SECRET

INSPECTOR GENERAL'S

SURVEY

OF

ENTRANCE ON DUTY AND EXIT PROCESSING

MAY 1966

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TABLE OF CONTENTS

I. INTRODUCTION

This survey is one of several surveys of functions, rather than of components, conducted by the Inspector General in response to a request from the former Deputy Director for Support. In his request the DDS suggested that an overall look at entrance on duty and exit processing would be helpful. In the past, the I.G. has conducted surveys of individual components involved in EOD and exiting procedures, but this is the first functional survey. Some of the earlier surveys were the 1964 survey of the Office of Personnel, the 1963 survey of personnel security and the 1962 survey of the Agency's responsibility to female employees.

The objective of this survey is to determine if the new employee, both clerical and professional, is well received on entering the Agency and receives adequate personnel, security and Agency orientation; if the exiting employee is also well-handled; if pertinent regulations are adequate and are being followed; and finally to determine if the process is efficient.

We have considered the EOD process to consist of the formal processing which begins with the employee's first day in the Agency, and the briefings and orientation which he receives during his first few months in the Agency. We also briefly looked at invitee interviews and some other aspects of pre-EOD procedures and, where appropriate to this survey, have commented on these procedures.

In conducting the exiting survey we took as a point of departure the time in an employee's career when he decides to resign or retire or when he has to leave involuntarily. We then followed the various steps in the process leading to his final separation. Additionally, we examined the problem of attrition of professional personnel.

Involved in the processing of new and exiting employees are the Offices of Personnel, Security, Training, Medical Services and the employee's home component. During our survey we interviewed 70 key officials in these offices and interviewed 30 employees in grades GS-05 to GS-15 who were either EODing or exiting. We also sampled many of the briefings and movies to which the new employee is exposed, and participated in exit interviews.

A reorganization of the Office of Personnel, approved by the DDCI during this survey, has not materially affected our recommendations.

II. ENTRANCE ON DUTY PROCESSING

A. General Considerations

The new professional employee, during his first two weeks in the Agency, is exposed to about 16 hours of indoctrination broken down as follows:

First Monday	AM	Briefing by Office of Personnel	3 hrs.
First Tuesday	AM	Insurance Briefing	4 hrs.
Second Monday	AM	Security Indoctrination by Office of Security	3 hrs.
Second Monday	PM	CIA Introduction by Office of Training	3 hrs.
Second Friday	PM	Security Movies and Review by Office of Security	3 hrs.

New clerical employees participate in these briefings with the professional employees except on the first Monday and Tuesday when the clericals receive their security and personnel orientation in the Clerical Assignment Branch. Clerical employees also receive a one and a half hour review lecture on the organization of CIA and a one hour security review presented by the Clerical Training Faculty.

Radio operators for the Office of Communications receive the same orientation as other professionals, but it is more concentrated and some of the briefings are given at [redacted] 25X1

The indoctrination program is spelled out in [redacted] However, 25X1
our survey indicated that because of a lack of coordination among the

offices of the Agency concerned with the briefing of new employees, there is no mechanism to ensure that all employees receive all of the orientation briefings. For example, instructors from the Office of Training do not know the names of the individuals they brief nor do they know how many people they are supposed to brief. At two of the orientation sessions we attended, conducted by the Office of Security and the Office of Training, several new employees arrived late, some as much as an hour after the briefings had started.

We view as a more serious situation the failure of a significant number of new employees to take the Introduction to Intelligence and Introduction to Communism courses. [redacted] states that after complet- 25X1
ing their initial indoctrination, professional employees are required to take these courses. But the Office of Training found in a study made at our request that the response to this regulation varies considerably according to the employee's component. Some components, such as the Office of Security, Records Integration Division, the Office of Current Intelligence, and the Career Training Program, have traditionally made a sincere effort to comply with the regulation while the record of other components, such as the Office of Medical Services, the DD/S&T area and Finance, has not always been satisfactory.

At first sight, it appears to be the intent of [redacted] to place 25X1
the responsibility on the Director of Personnel for ensuring that new employees take these training courses and briefings. "The Director of

Personnel shall schedule all new professional and clerical personnel, except those professional personnel. . .exempted. . ., in the appropriate EOD training program;". The regulation also describes enrollment procedures to be carried out by the Office of Personnel. In mid-1965, however, the Office of Personnel, which felt it had not been entirely successful in scheduling new employees to take these courses once the employees were assigned to their parent component, reached an informal agreement with the Office of Training for the Registrar to enroll new employees using his contacts with training officers in the employees' home offices.

This informal arrangement has been only slightly more satisfactory than the previous method. One reason for this is that [redacted] divides 25X1
the responsibility for scheduling and conducting the EOD training program among the Office of Personnel, the Office of Training and senior command-line officials. The same paragraph that instructs the Director of Personnel to schedule new employees to take these courses also instructs the Director of Training to "Report periodically to the Executive Director-Comptroller, Deputy Directors and heads of independent offices on compliance with the intent of the paragraph." The Office of Training as of January 1966 had not prepared such a report.

Based on the sizeable number of new employees not taking the Intelligence Orientation and Introduction to Communism courses, it
25X1 appears that [redacted] which permits the deputy directors to exempt

professional personnel from taking these courses, is abused. The Office of Training, for example, does not receive requests for exemptions from the home offices of the employees who do not take the Intelligence Orientation and Introduction to Communism courses. Additionally, the Office of Communications has an unofficial blanket exemption for its communicators. This waiver was apparently reached several years ago between previous Directors of Communications and Training, but neither the Office of Communications, the Office of Personnel nor the Office of Training has been able to locate a copy of the original waiver. The main reasons for this exemption are that new Communications personnel usually go overseas shortly after finishing their specialized training and that, as technicians, they do not need these courses. While we are sympathetic to this position, our feeling is that this waiver should not be considered to be in perpetuity but should be subject to an annual review by the DDS to determine if the original reasons for granting the exemption remain valid.

We noted that briefing outlines in some offices responsible for initial EOD briefings either did not exist or were too rough to be read by an outsider. We do not favor a cut and dried approach to the preparation and content of briefings, but we do believe that briefing and orientation material should be prepared in such form to permit periodic review by a reviewing official designated by the DDS from outside the component giving the briefing. This responsibility could be assigned to the EOD coordinator recommended in recommendation No. 1. Even though management in some offices reviews the content of the briefings given by its training officers, an overall review of EOD training is lacking. We view this as a serious omission.

We believe that the subject matter of the briefings is generally adequate, although some of the briefings are too academic and too sophisticated for the new employee. There is a small amount of duplication but in view of the difficulty of the new employee in absorbing large amounts of new material, this is desirable.

Instructional techniques varied widely in quality and could be improved. Some briefers used movies and other visual aids; some used none, and others used aids with print so fine that the lettering could not be read. One of the movies we viewed, "Introduction to Intelligence, Part I", left us with serious doubts concerning its effectiveness. It is basically a trade craft film and does not appear appropriate for showing to an audience of new employees.

Most briefers had good delivery. However, the length of the briefings ranged from 12 minutes to one hour and 45 minutes. During the longer sessions there was no break. In two of these sessions it appeared to us that there was too much material for the time allocated.

The timing of the various briefings is about right. It would be possible to have the new employee take all indoctrination during his first three days, but this would be too intensive. The present procedure has the advantage of permitting the new employee to become familiar with the Agency over a few weeks period through personal contact with his new colleagues and his supervisor as well as through formal training. This approach, however, has the disadvantage that continuity is lacking. Most briefers, for example, are unaware of the content of previous lectures, and are, therefore, unable to relate their individual briefings to the overall orientation program.

<u>It is recommended that:</u> No. 1

a. The Deputy Director for Support designate an EOD coordinator whose duties shall include:

(1) Scheduling the orientation of new professional and clerical employees and monitoring their attendance during the indoctrination phase of their first two weeks in the Agency; and of professional employees during the Intelligence Orientation and Communism courses to conform with Agency training policy outlined in [redacted]

25X1

(2) Reviewing periodically EOD briefings conducted by the Offices of Personnel, Training and Security to ensure that the content conforms to Agency training policy, that superfluous material is not included, and that sound instructional techniques are employed.

(3) Reviewing the practice of granting exemptions.

(4) Reporting periodically to the DDS on compliance of Agency components with the training program.

b. The Deputy Director for Support amend [redacted] to reflect the procedures recommended above. 25X1

B. Discussion

1. Entrance on Duty of Professional Employees

Formal entrance-on-duty processing of professional employees begins every Monday throughout the year except on holidays. This processing is coordinated by the Professional and Technical Branch in the Office of Personnel's Placement Division. In FY 1965, [redacted] 25X1 professional employees were entered on duty ranging in grade from GS-05 to supergrades.

The first step in the procedure begins with the arrival of EOD's in the morning at the main reception room where they await an escort from the Professional and Technical Placement Branch. The main reception room on a Monday morning is an extremely busy place and not particularly attractive. In response to a request from the Fine Arts Commission, the Office of Logistics prepared for the Executive Director a new design to make the reception area more attractive and also more secure. The initial proposal, based on a two receptionist control scheme, had to be revised because of the need to include space for two additional receptionists to receive high peak loads of official visitors. Presentation drawings from an interior design firm are expected by early summer 1966. When completed, the new layout will present a better image of the Agency to the EOD than he now receives.

EOD's are instructed to report at 8:30 a.m. but are not picked up until they have all reported, which may be 9:00 a.m. or later. This causes the EOD's who arrive on time to feel they have been forgotten since their letter instructs them to report at 8:30 a.m., and they query the receptionists who are by then occupied with the many other arrivals who fill the reception room. This situation could be remedied by the escort reporting to the reception room at 8:30 to assist the receptionists in greeting and badging EOD's.

<u>It is recommended that:</u> No. 2

> The Director of Personnel arrange to have the Monday morning escort for professional EOD's report to the main reception room at 8:30 a.m. to assist the receptionists in greeting and badging the EOD's.

The briefing area is the Director of Personnel's conference room and is appropriate for EOD procedure. Some months in the past it was not unusual for the conference room to be usurped by other elements of the Office of Personnel. But we were told that except on rare occasions the room is now reserved for the EOD's.

The main briefing is given by one of the four placement officers from the Professional and Technical Placement Branch. It lasts from 45 minutes to one hour and includes information on a wide range of subjects such as pay, leave, probation, fitness report, promotion, Credit Union, and Agency organization. A personnel processing assistant then swears in the EOD's and has them fill in numerous forms required for entering on duty. Arrangements are made for testing those who claim a language proficiency.

Employees interviewed who recently entered on duty feel that the briefing is very worthwhile and answers most of the basic questions they have about the Agency. Typical of the comments were those made by a GS-14 who described the briefing as "friendly, courteous and well planned."

Several of the employees interviewed suggested that the use of visual aids during the briefing would be helpful. Based on our own observation while sitting in on one of these Monday briefings, we feel this suggestion has some merit.

During this briefing the new employee is exposed to a considerable amount of detail regarding his new career in the Agency. These are necessary details, but it is difficult for the employee to retain all of this information. To remedy this situation, the Office of Personnel several months ago prepared a handbook to inform the new employee of his benefits and responsibilities toward the Agency. The handbook has been coordinated with other interested components of the Agency, but as a result of a question by the Director of Personnel concerning its suitability for college graduates, it is being reviewed to determine if it is sufficiently sophisticated. We read the handbook and in our opinion it is admirably suited for all new employees, clerical and professional. We urge its release for publication and issue to all new personnel.

During our interviews of recent EOD's we received the suggestion that the placement officer giving the briefing might spend a few minutes on "helpful hints on living in Washington." This topic, which is more fully developed in the personnel lecture for clericals, is not covered formally during the EOD processing of professionals, although during the question period EOD's sometimes ask questions on this subject. Since most professional EOD groups have female employees who are in their early 20's, we feel that it would be profitable to include some of the information given to the clericals. For example, the handbook "How to Protect Yourself on the Streets and in Your Home," available to clericals, might also be made available to young female professionals. There is a danger, of course, in talking down to middle and upper grade employees, but our interviews showed that these employees would welcome a few hints on living in the D.C. area. They are interested in such subjects as transportation, car pools, schools, taxes in Virginia, Maryland and the District, and parking policy at Langley.

<u>It is recommended that:</u> No. 3

The Director of Personnel include within the Monday EOD briefing to professional employees a section on "helpful hints on living in the Washington area."

The first day in the Agency is an important one in a new employee's career. The placement officers are doing very well in introducing the new professional employee to the Agency, but we believe it would be helpful if a senior officer of the Office of Personnel also made a brief appearance to welcome the new employee.

<u>It is recommended that:</u> No. 4

The Director of Personnel or one of his senior officers make a brief appearance at the Monday morning briefing to welcome the new employee to the Agency.

The Office of Personnel has had a long-standing policy of conducting an interview of new professional employees six to nine months after they have entered on duty. The objective of this interview is to assess the progress of the individual, to determine if his abilities are being fully utilized, and to give the placement officer the feel of conditions in the operating component where he places personnel. In practice, because of the press of other work, placement officers in recent months have conducted only a handful of these interviews. We believe that the concept of these follow-up interviews is sound personnel management.

<u>It is recommended that:</u> No. 5

Every effort be made to conduct the six to nine months interviews of new professional employees as outlined above.

25X1 In reviewing [redacted] which describes entrance-on-duty training we noted that the important function performed by the Office of

Personnel in giving new employees their first formal briefing on the Agency is not mentioned. It might be appropriate to include 25X1 this function in [redacted] when it is revised.

On the Monday afternoon of their first day, professional employees are processed by the Office of Security. They receive temporary badges, are photographed, and fingerprinted. Their formal security indoctrination begins with the reading of a security handout consisting of [redacted] 25X1

25X1 [redacted] the Agency's basic security regulations and procedures.

This phase of the security processing may take up to two and a half hours, depending on the number of new employees to be processed. It takes place in a labyrinth of passageways, workrooms, crowded office space and a briefing room with extraneous equipment near the reception room used by the Office of Security off the main lobby. This poor arrangement of space is unsatisfactory as a working area for the employees there and also makes a poor impression on the new employee. The Office of Security has requested that the Office of Logistics remodel this area but Logistics' architects are occupied on other projects.

<u>It is recommended that:</u> No. 6

The Director of Logistics, as soon as other priorities permit, prepare a plan for more efficient arrangement of the space used by the Office of Security in processing new employees, taking into consideration that this is one of the first work and briefing areas visited by the new employee.

After the fingerprinting and photography are completed, the new professionals receive their first security briefing. This briefing, which lasts about one hour, is an introduction to security. It is given in the conference room of the Director of Security by one of three Security training officers who alternate in giving these briefings. This briefing is well done, and the furnishings and layout of the room create a favorable atmosphere for the briefing. It covers fundamentals of security including cover, opening credit accounts, classification of material and closing safes.

When there is a need, the Office of Security gives a special security briefing to the new employee. This might be done, for example, when the employee has a large number of foreign relatives.

On Tuesday morning of their first week new employees receive a briefing on insurance. Male employees receive a briefing on military obligations which includes information for reservists on opportunities to fulfill reserve requirements.

Employees are then introduced to their home components. Based on our interviews of selected new employees, it appears that most components are satisfactorily indoctrinating their people. However, one NPIC employee whom we interviewed had not had a tour of the NPIC facilities up to the time of our interview although he had been on duty eight months. But as pointed out in the I.G. survey of June 1965, NPIC is making substantial progress in establishing an in-house training

program. It now has a $1\frac{1}{2}$ hour automatic orientation lecture for new employees held twice a month. Since the scheduled presentations began in the spring of 1966, they have been attended by [redacted] employees, 25X1
including those employees who had been on duty for several months but had not had orientation tours. Additionally, NPIC is planning to conduct "walk-throughs" of its facilities for employees who have attended the orientation lecture.

New professional employees receive further indoctrination on their second Monday. In the morning the Office of Security conducts a three-hour introduction to the basic principles of security. The briefer defines security, gives the reasons for the need for security, and discusses physical security, cover and outside activities.

In the afternoon a representative from the Office of Medical Services begins the briefings with a description of that office. This talk covers for the most part a description of OMS and could probably be covered by the Office of Training officer in his lecture on the organization and functions of the Agency. Suggestions on personal welfare, such as locating a family physician, could be included in the first day briefing by the Office of Personnel.

<u>It is recommended that:</u> No. 7

The Deputy Director for Support give consideration to having the talk by a representative of the Office of Medical Services replaced by a brief description of OMS functions during the lecture by the Office of Training on the organization of the Agency, and suggestions on locating a family physician be included in the first day briefing by the Office of Personnel.

The Office of Training has the remainder of this second Monday afternoon, about three hours, to conduct briefings on the U.S. intelligence system and on the mission, functions, and organization of CIA. Fundamentals of intelligence are treated from the points of view of subject matter, time or scope, and the end user. Production of intelligence is described and a movie is shown. The final hour is spent on a discussion of intelligence at the national level and of CIA organization.

On their second Friday afternoon new professional employees spend three hours viewing four Agency-produced movies on security. The basic themes of the movies are personal security, need-to-know and cover. This is the employee's final session with the Office of Security during entrance-on-duty processing, and the movies serve a useful purpose as a security review.

2. Testing

25X1 [redacted] states that all new staff employees will be tested before they enter on duty unless the career service of assignment feels that such testing is not necessary. This testing is evaluated by the Assessment and Evaluation Staff of the Office of Medical Services. Currently, of the professional applicants, only those applying for the Career Training Program are routinely tested. The tests are part of the pre-EOD processing and are arranged by the recruiter in the field. Career Trainees are exposed to another pre-EOD screening device not available to other applicants. They are seen by a psychiatrist during their pre-EOD medical examination. Other applicants see a psychiatrist only when the routine medical examination uncovers a need for a special psychiatric interview.

Most clerical applicants receive a clerical test in the field before EOD and are tested for skills by the Clerical Training Branch after EOD. They are also tested by the A&E Staff on the Differential Aptitude Test, used as a clerical test battery. Communications personnel are pre-EOD tested for communications know-how at the time of the invitee interview, but are not tested by A&E.

25X1 [redacted] also states that personnel who have not been pre-EOD tested may be requested by their home component to be tested after EOD. In practice, except for the Career Trainees, very few new employees are tested by A&E after EOD. The career trainees receive a day and a half assessment by the A&E Staff after EOD.

The May 1964 survey of the Office of Personnel recommended the increased use of the A&E Staff to assist in the personnel management problems, including greater participation in the recruitment, selection and placement process through the development of a series of test batteries. The Director of the Office of Medical Services, however, feels there would be little to gain in A&E's attempting to assess all new professional employees. We are now inclined to share his view. The DDS in his response to the recommendation stated that CIA recruiters and college placement officers advise against pre-screening tests because the tests discourage prospective university applicants because of the many other demands on their time. Most of the professionals now being processed are specialists headed for NPIC, Commo and DD/S&T, and do not have an Agency-wide placement potential. As situations develop when an employee is being considered for an assignment which differs appreciably from his specialty, A&E can assess him. This happens, for example, in the case of Agency employees who apply for admission to the CT program.

3. Entrance on Duty of Clerical Employees

It is our opinion that the onerous task of entering on duty of clerical employees, which in a normal year involves the briefing and orientation of [redacted] young men and women, is very well handled. The day-to-day aspects of this complicated process are carried out jointly by the Clerical Assignment Branch of the Office of Personnel and the Clerical Training Branch of the Office of Training. The I.G. survey of 1962 "Agency Responsibility to Female Employees" concluded that Agency treatment of clericals could stand up to parental, public or Congressional criticism. This statement remains valid. The Agency continues to devote a great deal of effort to the EOD processing and orientation of new clerical employees.

Arrangements for housing is an example of the Agency's concern for the clerical employee. Before the clericals report for duty, temporary, moderate cost housing within walking distance of the Clerical Assignment Branch is reserved for them.

Clerical employees enter on duty every Monday except on holidays. They fall into two categories: Those who have had full field investigation but not medical and polygraph testing and those with only provisional clearance. The first category will be in the Interim Assignment Section, commonly referred to as the "Pool", of the branch, for at least three weeks. This period is used for polygraph and medical examinations, classes in clerical skills, geography, punctuation and orientation in Agency secretarial practices. Those with only provisional clearance may be there from two to three months awaiting completion of field security investigation.

The clericals receive a thorough briefing and orientation in accordance with [redacted] On their first two days both categories of clericals follow the same schedule. This includes initial briefings by representatives from the Offices of Personnel, Security and Training. These briefings are well done.

25X1

The subject matter in the briefings includes the same topics discussed in the briefing for professional employees plus emphasis on aids to personal security. For example, the girls are given a handout on the wiles of door-to-door salesmen who prey on working girls by selling shoddy products at high prices. A pamphlet "How to Protect Yourself on the Streets and in Your Home" is called to their attention and is read by most of the girls. Assistance in cashing checks is offered. Girls are advised to use care in selecting roommates and in reading leases carefully. They are encouraged to contact the night security office if they become involved in situations where they need help.

During the first two weeks clericals who have had full field investigation are scheduled for their medical and polygraph testing. Also in the first week the clericals are interviewed by the Chief of the Clerical Assignment Branch, and receive testing for typing and shorthand.

In their second week both categories of employees take the Clerical Induction Course. This is a worth-while week of instruction and consists of shorthand and typing review, lectures on filing, office practice, grammar, punctuation, and geography. In our interviews new employees spoke highly of these lectures, particularly the ones on geography and punctuation.

In their third week clericals with final clearances take the Clerical Orientation Course. The course begins with a two and half hour review of CIA organization and security. Other subjects are CIA publications, use of telephones, opening and closing safes and office protocol. Quizzes and a final examination are given on these subjects. Those without final clearances take another week of geography and work on improving their clerical skills.

One of the problems resulting from the entering on duty of employees with only provisional clearance is that of keeping them occupied. A complaint often heard is that the clericals do not have enough work to do after finishing their training. The average time in the pool is about eight weeks, but some of the provisional people may be there as long as three months. There comes a time when orientation courses, testing and skill reviews have been exhausted. The method of keeping the clericals occupied is one which has been followed for several years. The clericals work on unclassified material received from various components in the Agency, including OCI, Logistics, Security

25X1 and [redacted] In the winter months, a slack period for inducting clericals, the pool cannot keep up with the work which the components need done, and in the summer, when the pool has [redacted] 25X1

25X1 [redacted] clericals, there is not enough work for them. It is only natural that under these circumstances, clericals become bored and may begin to have doubts about working for the Agency.

Our interviews indicated that the approach to acquiring unclassified work from the components is not well organized. There is no systematic method of discovering and maintaining contact with the key individuals in the components who know when there is a need for unclassified clerical work to be done. Furthermore, an Agency-wide notice on the availability of clericals to do unclassified work has not been issued since July 1962.

During our interviews of clericals who entered on duty in 1965 we received several suggestions which appear to have merit for improving the environment of the pool during the period between the termination of training and assignment to a component. These suggestions included: setting-up a shorthand laboratory, making available basic texts on French, Spanish and German for voluntary study, a visit by a language instructor once or twice a week, voluntary classes in English and geography, establishment of a library-reading area with current news magazines, additional instruction in such clerical skills as mimeograph operation, and use of Xerox and thermofax machines.

It is recommended that: No. 8

The Director of Personnel instruct the Chief, Placement Division:

a. To develop a more aggressive and efficient system for acquiring unclassified work for the clerical pool which would include annual notices on the availability of clericals to do unclassified work.

b. To devise techniques in addition to unclassified work projects for keeping the clerical employees occupied while they await final clearance.

III. EXIT PROCESSING

A. Problem of Attrition

The I.G. survey of the Office of Personnel in 1964 pointed out that in view of the high cost of personnel processing, attrition in CIA assumes considerable importance. The survey stated that Career Services and the Office of Personnel had not given enough attention to Agency attrition and possible ways of reducing it. It was recommended that the Director of Personnel, in collaboration with the individual Career Services, conduct a study of the prevailing rate of attrition among professional employees to find means for reducing this attrition. In his reply, the Director of Personnel agreed in principle with the recommendation but suggested deferring the study during the period when personnel ceilings were being reduced. Alternatively, he suggested that studies be carried out aimed at particular occupational categories.

Several reports are prepared in the Office of Personnel related to the attrition problem. The Benefits and Services Division produces a monthly report giving the reasons for the separation of GS-12's and above. This division also includes in its annual report a section on separations which is mostly a statistical comparison with the previous year's separations. The Records and Control Division prepares a monthly and semi-annual statistical review of staff personnel separations. These are useful reports but in themselves are not sufficiently interpretive. They could serve, however, as a foundation for the preparation of a semi-annual analysis of attrition. The objectives of this analysis would be to facilitate the identification of personnel problem areas and to provide necessary data for making recommendations to improve personnel management, thereby salvaging career employees who would otherwise leave.

The rate of attrition during the past four years has remained about the same, averaging [redacted] true separations a year, both professional and clerical. True separations include retirements, deaths, and resignations, both voluntary and in lieu of disciplinary action. Employees converting to staff agents and employees taking leave without pay are not included. Of these total separations about [redacted] per year are GS-09's and above.

During our survey we had a machine run made of employees in grades GS-12 and above separating in calendar year 1965. We found that there were [redacted] employees in this category. A review of separa- tion data codes showed that [redacted] employees cited as reasons for leaving: dissatisfaction with immediate duties, administrative practices and having found employment elsewhere. Most of these resignees were employees whom the Agency would like to have retained, but we do not wish to imply that all of them could have been salvaged. Some of them left because of reasons beyond the capability of the Agency to offset.

These reasons include promotion and better future. But this figure 25X1 of [redacted] does indicate an area where personnel management can direct additional attention.

<u>It is recommended that:</u> No. 9

a. The Director of Personnel prepare for the Deputy Director for Support and Executive Director-Comptroller a semi-annual review and analysis of attrition of personnel in grades GS-12 and above to identify personnel problem areas; and

b. Based on these findings make recommendations to improve personnel management in identified problem areas with the objective of reducing the rate of attrition of key professional employees.

One of the problems in taking measures to retain good employees is that by the time the employee appears for a pre-exit interview he has already burned his bridges in the Agency and has found or is determined to seek employment elsewhere. It is our observation that a major contributing factor to this loss is inadequate supervision at the section or branch level and an indifferent attitude by top management in individual offices. This indifference is characterized by the failure of office chiefs to take a personal interest in their employees. Exiting employees, for example, often leave without having a farewell interview with a representative of "front office" management.

25X1 The case of [redacted] a GS-13 mathematician in the Office
25X1 of [redacted] DD/S&T, illustrates some of the weaknesses in Agency personnel management. We sat through the pre-exit interview

25X1 with [redacted] in the Office of Personnel. The interview was a mere formality since he was separating that day. He said he was leaving the Agency, after about a year's service, for a slightly higher salary with the local office of Operations Research, Inc. He gave as his main reason for leaving that his abilities were not fully utilized. He said no other positions in DD/S&T or outside DD/S&T had been mentioned to him as an alternative to resigning.

The Director of Personnel has recognized the need of salvaging employees and in memorandum No [redacted] of 1 February 1966, addressed 25X1 to personnel officers throughout the Agency, he pointed out that some employees, if given an opportunity to discuss their dissatisfactions with a senior official, might decide to stay with the Agency. He suggested that personnel officers might be able to detect intentions of resigning while there is still time to prevent resignations. If action within the component is not sufficient, the personnel officer may discuss other action with the Director of Personnel. This is a step in the right direction but we believe that constant monitoring by the Office of Personnel will be needed if the intent of the memorandum is to evolve into a meaningful contribution to personnel management.

B. Discussion

1. Retirement Counseling and Planning

The Retirement Branch of the Benefits and Services Division, established in September 1965, provides pre-retirement planning and counseling for employees covered by the Civil Service Retirement System and by the CIA Retirement System, and provides guidance and administrative support for processing applications for retirement. This branch is efficiently performing its duties.

The branch receives notification of employees eligible for Civil Service retirement from the Statistical Reporting Branch, and receives notification on CIA retirees from the CIA Retirement Staff which is attempting to meet a deadline of 30 June 1966 for completion of the initial screening of candidates for the CIA system. In 1965, a total
25X1 of [redacted] employees retired. Of this number, [redacted] retired under the Agency 25X1
system.

25X1 In accordance with [redacted] the branch informs employees in writing five years before their eligibility for retirement of the Agency's retirement policy and the various benefits and services available to them. Although the regulation only refers to the Civil Service system, the branch will also notify employees eligible for the CIA system as they enter the five-year period. In the memorandum, the employee is requested to make an appointment with the branch to learn of the benefits available to him on retirement. Branch personnel discuss with these employees retirement annuities, health and life insurance and income tax. Most employees are anxious to discuss retirement benefits, but there are a few who choose not to be interviewed.

The few employees who do not elect to discuss retirement with the Retirement Branch are apt to be the ones who will cause problems before retirement by claiming they have not had sufficient counseling. It might be desirable, therefore, for the Retirement Branch to devise a follow-up system of calling to the attention of the home components those employees who have not contacted the Retirement Branch within six months after receiving their five-year retirement letter. We do not favor coercing the employee to make an appointment, but an interview of the employee by management in his office would encourage him to visit the Retirement Branch.

It is Agency policy that retiring employees during the five-year period receive adequate counseling and be kept informed of the Agency policy toward retirement. This important function is set forth in

25X1 [redacted] issued in 1961, "They /Deputy Directors/ shall ensure that supervisors discuss retirement plans with employees two years before the projected retirement date and shall review each case annually thereafter." The purpose of the interviews is to prepare the employee for his retirement and to reduce the instances in which employees contest retirement just before they are due to retire. We think the concept is sound.

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OSI Survey

Our survey revealed that the only directorate implementing this regulation is the DDP. The DDP sends two year and one year letters on the retirement of its personnel to the employee's home division, requesting the chief of the division to designate an appropriate supervisor to discuss retirement plans with the employee.

The other directorates lack a uniform policy of interviewing employees facing retirement. The DD/S&T has simply forwarded the list of employees eligible for retiring in five years, which it receives from the Office of Personnel, to the DD/S&T offices with no instructions for implementing the interview system.

It should be pointed out, however, that one of the DD/S&T offices, OSI, has an excellent counseling program. The Deputy Director of OSI interviews employees at the five year period, and annually thereafter. OSI has found that its personnel must be psychologically prepared for retirement since many older employees feel they are too young to retire. Under present Agency policy, the retiring employee does not have to be counseled until two years before retiring. OSI has found that the gap of three years between the five year letter and the two year interview is too long and employees can under these circumstances claim with some justification that they have not been counseled often enough and request an extension based on hardship. The OSI counseling consists of reminding the employee of his retirement date, and of advising him about other opportunities for employment outside the Agency.

The DDS, which follows an informal approach to the counseling of its retiring employees, has never issued written instructions to its components but has relied on discussions at staff meetings to maintain Agency policy. The Office of the DDS does not receive the five year lists of retirees from the Retirement Branch. The Retirement Branch forwards names of retirees directly to the individual DDS offices.

Although we did not interview personnel officers in all of the offices of the DDS, it is our impression that some of the offices have not developed a satisfactory approach to interviewing employees scheduled for retirement. OTR, for example, although it has a commendable system of having the five year letter personally presented by the employee's staff chief, was not aware of the Agency policy of the one and two year interviews. In January 1966 during our survey an employee in the Office of Security, scheduled to retire in February 1966, complained that he had not been counseled or interviewed by his supervisor since receiving his original retirement memorandum in 1962.

In the past, the Office of the DDI has forwarded the list of five year retirees which it receives from the Retirement Branch to the individual offices concerned. However, we learned that at least one DDI office, ORR, had not received a list from the DDI since June 1964. The DDI notice of June 1960 explaining Agency retirement policy to the components needs to be updated.

It is recommended that: No. 10

a. The Director of Personnel prepare a recommenda-for the Executive Director-Comptroller to ensure Agency-wide compliance with [redacted] which specifies that employees be interviewed on retirement plans one and two years before retirement. 25X1

b. The Director of Personnel consider the desirability of having employees interviewed by their components five, four and three years before retirement in addition to the present two and one year interviews.

One of the problems in the past has been the delay in the employee who, on separating, is eligible to receive an annuity under the Civil Service System in receiving his first check. In August 1962, in response to an inquiry from the Office of Personnel, the Civil Service Commission replied that the Agency's record in processing employee separation records was extremely poor. The Commission stated that most other agencies completed the processing of two thirds of their records in 30 days, whereas the Agency from January through June 1962 completed only eight cases out of [redacted] in less than 30 days. 25X1
Since then the Agency has made a real effort to improve its record and now strives for a 30-day processing period of cases involving vouchered funds. The Office of Finance prepares a monthly report showing average processing times. For the month of January 1966, [redacted] vouchered 25X1
fund cases of overall separations took slightly less than 35 days.
25X1 [redacted] cases on confidential funds took over 90 days. In

September 1965 the Commission sent the Agency a form letter stating that 24 per cent of the records for August were submitted within 30 days but the record "needs improvement."

[redacted]

25X1

After the papers arrive at the Civil Service Commission, it takes the Commission another 30 days to complete processing. This means that under ideal conditions an employee eligible for an annuity under vouchered funds will not receive his first check for at least 60 days, and currently, because of the processing involved of large numbers of Civil Service employees throughout the government who retired under the Daniels Act, Agency employees will have to wait at least 90 days for their first check.

Employees retiring under the CIA system normally receive their checks within 30 days after retirement. This is due to adequate lead time and a small volume of retirees. These cases are processed by CIA and do not require Civil Service processing. Under either retirement system the processing includes confirming previous military and other government service and may take up to 90 days to complete if adequate lead time has not been given. It is to the advantage of the employee, therefore, to give the Agency advance notice of his intention to retire under either system. An employee who unexpectedly announces his plans for immediate retirement will probably find that he will have to wait longer than 30 days after retiring to receive his first annuity check.

25X1 [redacted] in discussing retirement under the CIA system, states that participants wishing to retire shall normally submit requests to the Director of Personnel not less than 90 calendar days prior to the desired date of retirement. Ninety days are adequate for the Retirement Branch to complete the necessary processing for retirement of employees in headquarters. However, it does not seem to be adequate from either management's standpoint or for personnel processing if the employee is stationed overseas.

The only mention in Agency regulations of the desirability of employees giving adequate lead time when announcing their intentions to retire under the Civil Service System is [redacted] which states that 25X1 employees should give "reasonable notice".

It is recommended that: No. 11

a. The Director of Personnel study what period of time is adequate notice of retirement by employees who are stationed overseas, and that both [redacted] 25X1 be amended to reflect any changes that may be considered necessary.

25X1 b. The Director of Personnel initiate a further amendment to [redacted] stressing that it is desirable for headquarters employees retiring under the Civil Service Retirement System to give 90-days notice of retirement plans.

c. The Director of Personnel in future Headquarters Employee Bulletins on the Agency and Civil Service Retirement Systems emphasize the need for headquarters employees to submit their request for retirement 90 calendar days prior to the desired date of retirement.

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2. Assistance in Placing Retirees and Resignees

In the reorganization of the Office of Personnel in March 1966 the External Placement Branch was established under the Deputy Director of Personnel for Recruitment and Placement. The branch assists employees who retire under the Civil Service Retirement Act or the CIA system in finding post-retirement employment, and also assists other employees who are leaving the Agency. The services consist of counseling on retirement opportunities, assistance in preparation of resumes and in contacting prospective employers. There is a real need for this operation. Over the next five years, up to [redacted] employees will retire 25X1
under mandatory provisions of the CIA or Civil Service Commission retirement acts. In addition to these mandatory retirements, there probably will be a considerable number who retire voluntarily.

The reorganization combined into one branch the functions of the Retiree Placement Counseling Staff, established in the spring of 1965, and the Employment Referral Branch, formerly known as the Out Placement Branch. The Retiree Placement Counseling Staff got off to a good start and used an aggressive, imaginative approach. Between March 1965 and January 1966, the one-man staff interviewed [redacted] employees 25X1
scheduled to retire or who were considering retiring. Of this number,
25X1 [redacted] were placed outside the Agency, mostly in the academic field, and
25X1 approximately [redacted] were relocated under contract within the Agency in components with a need for special skills.

The Employment Referral Branch, now part of the External Placement Branch, concentrated on resignees, many of whom were resigning in lieu of involuntary separation. In 1965 there were

25X1 [redacted] of these involuntary separations. Employees were referred to the branch by the Clerical Assignment Branch, by the Special Activities Staff in the Office of Personnel, and by management. The branch's efforts were directed mostly at placing exiting employees in other government organizations. Based on interviews with branch personnel and employees who have used the branch's services, it is our belief that the operation was too passive. Branch personnel looked on themselves as counselors rather than placement officers. As a result, their help to professional employees consisted of little more than giving advice and assisting in filling out forms. The professional employee was left on his own to decide where he should look for work and how to go about it.

The branch was more effective, however, in assisting clerical personnel who did not receive final security or medical clearances after having been brought to Washington. Branch personnel had excellent contacts with several government agencies willing to hire many of the young men and women whose background, while not suitable for Agency employment, was satisfactory for employment by other government agencies. This helped prevent the rejected employee from returning to his home town and criticizing the Agency for having brought him to Washington and then having failed to grant him employment.

It is our view that many of the resignees separating under honorable conditions deserve as much attention as retirees. We do not favor mollycoddling employees, but some employees may suffer from shock effect after being told they are no longer needed, particularly if they have served the Agency for several years with reasonable success. An example is a DDI analyst whose supervisor told him that he should look elsewhere for a job because his branch was being cut back.

We believe that under the newly established External Placement Branch the placement of both resignees and retirees will follow the aggressive policy established by the Counseling Staff in placing retirees. Future plans of the External Placement Branch include publicizing the counseling service. An all employee issuance will appear. This is needed. Our interviews of employees planning to retire revealed several who were not aware of the service. Other plans include utilizing contacts of senior Agency employees to further the branch's contacts. [redacted] 25X1

25X1 [redacted]

In evaluating the performance of the Retiree Placement Service it should be pointed out that the service cannot be expected to place every worthy employee. Some employees simply cannot be placed because their talents may not be marketable or because of age. Others may have unrealistic opinions of their worth and thus disqualify themselves. Furthermore, some employees can re-establish themselves without assistance, and some retirees do not plan to work after retirement. The retiree who initially plans only to fish and hunt but later decides to work can still take advantage of the counselling service.

3. <u>Pre-Exit Interviews and Personnel Processing</u>

The Benefits and Counseling Branch has several functions, one of which is the exit processing of voluntary and involuntary separations. Voluntary separations refer to personnel who resign or retire voluntarily. Involuntary separations refer to employees who resign or retire because of disciplinary or security reasons. Two professional employees are involved in this process. [redacted] 25X1 "Exit Processing for Separation or Extended Leave", the guide to the branch's exit activity, accurately describes the philosophy underlying the operation as being ". . .to ensure that the Agency's obligations to the departing individual and the individual's obligations to the Agency are properly discharged." We were favorably impressed with the diligence, thoroughness and cheerfulness with which the personnel in this branch carry out their mission while working under crowded conditions and oftentimes tight deadlines.

The branch processes all employees separating from the Agency. 25X1 In FY 1965, [redacted] employees separated, broken down into the following categories:

Retirement
Death
Resignation
[redacted] 25X1

Ideally, the branch would like to conduct pre-exit interviews two weeks before the scheduled date of separation. Unfortunately, in practice employees are being interviewed only a few days before leaving and in some cases it may be only a few hours before separation. One of the advantages in greater lead time is that it gives the personnel officer a chance to try to retain the services of desirable personnel by relocating them within the Agency. In most cases little of this can be accomplished. Usually, by the time an employee appears in the Benefits and Counseling Branch he has not only made up his mind to leave the Agency, but has already secured outside employment. The principal interviewing officer estimates that he succeeds in salvaging only one or two employees per month of separating employees.

In the pre-exit interviews, most of which are supposed to be with voluntary separatees, the interviewing officer is on the alert to detect unilateral action by a component which may be forcing the employee to resign. Resignations in lieu of involuntary separations are not the responsibility of the Benefits and Counseling Branch but of the Special Activities Staff in the Office of Personnel. Operating components, however, sometimes overlook the distinction between voluntary and involuntary separation. In early 1966, for example, the Office of Communications and the Records Integration Division sent employees to the Benefits and Counseling Branch for final processing who were involuntary separatees. These employees were actually being separated for unsatisfactory performance.

Another important aspect of the pre-exit interview is the spotting of exiting employees who may be eligible for disability retirement but who are unaware of their eligibility. Perhaps two cases per month are referred to the Civil Service Commission for review and about one per month is approved. This is in addition to the cases which are routinely referred to the Retirement Branch by the employee's component for Civil Service consideration.

A recent example of the branch spotting a disability case was that of a Technical Services Division employee who was resigning because of arrested glaucoma which interfered with his work. He had planned to withdraw his retirement deposits to use in starting a business. The branch initiated a request for disability retirement and it was approved. Another recent case concerned a woman in Logistics who was resigning because she felt run-down. Disability retirement was approved when a medical examination showed that a previous operation for cancer had not been successful and it was unlikely she would recover.

Ideally, the employee's component should identify these cases, but in an organization of our size, it is unlikely that personnel officers in all of the components will be able to do so. Continued emphasis on disability retirement in the appropriate OTR administration support courses will help, but the identification of a small number of these cases will continue to be one of the important functions of the Benefits and Counseling Branch.

In addition to their concern with the technicalities of final clearance, the interviewing officers establish a point of communication with exiting employees who are encouraged to contact the Office of Personnel if they have problems concerning their employment with the Agency after separating. The employee is also told he may have an appointment with the I.G.

During the exit interviews personnel officers use a work sheet to record verbatim the employee's reasons for leaving the Agency and his comments regarding the management of the Agency. Information acquired in these interviews is used in the preparation of an EYES ONLY monthly report on separation of staff employees, GS-12 and above.

The officers code the reasons for the employee's leaving and whether the employee is re-employable. This information appears as Item 31 of Form 1150 "Notification of Personnel Action." The Statistical Reporting Branch of the Office of Personnel finds this information to be useful in preparing recruitment, retirement and other personnel studies for various components of the Agency. The current coding data, which has been in use for about ten years, needs to be revised to include additional headings for an employee's separation. A revision was prepared by the branch in 1964 with such additions as "leaving for advancement", "career change", and "extended travel" to more accurately reflect the reasons for a person leaving. The proposed revision has not been released.

It is recommended that: No. 12

The Director of Personnel direct the appropriate operating divisions of the Office of Personnel to prepare and issue a revised separation code.

The preparations for exit processing are time consuming. Every week the Benefits and Counseling Branch sends to the Office of Security, Cover Staff, Insurance Branch and Payroll copies of a list of staff employees it anticipates will separate. If no response is received by the branch a day before the exiting date, the branch assumes a hold exists and the clearing component is contacted. Four components -- Payroll, Cover, Security and Insurance -- must see each employee personally. Representatives of these components, except Security, which interviews employees in its own office, report to the branch on Friday to interview exiting employees. The mechanics of the processing are routine, but the atmosphere is hectic because of the large numbers of branch personnel and exiting employees jammed into a small area.

One of the daily problems encountered by the branch is the lack of privacy to conduct pre-exit interviews. Conversations during interviews can often be overheard through the semi-partitions, and there is virtually no waiting area. We are aware of limitations on space in the headquarters building, but we feel it would be worthwhile for the Director of Personnel to review space allocated to his office that might be used by Benefits and Counseling Branch, thereby contributing to a more effective operation than can be carried out in the branch's existing quarters.

[redacted]

The Employee Activity Branch in the Office of Security has the responsibility of conducting security debriefings. It is also responsible for scheduling the employee for special clearance debriefings. The branch conducts its debriefings after cover has seen the employee. Names of exiting employees are received from the Benefits and Counseling Branch in the Office of Personnel. The home component of the employee makes an appointment for the interview sometime during the employee's final week. Before conducting the interview the briefing officer reviews the employee's security file. Most interviews last from 15 to 20 minutes, but some interviews may last over an hour if there are unusual problems to discuss.

In the interview, security aspects of cases of employees being separated because of security problems are not initiated because another element in the Office of Security would already have discussed the problem prior to the actual exiting of the employee. The employee's responsibility towards CIA and the U.S. Government is emphasized. Guidance and advice are also offered. This includes listening to complaints. The employee is given the telephone number of the branch and is also encouraged to write the Director of Security if he has security problems after separating, thus providing the exiting employee with another point of contact in addition to the Benefits and Counseling Branch. We believe that the branch is doing an efficient job of debriefing exiting employees and that it is offering a sympathetic ear to those employees who may be disgruntled or wish to discuss personal problems. We do not view this aspect of security interviews as conflicting with the pre-exit interview conducted by the Benefits and Counseling Branch.

5. Involuntary Separations

Involuntary separations are initially processed in the Special Activities Staff. The staff was founded in 1963, but work of a similar nature has been performed since 1957 when the present chief of staff became a special assistant to the Director of Personnel. Although the staff is not actually part of exit processing, it serves as an essential link between the employee's parent component and the Benefits and Counseling Branch.

The handling of involuntary separations is only one of the functions of the staff which acts in a staff and advisory capacity to the Director of Personnel in matters involving the suitability of employees for the positions they occupy. Involuntary separations can be for routine reasons such as medical and security disqualifications, failures in training, and first year trial separations. Categories of a more difficult nature are unsatisfactory performance of duty, health reasons and misconduct.

The staff often becomes involved with a personnel case when the first hint of the need for adverse action by the Agency appears. In these cases, the staff provides valuable advisory service to the employee's supervisor. At this point, the staff expresses its concern with salvaging employees who are in difficulties and in some cases employees can be salvaged at this early stage.

Usually, in involuntary separations the career service of an employee initiates action against the employee. However, the Office of Medical Services or the Office of Security may uncover reasons why an employee should not be retained. In such cases OMS or Security will notify the career service concerned and the staff.

When efforts to retain an employee fail, separation procedure is 25X1 initiated based on [redacted] and the handbook were issued in 1959 and need to be updated. The instructions are sketchy and do not provide adequate guidance for personnel officers in other components of the Agency who become involved in involuntary separation cases. A proposed revision, incorporating pertinent material 25X1 from [redacted] and the handbook, was released to the Agency coordinators on regulations in May 1965. As of April 1966, the Regulations Control Staff in the DDS had not received the proposed re-draft from the Office of Personnel which was completing coordination.

<u>It is recommended that:</u> No. 13

The Director of Personnel complete coordination of the proposed revision of [redacted] and forward it to the Deputy Director for Support for issuance. 25X1

The Chief of the Special Activities Staff views his primary functions as ensuring that those employees who should leave the Agency do so, that correct procedures are followed and that the employee receives his legal benefits and rights. These legal benefits include a right to a formal hearing in addition to the informal hearing that involuntary separating employees receive when they are interviewed by a member of the staff. Requests for formal hearings are infrequent.

If the employee elects to resign and the Agency accepts his resignation, the staff then establishes an effective date of resignation with the concurrence of the employee and the employee's career service. The rule of thumb is to make the effective date 30 days from the time the decision is reached that the employee will resign, but if there are compelling reasons for doing so, the staff, after coordinating with the Director of Personnel and the employee's career service, will arrange for a longer interval. When the effective date is reached, the staff forwards a request, with any special instructions that may be needed, to the Benefits and Counseling Branch to separate the employee on the specified date.

The staff requests assistance from the External Placement Branch in re-locating exiting employees who need assistance. An appropriate comment is forwarded to the branch to provide guide lines for placing the employee in government or private industry.

In calendar year 1965 the staff dealt with [redacted] employees who 25X1
were separated for the following reasons:

25X1

First year failure to qualify [redacted]

Resignations in lieu of disciplinary action

Retired in lieu of disciplinary action

Polygraph cases

We feel that the staff is carrying out a delicate and sensitive activity in a competent and humane manner.