1/18

(1059)

The American, British and Canadian Foreign Services: A Study of Organizational Structures

A Case Study by Samuel E. Lupo

Twenty-Seventh Session **1984-85**

Executive Seminar in National and International Affairs

United States Department of State
Foreign Service Institute

This study has been prepared as part of the curriculum of the Executive Seminar in National and International Affairs. The views expressed in the study are those of the author; they do not necessarily represent either those of the Foreign Service Institute or of the Department of State.

"THE AMERICAN, BRITISH AND CANADIAN FOREIGN SERVICES: A STUDY OF ORGANIZATIONAL STRUCTURES

SUMMARY

This study examines the organization and structure of the American, British and Canadian foreign services, looking at the history of the service, the grade structure, the recruitment and examination process, how entrants are trained and assigned, what the typical careers are like for officer personnel in each service, training and retirement systems.

British and Canadian officials interviewed were quite knowledgeable about the American foreign service and civil service systems as well as each other's systems, and of course extremely well versed in the various aspects of their own systems, including background and precedent. All three systems at one time or another were, or are, closely linked to the grade structures of their military establishments.

The grade structure used by the British is basically a ten-grade structure for officers, five grades for secretaries, three grades for guards and six grades for communicators, plus three levels of research officer and six levels of legal advisors. Each of these groups has its own grade structure, although the research officers and legal advisors fit into the foreign service officer grades. There are two career tracks, called streams, for foreign service officers. The administrative stream starts at grade 8 or grade 7, and officers in this stream can expect to be an Ambassador before reaching the retirement age of 60. The executive stream starts at grade 10 or grade 9 and usually tops out at grade 5 or grade 4. The three senior grades were recently converted to five salary points, in effect creating five single-salary-step grades at the senior level.

The Canadians' grade structure currently in use consists of a training level, grades 1 and 2 for the working levels and the five grades of EX-1 to EX-5 for the executive scale. The Canadians also have streams, but they are more like the functional cones of the American Foreign Service.

Although the Canadian Foreign Service is separate from the civil service and the FSO represents a distinct occupational group, all other personnel of the Department of External Affairs are classified, paid and receive benefits in accordance with the practices governing other public servants, as negotiated with their unions. FSO salaries and benefits are determined through negotiations between management and the union representing the FSO group.

Samuel E. Lupo
April 1985

CONTENTS

INTRODUCTION

> "Organization cannot make a genius out of an incompetent; even less can it of itself make the decisions which are required to trigger necessary action. On the other hand, disorganization can scarcely fail to result in inefficiency and can easily lead to disaster."
>
> Dwight D. Eisenhower

The report from which the above quote was taken goes on to say that "Good organization does not insure successful policy. But steadily and powerfully, organizational patterns influence the effectiveness of government."[1] Or as Martin Mayer put it, "Systems of organization may limit the quality of work that can be got from even the best people, or may multiply the usefulness of the work done by drones....In a field like diplomacy, where there are no objective measures for people's work, neither the system nor its servants' adaptation to it can be taken for granted."[2]

This paper reports on a study the purpose of which was to examine the American, British and Canadian Foreign Services in terms of organizational arrangements, and to see what conclusions could be drawn regarding which measures were effective and which might be applicable to the American Foreign Service. The study looked at how the three Services appoint, train, promote, evaluate and retire their personnel and the grade structures which govern their service.

I. THE AMERICAN FOREIGN SERVICE

Historical Background:

The Diplomatic Service was one of the earliest establishments of our Government, functioning even during the period of Confederation. Benjamin Franklin, appointed Commissioner to France in 1776, is credited with being the first American professional diplomat. He had previously served on a mission to Canada and had represented Pennsylvania, New Jersey, Georgia and Massachusetts in London during the years 1764 and 1775.[3]

The Department of Foreign Affairs was established on July 1, 1781, and an Act of July 27, 1789, created the Department of Foreign Affairs under the new Federal Constitution as the first executive department of the Government. Its name was changed to Department of State on September 15, 1789, in recognition of certain domestic duties assigned to it.[4]

The status of consuls was recognized in the Constitution, and the first consular system was laid out in an Act of April 14, 1792. The Act to remodel the diplomatic and consular systems of the United States was enacted on March 3, 1855, creating the rank of Minister.

The grade of Ambassador was authorized by an Act of March 1, 1893. In that year, Congress inserted in the Diplomatic and Consular Appropriation Act for the fiscal year 1894 a paragraph which provided that "Whenever the President shall be advised that any foreign government is represented, or is about to be represented, in the United States by an ambassador ... he is authorized, in his discretion, to direct that the representative of the United States to such government shall bear the same designation. Following passage of this Act, Great Britain, France, Italy and Germany conferred the title of Ambassador upon their representatives in Washington, and President Cleveland responded by accrediting the representatives of the United States in those countries with the title of Ambassador on June 26. 1894.

Under the power vested in him by the Constitution of "nominating and, by and with the advice and consent of the Senate, of appointing Ambassadors, other public Ministers and Consuls," the President had the authority to appoint diplomatic representatives of the grade of ambassador. The Department of State had adopted the rules issued by the Congress of Vienna of 1815 governing the precedence of diplomatic agents, which accorded the highest rank to ambassadors as the personal representatives of their Heads of State. Nevertheless, no American diplomats were appointed with ambassadorial rank prior to 1893. The rank of ambassador was regarded as too exalted for the representatives of the young

democratic nation and was to a large extent identified with the monarchical systems of Europe whose trappings and titles the United States wished to avoid. Thus, no American diplomatic representatives were accredited to foreign governments at the highest grade of Ambassador for more than 100 years after independence.[5]

In 1883, the first civil service Act was passed, but it did not cover the diplomatic and consular services and political pressures for appointment to these services tended to increase. When attempts at reform by legislation had failed, President Cleveland took partial steps to remedy this situation by issuing an executive order on September 29, 1895, which created the beginnings of a merit system for the Foreign Service. Fundamental reform of the Foreign Service did not occur, however, until well into the next century.

The moving force for reform at the State Department was Henry White, longtime head of the Consular Service, a distinguished diplomat and close friend of President Theodore Roosevelt and Secretary of State John Hay. White described his goals for reform as follows:[6]

> "Being of a hopeful disposition and having realized the great disadvantage arising to the interests of our country abroad from the appointment to posts in our legations (we had no embassies then) of men backed by important politicians at home, but without any qualifications whatever for diplomatic work--not even the knowledge of French or any other foreign language--I resolved to become the nucleus, if possible, of a permanent service.... I had a feeling that it would be possible for the United States to have, as the other leading powers of the world then had, a non-partisan (so far as domestic politics were concerned) service, to which appointment should be made on the basis of fitness only.... I determined to prove the possibility of a genuine professional career in diplomacy if possible."

A Bill, which was introduced into the Senate by Senator Henry Cabot Lodge on December 6, 1905, and became law on April 5, 1906, created a merit system for the Consular Service. It established a grading system for the Consular Service by creating seven classes for consuls general and nine classes for consuls. The merit system of selection and promotion introduced into the Consular Service by this Act was extended to the Diplomatic Service by President Taft's executive order of November 26, 1909, which conferred Civil Service status upon all diplomatic officers

below the grade of minister. The order established a Board of Examiners consisting of the Assistant Secretary of State, the Solicitor of the Department, the Chief of the Bureau of Appointments and the Chief Examiner of the Civil Service Commission or his delegate. Both oral and written examinations were prescribed for entry into the Service.

An Act of 1915 provided that appointments to the Diplomatic Service and of consuls general and consuls were to be by commissions to the offices of secretary of embassy or legation, consul general or consul, and not to any particular post, and that such officers should be assigned to posts and transferred from one post to another as the interests of the Service might require. Section 2 of this Act established a new classification system, dividing diplomatic secretaries and consuls general into five classes and consuls into nine classes. And an Act of July 1, 1916, otherwise unrelated to the structure of the Foreign Service, contained a provision creating the rank of counselor of embassy.

The key legislation for the Foreign Service--virtually its constitution--was introduced by Representative Rogers of Massachusetts on September 1, 1922. The bill, providing for the amalgamation of the Diplomatic and Consular Services into a unified Foreign Service, passed the House on May 1, 1924, by a vote of 134 to 27, and the Senate by unanimous consent on May 15, 1924. It was signed by President Coolidge on May 24, 1924, and went into effect on July 1, 1924. It provided that, "Hereafter the Diplomatic and Consular Services shall be known as the Foreign Service of the United States." The Act also provided for the official designation of "Foreign Service Officers" defined as permanent officers below the grade of minister, all of whom were to be promoted on the basis of merit and assigned to diplomatic or consular work at the discretion of the President. The Act created nine classes of FSOs plus an unclassified grade below those nine classes. It required that FSOs be appointed by and with the advice and consent of the Senate. All appointments were to be by commission to a class and not to any particular post. The Act provided that all new appointments to the position of Foreign Service Officer were to be made after examination and a suitable period of probation in an unclassified grade or by transfer from the Department of State after five years' continuous service. Note that employees of the State Department were given preferential treatment but were considered a separate personnel system. The executive order implementing the Rogers Act specified that the Foreign Service Personnel Board should recommend to the President FSOs demonstrating special capacity for promotion to Minister.[7]

The Foreign Service Act of 1946 created the grade of Career Minister, and an Act of August 5, 1955, created the grade of Career Ambassador.

Until the passage of the Rogers Act, unlike officers of the Army and the Navy, members of the Foreign Service received no pensions upon retirement. The Rogers Act authorized establishment of a Foreign Service Retirement and Disability System. Retirement was compulsory at age 65, with the President authorized in his discretion to retain an officer on active duty for an additional five years. Annuities were based on length of service and ranged from 30 percent of the annual average of an officer's base salary over the preceding ten-year period for officers with from 15 to 18 years of service to 60 percent for officers with 30 years' service. Service at unhealthful posts counted for time and a half.

Until 1927, the U.S. Foreign Service was the sole organization handling the foreign relations of the United States, but between 1927 and 1935, three additional foreign services were established by the Departments of Commerce (1927), Agriculture (1930) and Interior (1935). In 1939, President Roosevelt reorganized these additional services out of existence, but two of the three have been reborn in recent years.

Structure:

There are about 4,000 Foreign Service Officers assigned by the Department of State to serve as administrative, consular, economic and political officers in more than 230 embassies and consulates in over 140 nations and in Washington. Another 850 FSOs are assigned by the U.S. Information Agency as information, cultural affairs and public affairs officers in Washington and overseas. The Commerce Department's Foreign Commercial Service has about 165 commercial officers serving in Washington and overseas, and the Foreign Agricultural Service has a small cadre of officers drawn from within the Department of Agriculture who serve at embassies abroad and who are governed by the Foreign Service Personnel System. In addition, there are about 3,500 specialists such as communications, personnel, budget and general services officers as well as secretaries, doctors and nurses. All personnel must agree to serve anywhere in the world according to the needs of the Service, and on average they spend about 60 percent of their careers abroad, moving at twoto four-year intervals.

About two-thirds of the FSO's career is spent in six or so assignments abroad. There is a very high representational and operational, as opposed to analytical, content to the work of an

FSO. A very small part of most assignments, both in Washington and in the field, is in policy analysis activities. There is a high demand on the "after hours" of an FSO. A 60- to 70-hour week is not unusual.

At present, the Foreign Service structure consists of a unified grading system for all personnel except those in the Senior Foreign Service. There are nine classes, or grades, each with 14 pay levels, covering all secretaries, communicators, support staff and specialists and all officers below the rank of Counselor. These nine grades cover the range of General Schedule grades five through 15 of the U.S. Civil Service with precise matches between GS-5 and FS-9 and between GS-15 and FS-1. Officers fit into the unified scale at grades six through one. Officers in the senior grades are divided into six pay steps matching the six pay levels of the Civil Service's Senior Executive Service. Pay is determined by linkages to Civil Service pay rates, which are theoretically determined by surveys performed by the U.S. Department of Labor's Bureau of Labor Statistics of pay rates for comparable positions in the private sector but actually determined in recent years by presidential decree.

Entry:

Each December, the Foreign Service written examination is given throughout the United States and at Foreign Service posts abroad. As high as 20,000 have taken the examination in past years, and routinely more than 15,000 take it each year, of whom about 250 are hired. Applicants must be at least 20 years of age on the date of the test, must be a U.S. citizen, and must be available for worldwide assignment. No specific background is sought except that the Service attempts to be fully representative of all segments of American society. Knowledge of a foreign language is not required for entry, but professional proficiency in at least on foreign language is required before the end of the probationary period, i.e., to remain in the Service.

The written examination requires one-half day and consists of multiple-choice questions covering general background, English expression and the four functional areas of the work of the Departments of State and Commerce and the United States Information Agency. Those who pass the written test are called to a full-day assessment judged by a panel of Foreign Service examiners, which is held in Washington and a number of other cities in the United States. This stage involves a 45-minute oral examination, a written essay prepared within 45 minutes, a written summary exercise lasting 45 minutes, a two-part exercise lasting one hour and 15 minutes consisting of a short oral

presentation by each candidate to the group of candidates, a leaderless negotiating session and, finally, a written in-basket test lasting 90 minutes which is designed to measure manageral skills, ability to manage staff, problem solving ability, leadership, interpersonal skills and the quality of the candidate's judgment.

Those successful in the assessment are given a background investigation to determine suitability and a medical examination (including all dependents). The final step consists of evaluation of transcripts of university records and a 1,000-word autobiography. Candidates who successfully complete all stages of the selection process have their names placed on functional field rank order registers and are called to duty as position vacancies warrant.

There are special recruitment programs for minorities at the junior level and for both minorities and women at the middle levels. Minorities are defined as American Indian or Alaska Native, Asian or Pacific Islander, Black or Hispanic.

Advancement:

Secretaries, communicators and other specialists enter the Service at grades and salaries commensurate with their experience and past earnings. Some FSOs enter at the mid-career levels (FS-3 to 1), but FSO candidates usually enter in class six or five. Recent entrants have ranged in age from the early twenties to the middle fifties, but the typical junior FSO enters at age 28 or 29, even though the median for all FSO entrants is around 31. Promotion from class six to class five is after one year and from five to four is after another 18 months, both by administrative action without promotion board competition. Officers are usually promoted by the annual promotion boards to class three after another three to four years or with a total of about six years of service, during which time they would normally have had one tour of duty in Washington and two tours abroad. The typical junior officer could expect to reach class two with an additional five or six years of experience, or at about age 38 to 40, and to go on to class one in the range of 43 to 45 years of age with about 15 to 17 years of service.

Promotion into the Senior Foreign Service is considered a major threshhold move with rigorous standards employed by selection boards made up of senior Foreign Service Officers, a senior official from another U.S. Government agency, and a distinguished individual from outside of Government. Boards similarly constituted pass on the promotions of all other officers.

FSOs come from every state in the U.S., and some 750 colleges and universities are represented in the Service. Candidates are brought on board in sufficient numbers to form a class during which all new entrants receive several weeks of basic orientation at the Foreign Service Institute. Other initial training may include area studies or functional courses. USIA entrants receive their training at the USIA training facility.

Training:

Once tenured, officers are given a five-month mid-level course to broaden their professional knowledge and acquaint them with foreign affairs operations and management issues. At midlevel, a limited number of officers are selected to attend a university for a period of one academic year, and others are assigned to another federal agency, to work in state and local government or other public institutions, or to work for a member of Congress or a Congressional Committee as Congressional Fellows. At the senior level, a very few officers are selected for special programs at selected universities, the Defense Department's War Colleges or the Senior Seminar in Domestic and Foreign Policy at the Foreign Service Institute.

The Foreign Service Institute conducts a program of general career training for Foreign Service Officers consisting of concentrated periods of full-time training at the basic level, the mid-career level and the senior level. The Basic Foreign Service Officer Course, lasting eight weeks, is required of all newly-appointed FSOs. It includes the duties and functions of Foreign Service Officers and a survey of the Department of State and the Foreign Service and their relationships with other Government agencies. Training in the procedures of reporting, trade promotion and protection, consular services and administration is also provided. The mid-career course, lasting five months, is attended by all officers after they have gained tenure and is designed to provide those officers with a greater awareness of the general outlook and responsibilities of the Foreign Service. The Senior Seminar in National and International Affairs is an academic year's course for officers who have been selected by a board specially convened for that purpose and who are on the threshhold of high-level positions, such as principal officer of deputy principal officer or a corresponding position in the Department or their parent agency.

Performance Evaluation:

Each officer's performance is rated at least once each year by his immediate supervisor and reviewed by his supervisor's supervisor. Rated officers are given a copy of their reports,

are encouraged to comment on any aspect of their performance and are required to comment on their career goals. Evaluation reports are used both for determining appropriate assignments and for promotion. Officers are subject to separation from the Service at any time for substandard performance and for failure to gain promotion within the time specified for each class. For classes four through one, the maximum permitted is 15 years in any one class or 22 years total in these classes. For the Senior Foreign Service, maximum time in class permitted is seven years as a counselor, five years as a Minister/Counselor and four years as a Career Minister.

Retirement:

The Foreign Service retirement system is closely linked to the Civil Service system but is somewhat more generous, allowing retirement at age 50 with 20 years of service. Benefits are calculated at two percent of the average of the highest three consecutive years of salary for each year of service up to a maximum of 70 percent. Unused accumulated sick leave is added to service on a one-to-one basis for retirement purposes and is not subject to the 70 percent limitation. Mandatory retirement is at age 65.

III. THE BRITISH FOREIGN SERVICE

Historical Background:

The Foreign Service has a long tradition in Britain: The first permanent English Ambassador was appointed in 1479 (to the Vatican); the Foreign Office was established in 1782; the Foreign Office and Diplomatic Service was created in 1919; and the Diplomatic Service as a distinct service was created in 1943.

Until 1919, the Diplomatic Service was distinct even from the staff of the Foreign Office. It was only in 1943 that the Foreign Office ceased to be part of the Home Civil Service. In that year, the Eden reforms created a combined Foreign Service, entirely separate from the Home Civil Service, to staff both the Foreign Office in London and the Missions overseas, with members of the new service accepting an obligation to serve at home or abroad as required. This concept of a separate comprehensive Service was preserved in the unified Diplomatic Service which was formed in 1965 by the merger of the then Foreign, Commonwealth and Trade Commission Services and the residual staff of the Colonial Office.

Structure:

The most senior position in the British Diplomatic Service is the Permanent Under Secretary of State (PUS) (called Permanent Secretary in other Ministries) of the Foreign and Commonwealth Office (FCO). The PUS is in grade one of the Diplomatic Service scale and is the only diplomat in that grade in London. The Diplomatic Service is limited to ten positions at this level. The other nine are at Class I Missions abroad. The PUS sits on the third rung of the FCO heirachy, having one layer of Ministers of State between him and the Secretary of State for Foreign and Commonwealth Affairs. There are six grade two officers serving in London (in Deputy Under Secretary positions) with the remainder serving as Ambassadors or High Commissioners abroad, and there are approximately 17 grade three officers serving in London in positions at the Assistant Under Secretary level. The Assistant Under Secretaries head the regional and functional bureaus of the FCO. Officers in grade three positions abroad are Ministers at Embassies or senior Consuls General. In a recent change reminiscent of the 1978 U.S. Civil Service Reform Act, the three senior grades have been changed to "five salary points." There are seven more officer grades in the Diplomatic structure, each having its exact equivalent in the Home Civil Service as well.

Entry and Advancement:

A basic requirement for entering the Diplomatic Service is willingness to serve anywhere in the world. In addition, candidates must be a British citizen and at least one parent must have been a Commonwealth or Irish Republic citizen continuously from a date 30 years or more prior to appointment. The final requirement is that the Secretary of State must be satisfied that the applicant is so closely connected with the United Kingdom, taking into account such considerations as upbringing and residence, that he may be appointed. Around 300 persons are recruited each year to fill Diplomatic Service positions in the Foreign and Commonwealth Office in London and at Missions overseas. About half of all DS employees are "locally engaged staff," and the other half are fairly evenly divided between the FCO in London and overseas missions. The FCO has about 6,700 UK-based employees of which about 3,900 are Home Civil Servants and about 2,800 are overseas. There are about 6,900 locally engaged staff overseas.

New entrants to the Diplomatic Service serve a three-year probationary period during which they may be separated at any time for failure to meet standards and after which they may not be separated except for cause. There is no selection out for time in grade or failure to achieve promotion.

Both the Diplomatic Service and the Home Civil Service have two streams which govern entry and advancement. The "high flyers" are those in the administrative stream, with all others being in the executive stream. Additionally, there are the specialists (lawyers, researchers) and the support staff (secretarial, communications, etc.). Entry into the executive stream is as a grade ten clerical officer for high school graduates and as a grade nine executive officer for advanced high school graduates and those with university degrees. Although the two streams have been merged at grade five, there is still a vast difference between the career prospects of persons entering the two different streams. Those entering at the administrative stream start at grade eight or seven, depending on their age and other qualifications. They must be between 20 and 32 years of age and have a first or second class honors degree from a university, or a graduate degree. A high proportion still come from Oxford or Cambridge and have been educated at private schools at the secondary level. About 60 percent are English, and most of the other 40 percent are Scottish. Their work is mainly in the political, economic, commercial and defense fields. Officers entering at this level usually receive "hard" language training after one to two years on-the-job training at the FCO before being posted overseas. Administrative stream recruits can expect

to be promoted to grade six (first secretary) by age 29 and grade four (counselor) at around age 40-42 and should reach at least the grade three level (Assistant Under Secretary/Ambassador) level before retirement.

Selection for the administrative stream is through a two-day series of tests administered by the Civil Service Selection Board and an interview by another Selection Board of the FCO.

The following description by Geoffrey Moorhouse presents one view of the Diplomatic Service and gives a fuller sense of the differences between the two streams:

"They are apprenticed at the very beginning to a profession with a strong sense of rank and hierarchy. This is true of the civil service as a whole, of course, which is infatuated with the grading system that automatically settles all salaries and promotions. It is more emphatically true of the Diplomatic Service, which abounds in a far greater variety of labels than does the Home Service. Some of these are ostensibly no more than job descriptions (like Consul), but in reality tell insiders much more than that about the man who wears them. Give a diplomat a man's age, his grading and his title, and he will offer you an outline of the fellow's education, his experience and his prospects that corresponds very closely to the truth.... An immediately striking thing ... is the existence of civil service class (or, as they now prefer it, stream) distinctions between the administrative and executive officers. They rise upwards in the Diplomatic Service in two distinct channels to start with, the executive usually beginning at the bottom (grade 10), the administrative entrant coming in at the grade 8. At the very bottom, at an approximately equal level, are the security guards, the communications officers and the secretaries. The guards are generally ex-servicemen from the sergeants' mess, picked for muscle power and solid reliability to protect the diplomats and keep unwanted visitors out of embassies. The executive class is a distinct cut above this level, but it is also inferior in many ways to the administrative class. When a young man joins the Diplomatic Service as an executive officer, he is usually equipped with nothing more than O or A-levels, though men with degrees occasionally start as grade 9 executives. Whatever his educational background, the grade 10 entrant invariably begins work either in the FCO bagroom or else as a registry clerk. In the Diplomatic Service a grade 10 man is liable to stay at grade 10 for a full decade at least, with another ten years after that before he would expect to rise out of grade 9. In practice, no executive has yet been known to rise higher than grade 3, and only two have become heads of missions. Executive entrants can be found working at almost all the jobs allotted to administrative men of comparable grades ... but are much more likely to

spend most of their time in administration proper, or in commercial, immigration and consular work. Not only does the administrative entrant start off a couple of grades higher than most executives, but he joins the Diplomatic Service in the knowledge that he should at the very least achieve grade 4 before he retires, while the brightest and the best of the new recruits are marked from the beginning as men who should become Assistant Under Secretaries and fortified as well by his Queen's Commission--a credential given to diplomats alone, which other civil servants do without--he may make his way up the relatively secure ladder of his profession."[8]

Following the report of a government committee of inquiry headed by Lord Fulton in 1968, the Civil Service College and the Civil Service Department were set up. The top three administraive grades were merged in the open structure. The previous three administrative, executive and clerical classes were brought together in a single administration group, but, in practice, the basic character of the civil service changed little in the next decade. Oxbridge-educated generalists continue to dominate the civil service, and the very top posts continue to be the preserve of those who have made their careers wholly within the administrative stream.[9]

Executive-level entrants (grade nine) must be under age 45. Those who join as recent university graduates can expect to be promoted to grade seven (second secretary) in their early 30s and will have a good chance of reaching grade four (counselor) before retiring. The executive grades comprise some 1,750 who fill the majority of the lower and middle management posts in the Diplomatic Service (grades four to nine). They provide most of the staff for the commercial, information, consular, immigration, administration and aid positions in the FCO in London and at missions overseas, but they also do political work.

There are two methods of entry at grade nine. The main one is an annual competition given in the fall, but a small number of high school graduates are taken in each summer. The first step in the selection process involves a review of the application form, which is followed by a half-day of tests for those passing the initial screening. Those passing these tests are called for an interview and a language aptitude test. In 1984, twenty were selected from the 2,783 applying. Although the minimum requirement is high school graduation, most successful candidates nowadays have university degrees.

During the first two or three years a grade nine recruit will normally have at least two different jobs in London; one could be in a functional department dealing with immigration, staffing or housing, and the other might be in a political department as a

desk officer dealing with one or more countries. After this initial period, the executive stream officer is posted abroad, following any necessary language or job-related training, usually working in consular, administration or commercial, but possibly also in political or economic reporting. Executive stream officers spend a great deal more time at the junior level than their counterparts in the administrative stream. A typical 22 year-old university graduate entering the executive grade as a nine and who has average to good performance reports could hope to reach grade seven by age 30, grade six by 38 and grade five around 46, at which stage he might be a Consul, head of a commercial or information section, or in charge of administration at a fairly large embassy. Recruiters look for executive stream candidates who appear to have the potential to reach at least grade five and a reasonable chance of going on to grade four (as a Counselor, Consul General, head of a department in London or Ambassador to a small country). Those officers who do particularly well on the job can earn accelerated promotion within the Executive grades, while a few outstanding achievers may "bridge" over to the administrative streams by means of a special examination which is limited to members of the Service.

Officers entering the executive grades at the grade ten level must be over 17 years old and under 20 on the first of January of the year in which they apply. The minimum requirements are high school graduation with grades of C or better in five tests, including English language, mathematics and a foreign language. Selection is by interviews conducted by the Civil Service Commission twice a year.

Grade ten officers, as the title implies, perform a range of clerical duties. They spend their first two or three years in London and must be at least age 20 before being posted overseas. The grade ten's first job abroad would involve filing, telegraphic and pouch duties. After gaining experience, the grade ten oficer would have opportunities to do administrative, budget or consular work. An average grade ten officer who joins the Service at age 18 or 19 can expect to reach grade six by the end of his career when he would be a Consul, head of a commercial or information section or officer in charge of administration at a fairly large Embassy. An exceptional officer would probably go to grade five (first secretary) with a chance of ending up at grade four (counselor) if he had qualified for accelerated promotion.

In general, members of the Diplomatic Service can expect to spend about two-thirds of their career abroad. Postings range from two to four years, depending on the country. Each year officers indicate where they would like to serve next,. and the Personnel Department takes their preferences into account when making

assignments, but there is no guarantee that an officer will be sent to the post or area of his choice. The Personnel Department's stated aim is to give everybody a varied and balanced career.

Training:

All new entrants into the Diplomatic Service are given short introductory training courses before starting work in a department of the Foreign and Commonwealth Office, but the major training is of the on-the-job type. After one year, new entrants to the administrative class are normally given "hard" language training at the Diplomatic Service School unless they are immediately posted abroad. In addition, other languages are taught at home or abroad as necessary. After five or six years in the service, many officers attend an economics course at the Civil Service College. Each year a number of executive class entrants are also selected for "hard" language training after having served abroad. The Diplomatic Service also provides functional training in commercial, consular, administration and information. Officers in mid-career have an opportunity to attend courses at academic or business institutions and the Civil Service College. There is a mid-level course of six months' duration for executive grade officers in their mid-30s to 40 for broadening for policy positions. There are also secondments to industry and courses offered of drafting, public speaking and appearing on television. Senior officers are eligible for assignment to the Royal College of Defense Studies and the National Defense College, the Canadian Defense College, the NATO Defense College and a program at Harvard University.

Pay:

Salaries for members of the Diplomatic Service are adjusted annually based on collective bargaining. Until Mrs. Thatcher, pay rates were set by a Pay Board based on comparability with the private sector, but this Board for the public sector employees was abolished in 1980. There is still a Pay Board for the uniformed services, whose pay-- according to my informants in the foreign service--is running well ahead of the public sector and somewhat ahead of the private sector, while pay for the public service--including the diplomatic service-- is keeping up with inflation but running behind industry. After Mrs. Thatcher came to power, her government abolished the Civil Service Department and set up a review panel on civil service pay headed by a senior judge. After hearing a great deal of testimony, the panel concluded that more weight should be given to market forces in determining civil service pay levels; that independent management consultants should collect and analyze the data required; that in making comparisons with the private sector firms, more weight

should be given smaller firms (which generally pay less well than large ones); and that in all but the top grades pay should be related to performance. It is significant that the panel recommended exclusion of the senior levels from performance pay on the basis that standards were impossible to set for the senior grades.

Performance Evaluation:

A report on each officer's performance is prepared each year by the officer's immediate supervisor and is reviewed and countersigned by the rating officer's supervisor. The reviewer does not append his own evaluation of the officer's performance but is responsible for discussing with the rated officer his performance. The reviewing officer does not give the rated officer a copy of the report or allow him to see the report, but informs him of his prospects for promotion and career advancement, i.e., his likely career ceiling.

Retirement:

The Diplomatic Service retirement system is identical to that of the Home Civil Service. Retirement is at age 60 with an annual pension of 1/80th of an officer's best salary over the last three years of service multiplied by the length of service (subject to a maximum of 40/80ths at the age of 60 and 45/80ths at the age of 65). No one may remain in the Service past age 65 without the Prime Minister's approval. Upon retirement, an officer also receives a lump sum of three times his annual annuity. There are provisions for persons who leave the service to transfer their accrued pension benefits to any of a very large number of other pension schemes or, if the person has more than five years of service, his pension rights can be preserved in the civil service scheme with adjustments for the cost of living, and at the age of 60 he can begin receiving benefits. For those with between two and five years' service, a lump sum payment is made if pension benefits are not transferred. The pension scheme is noncontributory, and pay is supposedly adjusted to take this fact into account, although men contribute one and one-half percent of salary to provide for a pension of one-half their own pension for their widows. Pensions are increased annually in step with increases in the cost of living.

IV. THE CANADIAN FOREIGN SERVICE

Historical Background:

Canada's is the youngest of the three foreign services studied. Parliament authorized creation of the Department of External Affairs in May 1909, but at the end of the First World War, the Department employed only seven or eight people in Ottawa and had no diplomatic representatives abroad. In 1919 Canada signed the Peace Treat of Versailles as a separate entity of the British family of nations, marking the beginning of its evolving autonomy in international affairs. The growth of Canada's responsibilities abroad and its expanding interests in international affairs could no longer conveniently be handled by the British foreign service. In 1923, by authorizing a Cabinet Minister to sign the Halibut Fisheries Treaty in Washington, Canada for the first time asserted its right to negotiate and sign its own treaties. In 1925, an officer was stationed in Geneva to represent Canada at international conferences and to monitor the activities of the League of Nations and the International Labor Office. Canadian legations were opened in Washington in 1927, in Paris in 1928, in Tokyo in 1929 and in Belgium and the Netherlands in 1939. After Canada's (separate) declaration of war in September 1939, high commissioners were sent to Australia, New Zealand, South Africa and Ireland, and in 1942, ministers were appointed to the USSR, China, to a number of allied governments then located in London or Cairo and to several missions in Latin America. After the war, diplomatic relations were expanded, and Canada joined the general trend towards elevating its legations to the status of embassies. Canadian consulates were opened in New York in 1943, in Caracas in 1946, in Sao Paulo and Chicago in 1947 and in many other cities since. As of 1984, Canada had embassies in 63 countries and high commissioners in 19 commonwealth countries, consulates in 27 cities and 12 missions to international organizations. Multiple accreditation enables Canada to have relations with 167 countries.

Structure:

The act of Parliament which established the Department of External Affairs in 1909 placed it under the Secretary of State. The senior permanent official, the Under Secretary of State for External Affairs, is supported by two deputy ministers who are responsible for international trade and political affairs. Under these three senior officers are 12 Assistant Deputy Ministers heading the geographic and functional branches of the department. Within each branch are two or

more bureaus headed by a Director General, and within each bureau are two or more divisions, each headed by a Director. The senior decision-making body is the Executive Committee consisting of the Under Secretary, who serves as chairman, the two Deputy Ministers and the 12 Assistant Deputy Ministers who head the geographic and functional branches.

The Department has about 2,500 employees in Ottawa and about 1,700 Canadians and 3,500 non-Canadians employed at its 177 posts in 82 countries abroad. There is a very distinct differentiation between the senior grades and other grades in that the non-senior grades are covered by union contracts with salaries being negotiated annually. Until early 1985, there was a six-grade structure being used, including a trainee grade. A new system was introduced in January 1985 changing the top three grades FS-3 to FS-5 to five executive levels (EX-1 to EX-5).

In the early 1960s, a ten-grade system was developed (FS-1 to FS-10) covering foreign service officer positions from the entry level (trainee) to the Assistant Deputy Minister level (other than the Under Secretary, the most senior career level). In the early 1970s, the system was compressed to a five-level grade structure (FS-1 to FS-5) plus the trainee level (FS-1D). The rationale behind the change was that, by its nature, it is difficult to define such narrow levels of responsibility in foreign service work as was implied by the ten-grade structure. In fact, the five-grade structure (FS-1 and 2 being the working levels and FS-3 to 5 being the executive levels, i.e., directors and above) was not a great success. Because of the limited number of positions classified at the FS-4 and 5 levels, it was essentially a three-grade system for the majority of officers, which denied the perceived recognition flowing from regular promotions through the ten-grade system. Also, the broader salary ranges of the reduced number of grades meant that management had fewer opportunities to reward merit. The current system is something of a hybrid, consisting of three grades (FS-1D to FS-2, the salaries of which are covered by negotiations with the unions) and and the new executive grades EX-1 to EX-5, which match up with the senior executive positions of the rest of the Canadian public service.

Entry, Advancement and Training:

An officer in the Canadian foreign service is usually promoted from FS-1D to FS-1 at the end of one year and could be considered for promotion to FS-2 after another four years. Historically, however, time in grade at the FS-1 level averages six to eight years. Similarly, promotion to FS-3 is possible, but rare, after four years at the FS-2 level.

Typical time in grade at the FS-2 level is in the 12- to 20-year range. Under the new system, FS-3 has been replaced by EX-1 and 2, FS-4 by EX-3 and FS-5 by EX-4 and 5. Examples of Chief of Mission positions under the new system are EX-3 for Lima, EX-4 for Brasilia and EX-5 for Bonn, London, Paris and Washington. The Political Minister in Bonn is an EX-3 and the Economic Minister is an EX-4. FS-1s are usually Third Secretaries, while FS-2s are usually First Secretaries.

Officers assigned abroad usually serve one year at post before being given the title of Third Secretary, eight years before becoming a First Secretary (or on being promoted to FS-2), and another six years before becoming a Counselor (or on promotion to EX-1). For the diplomatic rank of Minister/Counselor or Minister, the specific position held by the officer is determining.

Although the Foreign Service of Canada is distinct from the rest of the public service, the structure is different only in that Foreign Service Officers comprise a recognized occupational group. In Canada, each occupational group is distinct, regardless of agency. Each has its own grade structure and each negotiates its salaries and benefits separately, except for such benefits as retirement. The Foreign Service Officers are, therefore, considered a separate occupational group, with a distinct career. They are recruited through a separate examination which is, however, administered by the same Public Service Commission that administers the examinations for entry into the rest of the public service.

The foreign service examination is given at major universities throughout Canada each fall. For those passing (about 1,000 out of 5,000 applicants last year), the second stage consists of screening of application documents and assignming points for university degrees, work experience, etc., narrowing the field to some 300 who then are called for an oral interview conducted by four foreign service officers and a Public Service Commission officer, who chairs the interview board. Last year, 87 candidates were selected, following the mandatory security and medical clearances. Candidates must also be willing to become bilingual in Canada's two official languages and be willing to accept assignment anywhere in the world.

There are four streams, somewhat similar to the cones in the American foreign service, i.e., political/economic, social affairs, commercial/economic and development assistance. The training varies from one stream to another and is mostly on-the-job. Initial training usually lasts from one to two years. Entry dates for all streams coincide, and the first three weeks are spent attending common briefings. Officers

are then assigned according to stream to External Affairs, to Employment and Immigration, or to the International Development Agency. Many officers of the political/economic and social affairs streams are assigned abroad for several months of temporary duty, and officers in the development assistance stream also travel abroad during their initial training. Trainees from each stream come together at some point during the training for a cross-Canada tour to gain a better understanding of the different regions of Canada.

During the second year of training all officers who do not already qualify as bilingual are given language training and are assigned abroad immediately after being certified as bilingual. Most foreign service officers spend about half of their career outside the country, alternately spending two to four years at a foreign post and two to four years in a headquarters assignment. The political/economic affairs officer's first job usually entails administrative, cultural, information and consular duties as well as political and economic analysis. The social affairs stream concentrate on consular and public information functions as well as administration and the development assistance stream work on aid programs. The commercial/economic stream promote Canadian exports and provide information and assistance to Canadian businessmen.

The Public Service Training Center offers a wide range of courses which are open to members of the foreign Service as well as to civil servants. Foreign service officers are sent to these courses when deemed appropriate by their supervisors and the Department of External Affairs management. Such training opportunities usually involve functional training relating to the job but also include lower, mid-level and executive management courses. Officers are also permitted to take educational leave with full pay up to one year under certain circumstances, and Canadian diplomats participate in the Canadian Defense College as well as the Royal College of Defense Studies and the NATO Defense College in Rome.

Except for foreign service officers, grades and salaries for other foreign service personnel are the same as their counterparts in the civil service. However, they receive the same overseas benefits as FSOs.

Performance Evaluation:

Performance appraisal reports are prepared on all Canadian foreign service personnel annually or whenever there is a change of supervisor. The report is reviewed and countersigned by the rating officer's superior except in cases where that is not possible, in which case the rater serves also as

reviewer, e.g., at consulates where no one is sufficiently aware of the performance of an officer rated by the Consul in charge of the post. Reports must be discussed with the rated officer, who is entitled to a copy of the report and has an opportunity to comment on the report itself. Reports are used for both assignment and promotion decisions. There is no system for separation of employees based on time in grade. Separation may be accomplished only for cause in accordance with civil service rules.

Retirement:

Pension benefits for the foreign service are the same as for other members of the public service. Full annuities are based on a combination of age and years of service with the amount being two percent of highest annual salary averaged over six consecutive years times the number of years of service. Full annuities are payable for persons retiring after reaching age 60 or after 35 years of service regardless of age. Retirement is mandatory at age 65.

V. CONCLUSIONS

Colin Campbell, writing for the Brookings Institution's Conference on the Higher Civil Services of Britain, Canada, France, Germany and the United States notes that, "Students of higher civil services tend, as do many other scholars in government and politics, to look longingly across borders and oceans in the hope that somewhere in the world things work better than at home. Thus, an optimism rarely found in domestic studies often raises expectations about other lands.... Americans tend to hold the highest hopes about the domestic applicability of how things are done by Britons and vice verse.... Theoretically, Canada has borrowed from both systems."[10] Campbell goes on to say that, "Unfortunately, there is little to suggest that Canada has put the best of the two worlds together. In fact, it might have accomplished just the opposite. Canada resolutely clings to the belief that it has a British-style civil service structure.... Although Canadians often assume that their civil service operates more like Britain's than America's, it actually does not even fall between the two systems. A close examination suggests that Canada comprises an aberrant case."[11]

There were a great many similarities among the three Services studied. Management officials at the policy level in each service were well aware of what the other services were doing. Reforms in any of the three services tend to eventually find their way to the other two, although often in quite modified form, since each nation's service is naturally a product of its own history and culture. On the other hand, there were surprisingly sharp differences among the services, often where you would least expect to find them. For example, one might expect the Canadians to have a structure very much like the British because of their long association as a dominion of the United Kingdom or very much like the American system because of proximity and the openness of the two countries' borders to flows of people and ideas, but in many respects the Canadian system is far more different from the American and the British models than these are from each other.

According to Bruce Smith, one objective of the Brookings conference was "to determine if the impression of greater administrative capacity in Europe was warranted and, if so, what could be learned for the American context. I shared the Brookings conference organizers' belief that much could be learned from a careful examination of how the service works in other industrialized nations. This proved to be an elusive goal, and as Smith noted, "from afar, it may appear that European nations have evolved civil service systems that function with less clamor, confusion and jarring discontinuities,

but we cannot claim to have produced any definitive solutions. No ready applications of ideas and practices from other nations were possible.[12] Nevertheless, the experiences of one service often clearly prove useful to the managers of another in terms of conclusions about what should or should not be done in one's own system.

FOOTNOTES

1. Commission on the Organization of the Government for the Conduct of Foreign Policy (Washington: GPO, 1975), p. 21.

2. Martin Mayer, The Diplomats (Garden City, New York: Doubleday, 1983), p. 157.

3. Tracy Hollingsworth Lay, The Foreign Service of the United States (New York: Prentice-Hall, 1925), p. 71.

4. Ibid., p.4.

5. William Barnes and John Heath Morgan, The Foreign Service of the United States - Origins, Development, and Functions (Washington: Department of State, 1961), p. 147.

6. Ibid., p. 145.

7. Lay, p. 255.

8. Geoffrey Moorhouse, The Diplomats - The Foreign Office Today (London: Anchor Press, 1977), pp.84-89 passim.

9. William Plowden, "The Higher Civil Service of Britain" in The Higher Civil Service in Europe and Canada - Lessons for the United States, ed. Bruce L.R. Smith (Washington: Brookings, 1983), p. 30.

10. Colin Campbell, "The Higher Civil Service of Canada" in The Higher Civil Service and Europe and Canada - Lessons for the United States, ed. Bruce L.R. Smith (Washington: Brookings, 1983), p. 53.

11. Ibid., p. 48.

12. Bruce L.R. Smith, "The Higher Civil Service in Comparative Perspective" in The Higher Civil Service in Europe and Canada - Lessons for the United States, ed. Bruce L.R. Smith (Washington: Brookings, 1983), p. 2.

SOURCES CONSULTED

Bacchus, William I. Inside the Legislative Process - Passage of the Foreign Service Act of 1980. Boulder, Colorado: Westview Press. 1984.

Barnes, William and Morgan, John Heath. The Foreign Service of the United States - Origins, Development and Functions. Washington: Department of State.

Brown, Ronald G.S. and Steel, D.R. The Administrative Process in Britain. London: Methuen and Co. 1971.

Chapman, Richard A. The Higher Civil Service in Britain. London: Constable and Co. 1970.

Hodgetts, John Edwin. The Canadian Public Service - A Physiology of Government, 1867-1970. Toronto: University of Toronto Press. 1973.

Lay, Tracy Hollingsworth. The Foreign Service of the United States. New York: Prentice-Hall. 1925.

Mayer, Martin. The Diplomats. Garden City, New York: Doubleday. 1983.

Moorhouse, Geoffrey. The Diplomats - The Foreign Office Today. London: Anchor Press. 1977.

Smith, Bruce L.R., ed. The Higher Civil Service in Europe and Canada - Lessons for the United States. Washington: Brookings. 1983.

Steiner, Zara S. The State Department and the Foreign Service - The Wriston Report--Four Years Later. Princeton University Press. 1958.

Warwick, Donald P. A Theory of Public Bureaucracy - Politics, Personality, and Organization in the State Department. Cambridge, Massachusetts: Harvard University Press. 1975.

PERSONAL INTERVIEWS

Bacchus, William I. Director, Policy and Coordination Staff, Department of State, Washington, D. C.

Brown, Wallace. Personnel Officer, Embassy of Canada, Washington, D.C.

Burger, Anthony. Counselor, Embassy of Canada, Washington, D.C.

Clarke, Allison. Chief, Structure and Manpower Planning Division, Foreign and Commonwealth Office, London.

Fuller, Simon. Deputy Head, Personnel Operations Department, Foreign and Commonwealth Officer, London.

Gershenson, Robert S. Consultant, Hay Associates, Washington, D.C. (Formerly Deputy Assistant Secretary of State for Personnel)

Kerr, John. Counselor and Head of Chancery, Embassy of Great Britain, Washington, D.C.

Le Page, Lionel. Counselor, Embassy of Canada, Washington, D.C.

Lysyshyn, Ralph. Counselor, Embassy of Canada, Washington, D.C.

Morris, Desmond. Counselor, Embassy of Great Britain, Washington, D.C.

Russell, Lawrence. Counselor, Embassy of the United States of America, London

Schumacher, Brian. Director, Regional Development, Department of External Affairs, Ottawa.

Wiggins, Frontis B. Director, Office of Recruitment, Examination and Employment, Bureau of Personnel, Department of State, Washington, D.C.