared using the Full-Time Equivalent (FTE) Projection Model.
- (6) Analyzing the human resource allowances and comparing them to organizational priorities, resulting in a recommendation of organizational EOY Authorized Employment Levels which are depicted on Position Organizational Charts (POCs).
- (7) Preparing, for the division manager's approval, the initial and recurring distribution of FTEs and the EOY Employment Targets for all organizations within the division.
- (8) Monitoring, and as necessary, recommending to the division manager, adjustments to the sectors' and branches' FTE allowances and EOY Employment Targets.
- (9) Managing the overall human resource program within the division, ensuring all available resources are applied equitably against the highest priority requirements, and the division objective of balanced utilization within one percent of the approved financial plan(s) is met.
- (10) Managing and monitoring the FTE utilization rate for all divisional staff offices. As necessary, coordinating any required changes in employment levels with the division manager.
- (11) Overall monitoring and management of the FTE utilization rate for all categories of employment other than Full-Time Permanent (FTP), which includes new-hire, career conditional FT employees, and Reemployed Annuitants (RA).
- (12) Evaluating the actual utilization of FTEs against the sector and branch submitted employment plans. As necessary, make adjustments to the authorization levels such that divisional human resource priorities are continually addressed.
- (13) On a monthly basis, calculating and distributing an updated Lapse Rate Factor which is to be used on the FTE Projection Model. The Lapse Rate Factor shall be distributed to the branches and sectors no later than the 10th working day of each month.
- (14) On a monthly basis, preparing a comprehensive divisional employment plan, which includes data submitted by the branches and sectors, as well as locally-developed data, for all categories of employment not submitted by the sectors and branches (see paragraph 7.c.12. above).
- (15) Annually, develop a process to be used for distributing human resources authorizations to branches and sectors. The process developed will focus on division priorities at the time, the level of resources provided and the current on-board levels in each organization. When developed, a narrative describing the process shall be circulated to all managers for review and comment prior to its final approval and implementation. The actual process used will probably vary from year-to-year and will be dependent on the availability of resources at the time.

d. Sector Managers are responsible for:

- (1) Ensuring human resource requirements are accurately projected by maintaining the Facility Master File (FMF) and Precommissioned Facility File (PFF) to the highest degree of accuracy possible.

(2) Managing their human resource allocations such that their FTE allowance is consumed within one percent and they achieve their EOY Employment Target within one percent.

(3) Reporting to the Operations Standards Section, AGL-424, any problems associated with attainment of the objectives of this program. This could be the identification of FTE surpluses or deficits, training in the management of FTEs, etc. These reports are to be submitted in memorandum format at the time the problem is identified.

(4) Utilizing the FTE Projection Model to prepare revised monthly employment plans which reflect actual on-board employment levels and revised projections for the remainder of the year. These projections shall reflect the manager's decisions regarding changing employment levels based on new hires, MPP increases, MPP losses, etc.

(5) When requested, provide a prioritized listing of organizational vacancies, along with narrative statements depicting the impacts of delayed filling of the vacant positions.

(6) Identifying to the division manager, in the form of a formal staff study, which is comprehensive enough to aid in the decision making process, any special emphasis staffing requirements which are not covered by the sector level staffing standard.

(7) As required, provide comments on the process used to distribute available resources. This process will be initially developed by AGL-424, and circulated for comment to all managers. The actual process will probably vary from year-to-year and will be dependent on the availability of resources at the time.

e. Branch Managers are responsible for:

(1) Identifying annual operations human resource requirements to the Operations Standards Section, AGL-424, for inclusion in the call for estimates.

(2) Managing their human resources such that their FTE allowance is consumed within one percent and they achieve their EOY Employment Target within one percent.

(3) Reporting to the Operations Standards Section, AGL-424, any problems associated with attainment of the objectives in this program. This could be the identification of FTE surpluses or deficits, training in the management of FTEs, etc. These reports are to be submitted in memorandum format at the time the problem is identified.

(4) When requested, provide a prioritized listing of organizational vacancies, along with narrative statements depicting the impacts of delayed filling of the vacant positions.

(5) Utilizing the FTE Projection Model to prepare revised monthly employment plans which reflect actual on-board employment levels and revised projections for the remainder of the year. These projections shall reflect the manager's decisions regarding changes in employment levels based on new hires, MPP increases, MPP losses, etc.

(6) As required, provide comments on the process used to distribute available resources. This process will be initially developed by AGL-424, and circulated for comment to all managers. The actual process will probably vary from year-to-year and will be dependent on the availability of resources at the time.

f. Staff Managers are responsible for:

(1) Identifying annual human resource requirements to the Operations Standards Section, AGL-424, for inclusion in the call for estimates.

(2) As required, provide a prioritized listing of organizational vacancies, along with narrative statements depicting the impacts of delayed filling of the vacant positions.

g. The Division Manager retains approval authority for the overall distribution of human resources, including special emphasis staffing, allocation of the division's Full-Time Equivalent (FTE) allowance, and approval of each organization's Position Organization Chart (POC).

8. BUDGETING FOR AND ALLOCATION OF BRANCH AND STAFF END-OF-YEAR EMPLOYMENT TARGETS AND FTE ALLOWANCES.

a. Process of Budgeting For Human Resources. Unlike the field, there is currently not a headquarters staffing standard which is an integral part of the budget process. Over the years, several different versions of a staffing standard for headquarters positions have been developed; however, to date, none of them have been used in the budget process. Historically, headquarters human resource levels has remained constant, regardless of the new programs that have been assigned or the resource requirements which were projected in the budget.

b. Each year, the Operations Resources Section, AGL-424, will develop future (budget year) branch and staff requirements based on input from each branch and staff organization. The data provided will serve as the basis for developing the estimates which are included in the annual budget. Based on the instructions provided for each year's Call For Estimates, AGL-424 will solicit the required information in memorandum format.

c. Regional Office Controlled Field (ROCF) Positions. Because there has been little support for increasing headquarters human resource levels in the past years, regional division managers have augmented headquarters human resource levels with positions which are technically generated by the field staffing standard. With discretion, division managers can assign ROCF positions to the headquarters, so long as they are accomplishing a function which is associated with direct maintenance in the field. A good example of this type position would be those in the Technical Evaluation and Standards Section, AGL-461. The direct maintenance function which is performed by this section is the administration of the technical evaluation program. With the division manager's approval, several other ROCF positions have been established over the years.

d. Allocation of Human Resource Authorizations. Based on availability of resources, current on-board levels and division priorities, AGL-424, will develop, and get approved at the division manager level, a process for distributing resources. The process used will strive to achieve a balanced work force, based on organizational authorizations, while at the same time ensure divisional priorities are being met. It is anticipated the distribution will be based on filling **critical vacancies first** in years when the human resource allocations are very low. However, in years where the allocations are adequate to meet all organizations' needs, a simple pro-rata distribution can be made. All managers shall have a chance to comment on the process prior to its utilization.

e. F&E Staffing. F&E staffing is based on direct F&E involvement in Engineering, Construction, and Installation. The staffing requirements are entered in the RPMS from the engineering estimates for all planned F&E projects. This data is compiled for all regions on an annual basis by Headquarters, and is submitted to Congress as part of the F&E budget submission.

9. BUDGETING FOR AND ALLOCATION OF SECTORS' END-OF-YEAR EMPLOYMENT TARGETS AND FTE ALLOWANCES.

a. Process for Obtaining Human Resources. As opposed to the headquarters staffing standard, the sector level staffing standard is recognized as a viable tool for projecting human resource requirements, and as such, has been used as an integral part of the annual Operations Direct Budget for many years. While Washington headquarters has never been able to fully support all of the positions which are generated by the staffing standard, they continue to use it as a guide for allocation of positions to the regions. Using the staffing standard as a guide, positions are distributed equitably to each region on a pro-rata percentage basis.

b. Regional Office Controlled Field (ROCF) Positions. As mentioned in paragraph 8.c. above, regional headquarters human resource authorizations have never been equal to the levels requested in the budget. Therefore, division managers have supplemented the regional headquarters human resource levels with some of the sector generated positions. This utilization is limited to functions which are in support of direct work at the field level. Each year, an evaluation of regional requirements and division priorities is conducted and a determination of the need for ROCF positions is made. Once this determination is made, these ROCF positions are subtracted from the total available for field distribution.

c. Special Emphasis Staffing. Occasionally, special circumstances dictate the need for making manual adjustments to the staffing standard, at the regional level, prior to its use in distributing sector level human resources. Each year, the Operations Standards Section, AGL-424, shall solicit input from the sectors on their requirements for special emphasis staffing. If approved, this special emphasis staffing will be taken into consideration, along with the staffing standard generated values, in calculating the sector's human resource authorizations.

d. Determination of Total Available Field Human Resources - After subtracting the ROCF and special emphasis positions from the total available for field distribution, the balance is available for distribution to the sectors.

e. Allocation of Human Resource Authorizations. Based on availability of resources, current on-board levels and division priorities, AGL-424, will develop, and get approved at the division manager level, a process for distributing available sector level human resources. The process used will strive to achieve a balanced work force, based on organizational authorizations, while at the same time ensure divisional priorities are being met. It is anticipated the distribution will be based on filling **critical vacancies first** in years when the human resource allocations are very low. However, in years where the allocations are adequate to meet all organizations' needs, a simple pro-rata distribution can be made. All managers shall have a chance to comment on the process prior to its utilization.

10. DISTRIBUTION OF END-OF-YEAR EMPLOYMENT TARGETS AND FTEs. Following the process and procedures outlined in paragraph 9. above, the Operations Standards Section, AGL-424, will calculate and distribute the EOY Employment Targets and FTE authorizations as follows:

a. Initial Distribution. - Upon receipt of the first approved Financial Plan, AGL-424, will calculate the initial distribution. Depending on the status of the budget and the most recent staffing standard generation, the time frame for this distribution can vary dramatically. In a year where there is an approved budget on the first day of the fiscal year, this distribution could take place within the first four weeks of the fiscal year. On the other hand, if the approval of the budget is delayed, so too will the distribution of the EOY Employment Target and FTEs be delayed. In a fiscal year where it appears there is going to be a delay in the initial distribution beyond December 1, AGL-424 will calculate and distribute **tentative allowances** for planning purposes, based on the most recent staffing standard and the prior end-of-year employment level. Appendix 2 shows a sample of the form used to allocate the EOY Authorized Positions, EOY Employment Targets and FTE Allowances. This form will be distributed to all offices every time any of the data changes.

b. Revised Distribution. - If, as a result of a quarterly fiscal program review or other budgetary action, the division's EOY Employment Target or FTE allowance changes, these changes will be incorporated into a revised distribution. Each time a revised distribution is made, it is incumbent on AGL-424 to re-evaluate the total distribution, including, but not limited to, a review of the utilization of ROCF positions, special emphasis positions, and other division priorities. The process used will be the same as described in paragraphs 8.d. and 9.e. above.

11. PREPARATION OF MONTHLY EMPLOYMENT PLANS. In order to achieve the objectives in the human resource management program, it is necessary to constantly review and update the division's employment plan. Despite the most aggressive planning efforts, events occur which necessitate these recurring reviews and updates. Each branch and sector within the Airway Facilities Division is responsible for managing their allocated human resources such that their individual objectives are achieved. Collective attainment of these objectives will all but ensure attainment of the objectives at a divisional level. The development, review, periodic updating and submission of monthly employment plans is necessary to provide the Operations Standards Section, AGL-424, with the data necessary to manage the program from a divisional level. To aid the branches and sectors in the management of this program, a computerized Full-Time Equivalent (FTE) Projection Model has been developed for their use.

a. Full-Time Equivalent (FTE) Projection Model - A copy of the report generated by the FTE Projection Model is included in Appendix 1 for reference. Using the new Office Automation Technology and Services (OATS) software platform, the projection model was developed with Microsoft Excel. This model consists of a simple electronic spreadsheet wherein the user only needs to enter the data described below and it automatically projects an estimated utilization of FTEs. The spreadsheet is designed so the operator can model different scenarios and immediately see the results. Utilizing this immediate feedback, the operator can adjust the end-of-pay-period employment projections to achieve the desired objectives. Below are the data elements required to be input by the operator.

(1) Authorized Annual FTEs. - At the top of the spreadsheet, the operator must enter the current authorized annual FTE allowance. As described in paragraph 10. above, an initial authorization is made no later than December 1st of the fiscal year. This allowance will either be a full authorization, as in the case of an approved budget, or a planning target, as in the case of a delayed budget. Periodically throughout the fiscal year, the FTE authorization is likely to change. As changes occur, each organization is required to enter their new authorization and recalculate their employment plan to achieve this new FTE level.

(2) End-Of-Year (EOY) Employment Target. - At the top of the spreadsheet, the operator must enter the current EOY Employment Target. As described in paragraph 10. above, an initial authorization is made no later than December 1 of the fiscal year. This allowance will either be a full authorization, as in the case of an approved budget, or a planning target, as in the case of a delayed budget. Periodically throughout the fiscal year, the EOY Employment Target is likely to change; however, not as often as the FTE authorization. As changes occur, each organization is required to enter their new authorization and recalculate their employment plan to achieve this new FTE level.

(3) Lapse Rate Factor. - On a monthly basis, the Operations Standards Section, AGL-424, will calculate a revised Lapse Rate Factor, by comparing the projected FTE utilization against the actual, as reported in recurring payroll reports. This new Lapse Rate Factor will then be communicated to all branches and sectors for use in subsequent calculations utilizing the FTE Projection Model. In accordance with paragraph 7.c.14. above, AGL-424 shall publish the revised Lapse Rate Factor no later than the tenth working day of each month.

(4) End-Of-Pay-Period Employment Data. - Preferably each pay period, and at least monthly, the sectors and branches shall enter the actual end-of-pay-period employment data for the categories listed below. After all actual data is entered, projected data is entered for modeling purposes for all remaining pay periods. The resultant FTE projection is automatically calculated and is displayed in the last pay period under Year-To-Date (YTD) FTE column. Utilizing the model, the operator shall continue to revise their projected employment plan

until the last pay period's YTD FTE total equals their authorized annual FTE level which is entered at the top of the page. At this point, the model projects an employment plan which will ensure attainment of the objectives.

(a) **Full-time Permanent (FTP)** - Used by the model in the calculation of consumed FTEs. This column includes FT employees in both the career and career-conditional employment categories.

(b) **Reemployed Annuitants (RA)** - Used by the model in the calculation of consumed FTEs. This column includes reemployed annuitants who are officially classified as Full-Time Temporary (FTT) employees.

(c) **Full-time Temporary (FTT)** - Informational data only.

(d) **Part-time Permanent (PTP)** - Informational data only.

(e) **Part-time Temporary (PTT)** - Informational data only.

(f) **Stay-In-School (SIS)** - Informational data only.

b. **Full-time Equivalent (FTE) Projection Model Software.** - At the time of the initial distribution of this order, a copy of the FTE Projection Model software, tailored to each organization, was distributed. Because the software contains data peculiar to each specific fiscal year, a new copy of the software will have to be distributed each fiscal year. To obtain a new, or additional, copy of the software, contact the Operations Standards Section, AGL-424.

c. **Full-time Equivalent (FTE) Projection Model Instructions.** - At the time of the initial distribution of the order, a copy of the FTE Projection Model instructions were distributed with the software. As the software is revised or updated, the Operations Standards Section, AGL-424, shall incorporate all pertinent changes and distribute the revised instructions. To obtain a new, or additional, copy of the instructions, contact the Operations Standards Section, AGL-424.

12. **SUBMISSION OF MONTHLY EMPLOYMENT PLAN AND OPTIONAL NARRATIVE STATEMENT.** - At the end of each month, each sector and branch shall prepare and submit to AGL-424, an updated employment plan, utilizing the Full-time Equivalent (FTE) Projection Model. Additionally, if an organization projects they will not be able to achieve their objectives in this program area, they shall submit a narrative statement explaining the details of their situation. This narrative shall include a description of what actions have been taken to alleviate the situation and what further action is required to correct it. If the narrative includes a request for additional resources, either in the form of an increased EOY Employment Target or additional FTEs, the narrative shall be of sufficient detail to independently substantiate the need for increased resources. If, on the other hand, if an organization identifies a projected surplus of either EOY Employment Target positions or FTEs, this information shall also be included in the narrative. This narrative shall serve as the primary communication vehicle for identifying problems associated with achievement of the objectives stated in paragraph 4. of this order.

a. **Sector Submission.** - Prior to the end of the fifth working day each month, all sectors shall electronically transmit their file to the Operations Standards Section, AGL-424, electronic bulletin board. Since the telephone number of this bulletin board is likely to change on a periodic basis, it is not included in the body of this order. Contact the Operations Standards section, AGL-424, to obtain the current telephone number.

b. **Branch Submission.** - Prior to the end of the fifth working day each month, all branches shall hand deliver a disk copy of their FTE Projection Model employment plan to the Operations Standards Section, AGL-424. The disk will be returned for use on subsequent submissions as soon as the data is copied into the division's consolidated spreadsheet.

13. **CONSOLIDATED MONTHLY EMPLOYMENT PLAN.** - The Operations Standards Section, AGL-424, shall prepare a consolidated monthly employment plan which includes actual on-board levels through the most recent full pay period and projected employment levels through the end of the fiscal year.

a. **Branch and Sector Submitted Data.** - The data that is submitted by the branches and sectors shall be electronically consolidated into a comprehensive divisional employment plan.

b. **Employment Plans for Staff Organizations.** - Because the division's staff offices are small in size and extremely stable with regard to employment levels, they are not required to submit recurring reports. The Operations Standards Section, AGL-424, utilizing existing demography tracking systems, shall be responsible for tracking the employment levels for the division's staff offices.

c. **Publication of Revised Plans.** A copy of the revised allowances shall be provided to all organizations whenever the allowances are changed.



G. W. Statser

Manager, Airway Facilities Division, AGL-400

Appendix 1. FULL-TIME EQUIVALENT (FTE) PROJECTION MODEL REPORT

**AGL-420 EMPLOYMENT/FTE PROJECTIONS
FY-91**

AUTHORIZED ANNUAL FTE's ===> 100
EOY EMPLOYMENT TARGET ===> 100

LAPSE RATE FACTOR ===> 1.0000
UPDATED AS OF ===> 2/7/91

PAY PERIODS			EMPLOYMENT DATA				FTE DATA		OTHER EMPLOYMENT DATA				
PP	ENDING DATE	COMP. DAYS	FTP	RA	TOTAL	EMPL. CHG.	% OF AUTH.	PP FTE's	YTD FTE's	FTT	PTP	PTT	SIS
21	6-Oct-90	5	100	2	102		102%	1.96	1.96				
22	20-Oct-90	10	100	2	102		102%	3.92	5.88				
23	3-Nov-90	10	100	2	102		102%	3.92	9.81				
24	17-Nov-90	10	100	2	102		102%	3.92	13.73				
25	1-Dec-90	10	100	2	102		102%	3.92	17.65				
26	15-Dec-90	10	100	2	102		102%	3.92	21.58				
1	29-Dec-90	10	100	2	102		102%	3.92	25.50				
2	12-Jan-91	10	100	2	102		102%	3.92	29.42				
3	26-Jan-91	10	100	2	102		102%	3.92	33.35				
4	9-Feb-91	10	100	2	102		102%	3.92	37.27				
5	23-Feb-91	10	100	2	102		102%	3.92	41.19				
6	9-Mar-91	10	100	2	102		102%	3.92	45.12				
7	23-Mar-91	10	100	2	102		102%	3.92	49.04				
8	6-Apr-91	10	100	2	102		102%	3.92	52.96				
9	20-Apr-91	10	100	2	102		102%	3.92	56.88				
10	4-May-91	10	100	2	102		102%	3.92	60.81				
11	18-May-91	10	100	2	102		102%	3.92	64.73				
12	1-Jun-91	10	100	2	102		102%	3.92	68.65				
13	15-Jun-91	10	100	2	102		102%	3.92	72.58				
14	29-Jun-91	10	100	2	102		102%	3.92	76.50				
15	13-Jul-91	10	100	2	102		102%	3.92	80.42				
16	27-Jul-91	10	100	2	102		102%	3.92	84.35				
17	10-Aug-91	10	100	2	102		102%	3.92	88.27				
18	24-Aug-91	10	100	2	102		102%	3.92	92.19				
19	7-Sep-91	10	100	2	102		102%	3.92	96.12				
20	21-Sep-91	10	100	2	102		102%	3.92	100.04				
21	30-Sep-91	5	100	2	102		102%	1.96	102.00				

Model Designed By AGL-424 (January 1991)

Appendix 2. SAMPLE ALLOWANCE DISTRIBUTION FORM

GREAT LAKES REGION
AIRWAY FACILITIES DIVISION
STAFFING AUTHORIZATIONS

May 31, 1991

File: STF-AUTH.XLS

Prepared By AGL-424

	FY-91 AUTHORIZED POSITIONS	EOY EMPLOYMENT TARGET	FY-91 AUTH. FTE's
<i>Total Division Authorizations</i>	1433	1371	1344.50
Minus AGL-400/402/403/405 Allowances	9	9	9.640
Minus AGL-420 Allowance	29	29	32.340
Minus AGL-450 Allowance	20	20	18.940
Minus AGL-460 Allowance	36	36	39.470
Minus AGL-480 Allowance	13	13	15.950
Minus ROCF Allowances (Incl. 6 Sect. EI Pos.)	38	38	
<i>Balance Left For Field Distribution</i>	1288	1226	1228.160

CCC	SECTOR	STAFFING STANDARD	+ REGIONAL ADJUSTMENT	= ADJUSTED TOTAL	FTE's	FTE's	FTE's
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FIXED ARTCC STAFFING AT =====>>

					96	92	
8120	ZOB Oberlin ARTCC	99.236	+ -7.236	= 92.000	96	92	88.280
8130	ZID Indianapolis ARTCC	94.522	+ -2.522	= 92.000	96	92	91.110
8140	ZMP Farmington ARTCC + 2 EI	99.080	+ -7.080	= 92.000	96	92	91.320
8160	ZAU Aurora ARTCC + 1 EI	102.291	+ -10.291	= 92.000	96	92	94.600

FIXED SPECIAL EMPHASIS STAFFING AT =====>>

					95%	85%	
8612	Detroit SFA	2.000	+ 0.000	= 2.000			
861K	Detroit MCC Unit	1.771	+ 3.474	= 5.245			
861T	Detroit NAV/COM Unit	9.850	+ 0.000	= 9.850			
861U	Detroit RAD/COM Unit	10.252	+ 0.000	= 10.252			
861V	Detroit ENV Unit	6.745	+ 0.000	= 6.745			
<i>TOTAL FOR DETROIT SFA ---->></i>					32	29	

8651	O'Hare SFA	2.000	+ 0.000	= 2.000			
8655	O'Hare ARTS Unit	14.003	+ 0.000	= 14.003			
8656	O'Hare RAD Unit	7.081	+ 0.000	= 7.081			
8657	O'Hare NAV Unit	9.891	+ 0.000	= 9.891			
8658	O'Hare COM Unit	11.207	+ 0.000	= 11.207			
8659	O'Hare ENV Unit	9.161	+ 0.000	= 9.161			
865B	O'Hare NAS Support Unit	1.000	+ 0.000	= 1.000			
865C	O'Hare MCC Unit	5.245	+ 0.000	= 5.245			
<i>TOTAL FOR O'HARE SFA ---->></i>					57	51	

Balance Left For Field Distribution	815	778
Divided By Remaining "ADJUSTED POSITIONS"	1104	1104
TRASPER RATIO for Remaining Positions	73.83%	70.48%

DISTRIBUTION OF REMAINING POSITIONS AT =====>>

					74%	70%	
8610	MCH Michigan AFS (-DTW) + 2 EI	155.291	+ 0.000	= 155.291	115	110	138.900
8620	OHI Ohio AFS	184.753	+ 3.474	= 188.227	139	133	139.050
8630	IND Indiana AFS	153.571	+ 0.000	= 153.571	113	108	102.370
8640	ILL Illinois AFS	139.558	+ 0.000	= 139.558	103	98	96.840
8650	CHI Chicago AFS (-ORD) + 1 EI	62.667	+ 0.000	= 62.667	46	44	106.040
8660	WIS Wisconsin AFS	127.610	+ 0.000	= 127.610	94	90	87.350
8670	MIN Minnesota AFS	141.856	+ 0.000	= 141.856	105	100	100.810
8680	DAK Dakota AFS	135.043	+ 0.000	= 135.043	100	95	95.940