

aim: answer to question:

"WHO IS AUTHORIZED TO USE WHAT MEANS TO AFFECT WHAT BEHAVIOR OF WHOM?"

unit: is the "program" as used in the Federal Budget

1-Because programs vary greatly in scope, the identification number of the program is the simplest indicator.

2-The I.D. # should be written on the top line of the right hand side of the page.

1. THE ACTOR:

notes:

- (1) includes basic information about the "who" as outlined below and as completely as possible.
- (2) note further information considered relevant but not included in the schedule
- (3) if the program has no allotments or expenditures in 1968:
 - a) use the below schedule to fill in as much information as possible from the blurb and the expenditures in earlier years
 - b) note the year of the last expenditures
 - c) place a red asterisk on the top right hand corner of the page for identification purposes
 - d) *importance of such programs to assests in later years held by the program of agency and to possible alterations of the monetary value
- (4) same procedure applies for programs which are simply reimbursements from other agency programs
 - a) note in addition the amounts of money received from each Dept. or agency as indicated

A. NAME OF PROGRAM:

- (1) may be an official title of purpose or simply # "salaries and expenses" or "construction" etc.
- (2) check the I.D. numbers carefully to avoid confusion

B. NAME OF MIDDLE LEVEL AGENCY DOING THE PROGRAM:

- (1) indicated in the Budget by capital letters which may be in bold or light type
- (2) if there is the possibility of choice, list all, indicating them by number in terms of generality (no. 1 being the most general) if possible
- (3) decisions then can be made on the basis of other sources

C. NAME OF TOP-LEVEL AGENCY DOING THE PROGRAM:

- (1) this is the Dept. under which the program is found and can be noted on the very top of that page in the Budget
- (2) in the case of independent agencies, the name of the particular agency will be used

D. NUMBER OF PERSONNEL EMPLOYED ON THE PROGRAM:

- (1) the Budget does not give a straightforward answer in the Personnel Summary (found at the end of the program)
- (2) hence for the year 1968 give the following information:
 - a) total number of permanent full-time positions
 - b) total number of full-time equivalent positions
 - c) average number of all employees
- (3) this will give us some indication until more precise information is obtained from other sources

E. NUMBER OF GRADE GS14 AND ABOVE EMPLOYED ON PROGRAM:

- (1) this information is also not given in the Budget
- (2) use the average grade for 1968 found in the Personnel Summary

F. DATE OF INITIATION OF PROGRAM:

- (1) found in the initial blurb which is in italics
- (2) list date and name of Act, if given (for purposes of later verification)
- (3) if more than one act is listed or if the act is amended,
 - a) list the acts and amendments
 - b) often the crucial act is indicated in the first paragraph of the program description written in regular type
 - c) without knowledge of the specific legislation it may be difficult to tell which act is crucial to the scope (authority) or appropriation of funds
 - d) knowing the specific legislation will aid research from other sources
- (4) for independent agencies of short duration--ie a commission to review a given problem in a given time period--note the conclusion date as well
- (5) if no act is specifically mentioned, check to see if there is a broad departmental appropriations act and use this, indicating it in brackets

G. LOCATION OF PERSONNEL OF PROGRAM:

- (1) usually not indicated in the Budget
- (2) if indicated, usually as an activity
 - a) list the area(s) and activity
 - b) check the Object Classification for clues
- (3) other references will have to be used to check for the presence or not of program personnel
- (4) any such information may help to locate geographically at least one category of subjects

H. ASSETS POSSESSED, DOLLAR VALUE, 1968:

- (1) if given, usually under Statement of Financial Condition
- (2) note the total and the breakdown into categories and the respective amounts

I. TOTAL SPENDING FULL YEAR 1967:

- (1) note and recheck the change in year--1967
- (2) note if estimate or the actual amount
- (3) the program may be taking in money from Federal and/or non-Federal sources which may offset the total expenditures
 - a) list the total amount
 - b) list the offsetting amount
 - c) indicate the sources of money as specifically as possible and match to the breakdown

11. MEANS:**notes:**

- (1) generally, the means employed to gain its objective the means by which the program affects the subject
- (2) each mean must be matched with a subject, indicated in 111
- (3) a program may have more than one means
 - a) indicate the mean or means which appear to be primary and give the amount spent if possible
 - b) list as many means as considered relevant
 - c) describe in a sentence or so any specific information to clarify both subject and means and the nature of their relationship

A. POSSESSION, GUARDING, MANAGING ASSETS (AND % PERSONNEL SO ENGAGED):

- (1) the % is never directly indicated in the Budget
- (2) this is most apparent when the major activity is the administration for a particular program or its agency, and most of the money under the Object Classification is listed for this function
- (3) note the amount of money spent if possible and by specific categories

B. BUYING (AND % PERSONNEL SO ENGAGED):

- (1) in regard to the acquisition of goods already manufactured as opposed to contract and paying (see below)

C. PROMULGATING RULES (AND % PERSONNEL SO ENGAGED):

- (1) as in A and B, % personnel is rarely indicated in the Budget
- (2) making known rules to general categories of the population
- (3) ie: to all small business owners

D. GIVING ORDERS TO INDIVIDUALS, COMPANIES, GROUPS:

- (1) includes licensing
- (2) to more specific, sub-categories of the population
- (3) ie to all small business owners of grocery stores

E. SUBSIDIZING:

- (1) payment for a proportion of the services or goods

F. CONTRACTING:

- (1) payment for the total cost for the manufacture of specific goods or facilities

G. BUILDING, CONSTRUCTION, IMPROVEMENTS, MAINTENANCE (OTHER THAN THROUGH CONTRACT):

- (1) note which of the above applies
- (2) distinguished from (F) by being done by the agency's own hired personnel

H. LENDING:

- (1) when specifically noted that it will be repaid
- (2) be as precise as possible in identifying the matching subject

I. PAYING:

- (1) cost for services (as opposed to cost for goods, above)

J. INFORMING, EDUCATION:

- (1) making available information by printed materials
- (2) teaching and training activities

K. HEARING, TRYING, SANCTIONING:

- (1) specify which activity
- (2) the enforcement of rules
- (3) the procedures involved in determining if the act has been committed

L. INVESTIGATION (INCLUDE STUDYING, RESEARCHING):

- (1) more general than (k) above
- (2) focusing on the particular problem(s) rather than the act

M. INSPECTION:

- (1) checking or testing of goods against established standards

N.SELLING:

- (1)give property to another for money

P.DONATION:

- (1)give property to another as a gift

III.SUBJECT OF OPERATIONS:

- notes: (1)following information in regard to each subject should be noted when available:
- a)function of the subject group
 - b)social situation of the subject
 - c)size
 - d)geographical location
 - e)amount of programs expenses spent on this particular subject
- (2)each of the means is matched with its object or subject
- (3)the subject may be 1-Primary : first group acted upon
 2-Secondary:group acted upon by the first
 etc.
- in such a case indicate:
- a)which level of subjects you are referring to
 - b)what means the primary group is using on the secondary
- (3)more than one subject category may be indicated for one means without information as to possible ordering:
- a)repeat the same means for each of the subjects
 - b)indicate this in the description and by grouping
 (ie-do not skip lines) the repeating means
 together

1.PROGRAM INTERNAL:

- (1)within the confines of the program itself as indicated
 in the Budget

2.AGENCY INTERNAL:

- (1)within the confines of the program itself as indicated
 in the Budget

3.OTHER GOVERNMENT AGENCY:

- (1)another agency within the Department or in another Dept.
- (2)note the name and Dept's name

4.STATE:

- (1)names if not all 50 (and indicate if is all 50)

5.LOCAL:

- (1)city or county government

6.COMPANIED:

- (1)group of persons for carrying on a commercial or
 industrial enterprise

7.NON-PROFIT GROUPS:

- (1)groups of persons for carrying on an enterprise with
 no regard for profit
- (2)indicate the general attribute

8.INDIVIDUALS:

- (1)group of persons unorganized
- (2)indicate what attribute distinguishes them as a group

IV. EFFECTS UPON SUBJECTS:

- notes: (1) the means used affect the subjects with respect to one or more of the following values
- (2) if there are to any one means and subject more than one affect:
- a) list them in order of importance or of sequence
 - b) repeating the means and subject each time
 - c) group them in the same way as above
- (3) the values are based upon Lasswell and Kaplan,
Power and Society

A. HEALTH:

- (1) well being and safety of the organism

B. KNOWLEDGE:

- (1) insight, information concerning personal and cultural relations

C. AFFECTION:

- (1) values of love and friendship

D. MORALITY:

- (1) or rectitude--virtue, goodness, righteousness

E. POWER:

- (1) is participation in the making of decisions
- (2) ie: Z has power over Y if Z participates in the making of decisions affecting policies concerning Y

F. RESPECT:

- (1) status, honor, recognition, prestige

G. SKILL:

- (1) proficiency in any practice whatever

H. WEALTH:

- (1) income
- (2) services of goods and persons accruing to the individual in any way whatsoever

V. IN RELATION TO: (THE SUBJECT IS AFFECTED IN RELATION TO....)

1. MEMBERS OF THE SAME CATEGORY OF SUBJECTS
2. MEMBERS OF THE GOVERNMENT PROGRAM UNDER ANALYSIS
3. MEMBERS OF OTHER GROUPS OF THE SAME TYPE
4. MEMBERS OF OTHER GROUPS WITHIN THE INTERACTING GROUP SYSTEM AS A WHOLE
 - (1) ie, money to help unions as opposed to business
5. THE POPULATION AS A WHOLE
 - (1) will rarely be used

VI. IN THE FOLLOWING WAY:

- notes: (1) individual as used here implies the individual subject and not the person unless the subject is the individual
- (2) although there are 27 possible combinations, the individual subject is usually gaining something and hence 9 possibilities will be used most frequently
- **the Internal Revenue Service programs will require careful definition in this regard

(3)the signs are used in the following manner:

- a) (+) gains in that particular value
- b) (-) loses "
- c) (0) remains the same "

(4)use the numbers indicated and in the following order

The INDIVIDUAL IS: 1.(+) 2.(-) 3.(0)

the GROUP IS : 4.(+) 5.(-) 6.(0)

EQUALIZATION WITH CATEGORY OF SUBJECTS: 7.(+) 8.(-) 9.(0)

(5)the 27 possible combinations are as follows:

1-4-7	2-4-7	3-4-7
1-4-8	2-4-8	3-4-8
1-4-9	2-4-9	3-4-9

1-5-7	2-5-7	3-5-7
1-5-8	2-5-8	3-5-8
1-5-9	2-5-9	3-5-9

1-6-7	2-6-7	3-6-7
1-6-8	2-6-8	3-6-8
1-6-9	2-6-9	3-6-9

ACTOR: A. name of program
 B. name of middle level agency doing program
 C. name of top-level agency doing program
 D. number of personnel employed on program in 1968 (or most recent year)
 E. number of Grade GS 14 and above employed on program in 1968
 F. date of initiation of program
 G. location of personnel of program
 H. assets possessed, dollar value in '68 (include land, equipment, buildings)
 I. Total spending of program 1967 FY

MEANS:

(number before letter indicates if means is primary (1), secondary (2), tertiary (3), etc.)

1A, 2A, 3A, etc. : Possession, guarding, managing assets (and % personnel)
 1B, : Buying (and % personnel)
 1C, : Promulgating rules (and % personnel)
 1D, : Giving orders to individuals, companies, groups
 1E, : Subsidizing, Granting, & Free Welfare
 1F, : Contracting
 1G, : Building, Construction, Improvements, Maintenance (other than thru contract)
 1H, : Lending
 1I, : Paying
 1J, : Informing, Educating, Publicizing
 1K, : Hearing, Trying, Sanctioning
 1L, : Studying, Researching
 1M, : Inspection and Investigation
 1N, : Selling
 1P, : Borrowing
 1Q, : Organizing

Handwritten notes:
 General
 I. Coercing
 II. Persuading
 III. Coercing
 (incl. organizing)
 III IR Coercing
 IV IS Coercing
 I IT Persuading

SUBJECT OF OPERATIONS:

(first digit indicates if the subject is primary, in the same manner as above)

11, 21, 31, etc : Program Internal
 12, 22, 32, : Agency Internal
 13, : Other Government Agency
 14, : State
 15, : Local
 16, : Company
 17, : Non-Profit Group (and note type)
 18, : Individuals

EFFECTS (ON SUBJECTS):

(number before letter indicates same as above)

1A, 2A, 3A, etc: Health
 1B, : Knowledge
 1C, : Affection
 1D, : Morality
 1E, : Power
 1F, : Respect
 1G, : Skill
 1H, : Wealth

IN RELATION TO:

(first digit indicates if the subject is primary, etc. in the above manner)

11, 21, 31, etc : members of the same category of subjects
 12, : members of the government program under analysis
 13, : members of other groups of the same type
 14, : members of other groups within the interacting group system of the subject group
 15, : the population as a whole (will rarely be used)

IN THE FOLLOWING WAY:

the individual is: 1.(+) 2.(-) 3.(0)

the group is : 4.(+) 5.(-) 6.(0)

equalization within the category: 7.(+) 8.(-) 9.(0)

the consequent 27 possible combinations are coded as following with the first digit of the 3 three being the indicator for primary(1), secondary(2), etc. as above

CODE		CODE		CODE	
101, 201, 301	=1-4-7	110, 210, 310	=2-4-7	119, 219, 319	=3-4-7
102, 202, 302	=1-4-8	111, 211, 311	=2-4-8	120, 220, 320	=3-4-8
103,	=1-4-9	112,	=2-4-9	121,	=3-4-9
104,	=1-5-7	113,	=2-5-7	122,	=3-5-7
105,	=1-5-8	114,	=2-5-8	123,	=3-5-8
106,	=1-5-9	115,	=2-5-9	124,	=3-5-9
107,	=1-6-7	116,	=2-6-7	125,	=3-6-7
108,	=1-6-8	117,	=2-6-8	126,	=3-6-8
109,	=1-6-9	118,	=2-6-9	127,	=3-6-9

Master

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A DYNAMIC SYSTEM FOR
THE CLASSIFICATION AND ANALYSIS OF NATIONAL GOVERNMENT ACTIVITY
WITH THE OBJECTIVE OF DECISION-MAKING

Current Interest in the Problem

The Historical Controversy

Government Activity in Past Ages: Primitive Peoples
Classical Cities
Classical Empires
Feudalities
American Colonial
Laissez-faire to 1900
From 1900 to Present

Cf. the rest of the world

The Controversy over the Government's Role
Propositions from the Historical Controversy

China

*Govt activity
did not
catch up
with the
expanding
industry
for a
century.*

The Definition of Activity

The Classification of Activity

What is classification?

Begin with the U.S. Budget itself: Uses (How it came
about; why some Congressmen like it) and
Deficiencies

Woodrow Wilson

Chatters-Hoover

C. Woody

S. Fabricant

Alfred de Grazia - Ted Gurr

A New System of Classification

Specifications for the new system

Opening up of new technical possibilities

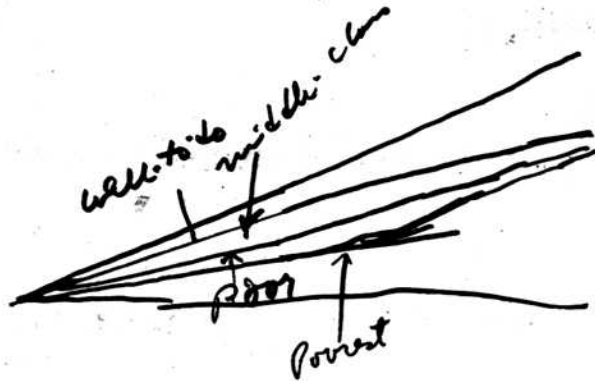
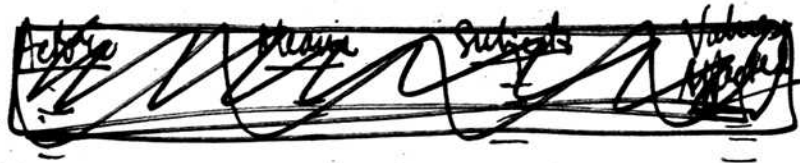
Structure of the new system

Elements of the Classification System

1. Action - Component Analysis
2. Actors (Personnel) and Agencies
 - Program as partial unit
3. Means of Influencing Society
 - 15 categories
 - Discussion
4. The Affected Population
 - Grouping
5. Goals of Activity (Value Systems)
 - Intended change of value
 - position of groupings
6. Secondary, Tertiary and Further
Subdivisions of Activity

TABLES

- I. Agency list and
Program Names
- II. Rank Order of Means
- III. Rank Order of Groups
Affected
- IV. Rank Order of Values
Affected and Chart
of the intended
changes in them.
- V. Prevalence of second-
ary etc., Intended
Effects



- Outline of Book - Wealth
1. The Increasing Poverty of the American people.
 2. The Bureaucratic Society
 3. Bigness & Poorness
 4. ^{the} Active Government (an inventory)
 5. The means of Power
 6. The Results
 7. Goals
 8. Reforms

Classification and Analysis of National Government Activity(cont'd)

Indexing of Unique Descriptors of the Activity

The universe of activity

Precis of the activity

Indexing of all precis by keywords

- potential size of dictionary

VI. Precis Keyword

Index of 50

Govt'l Programs

Combining of precis and component indexes

- one item Print-out

VII. Means of Influ-
encing used in 50
Programs

The Effects of Activities

Problem

Present methods of ascertaining effects

-reports } resolve into: reputation

-hearings } hearsay

rhetoric (PR)

statistics

special studies

Effects { A. Within system of the activity

{ B. Over the entire societal system

Other approaches helpful (sample surveys)

Classification, specification, and indexing lead to

but are not of the essence of effectiveness

study. Many methods of effectiveness study.

Intent here is to set up proper categories for
inventorying and comparison.

Uses of the Classification System

Applications of Component Analysis

Applications of Precis analysis

TABLES VIII-XVII

Conclusions