

# Rating Official's GUIDE

*Do you use the uniform  
efficiency rating system  
approved by the  
U. S. Civil Service Commission?  
If so . . .  
READ THIS CAREFULLY  
It affects you and your  
employees.*

EFFECTIVE JANUARY 1, 1944

**FILE FOR FUTURE REFERENCE**

Form No. 3823A—October 1946

"If we except the light and the air of heaven, no good thing has been or can be enjoyed by us without having first cost labor. And inasmuch as most good things are produced by labor, it follows that all such things of right belong to those whose labor has produced them. But it has so happened, in all the ages of the world, that some have labored, and others have without labor enjoyed a large proportion of the fruits. This is wrong, and should not continue. To secure to each laborer the whole product of his labor, or as nearly as possible, is a worthy object of any good government."

A. LINCOLN.

NOTE: The "whole product of labor" must be known before a proper award can be made.

## To All Supervisors . . .

You serve your government. How well do you do it? Your subordinates have jobs! How are they doing? Do you know? You must! It is your job to know. Your organization wants to know and your subordinates want to know. They look to you for this information. It is your responsibility to tell them! Should each of you do this in your own way? Perhaps so. But there are so many of you that the results could not be used methodically. Even though no one way will be entirely satisfactory to all, one way must be followed by all—a way that is logical, a way that will give consistent results so they may be given the same meanings which, when used, will give fair treatment to all. That is why instructions in how to rate the work performance of employees have been prepared. That is why you are asked to read the instructions. They tell you how to rate work performance system—the uniform rate work performance system—the system worked out with the assistance of all efficiency rating system—the system Government departments and agencies and approved by the Civil Service Commission to be used throughout the Federal service.

For sale by the Superintendent of Documents, U. S. Government Printing Office Washington 25, D. C.  
Price 5 cents

**Do  
this!**

**Tell your employees how they are doing.**

**How  
you  
go  
about  
it!**

Don't argue; don't dominate; just tell frankly and honestly what is required of the employee in his job and how he is meeting the requirements. Tell him what he ought to know, not what he would like to hear, and make suggestions for improvement. Also, listen to him, he may have some suggestions or facts that will interest you. Discuss his work performance, also his efficiency rating.

*Prepare for the interview.*—Jot down the points that make you feel the way you do about the employee. Relate them to the efficiency rating. Have illustrations or factual data ready. Try to arrange for privacy during the interview. Don't set a time limit of less than 15 minutes—the interview should not be under pressure.

*The interview.*—Put the employee at ease. Discuss the values of such an interview to you and to him. Discuss *his* job, *his* work performance and *his* efficiency rating. Give praise where deserved and criticize straightforwardly and constructively. Let the employee know where he stands. Above all, do not force the employee to agree with your evaluations of his work performance. Explain things because most grievances or appeals are due to a lack of understanding rather than a disagreement as to facts. Be honest, frank, judicial. Face the facts but show a sincere interest in the employee's problems. Let the employee speak freely, ask questions, and make suggestions. Do not argue with him, but answer his questions, help him analyze his problems, suggest several possible solutions, and offer to help in carrying them out.

*Conclude the interview.*—Tell the employee to think about what he has been told and to come back if he wants to discuss certain things further, that you are ready to help him.

**When  
you  
do  
it!**

As often as possible. Find time for it. If you haven't done it during the rating period, by all means do it before he receives a cold, formal, unexplained notice of his efficiency rating.

**Why  
you  
do  
it!**

Every employee, yourself included, should know at all times where he stands, how he is doing. Such knowledge encourages greater effort and efficiency. Employee interviews, if done properly, lubricate the machinery and make the organization run smoother because they reduce friction and irritation. They also create confidence that your attitudes and judgments are unbiased and fair.

Do this!	Fill in or verify entries in heading of rating form.
How you go about it!	<p>Name—Check with a list of employees, if necessary. Indicate by check mark in the blanks on the top of the form whether the rating is regular, probational, or special. Ratings made under administrative instructions for other purposes should be checked "Administrative—Unofficial."</p> <p>A regular rating is made as of March 31. It is an official rating made for all who are not serving a probational period and who have worked in the agency at least 90 days in the grade of the position held on that date or, when such coverage is not practical or feasible, it may be made if the employee has worked at least 90 days under the rating official.</p> <p>A probational rating is made 60 days prior to the end of the probational period. It is an official rating. No "Regular" (March 31) rating is made during the probational period of an employee.</p> <p>A special rating is made when there is no appropriate current official rating and one is needed for salary advancement or reduction in force. A special rating is official for all purposes even though it is for less than 90 days.</p> <p>Classification symbols and title of position.—Enter official designations. Check with available official records, if necessary.</p> <p>Period from _____ to _____—Refer to employee's personnel records.</p> <p><i>Regular rating.</i>—From April 1 to March 31 or as much of this period as employee was on active duty (at least 90 days) under the conditions stated above.</p> <p><i>Probational rating.</i>—From the beginning of probational service in the agency in the grade of the position held on the date the rating is due to its due date, provided it covers at least 90 days.</p> <p><i>Special rating.</i>—Indicate the period that the employee served in the agency (1) from the date of the last official rating on record, or (2) from the date the employee entered in the grade, whichever is later, to the date the special rating is made.</p> <p>Organization in which position is located.—This is a matter of general knowledge. If in doubt, check with organization charts or with head of unit.</p>
When you do it!	Do it before you start to rate—as soon as you get the efficiency rating forms. It should be completed before the end of the period covered by the rating.
Why you do it!	<ul style="list-style-type: none"><li>To identify employee.</li><li>To indicate kind of rating.</li><li>To identify employee's position.</li><li>To indicate the period of service to be considered in rating work performance.</li><li>To indicate the place of the position in the organization structure.</li></ul>

Approved For Release 2000/06/13 : CIA-RDP78-04718A000500160005-6

**Do  
this!**

Select or verify the efficiency rating elements per-tinent to the position.

**How  
you  
go  
about  
it!**

Think of the different positions or arrange rating forms according to classification grade and class; for example: Stenographers CAF-2 separate from Clerks CAF-2.

Think of the employee's position. Refresh your memory of the position's intended scope, duties, and responsibilities by reading again the official job description and by referring to assignments. Determine whether the position is or is not administrative, supervisory, or planning. Decisions are indicated by placing a check mark in one of the two boxes at the upper right-hand side of the rating form. The elements in italics are to be used for rating administrative, supervisory, and planning functions in the position. The elements not in italics are to be used for rating other functions whether in administrative, supervisory, or planning positions or in other types of positions.

Become familiar with the various elements on the rating form. You will find on the last few pages of this material some information that will assist you in doing this. REMEMBER THE ELEMENTS HAVE MEANING ONLY IN REFERENCE TO A PARTICULAR POSITION.

Select the elements, and only those elements, that are pertinent to the position. The elements used should be the same for like positions. In some cases, the efficiency rating committee will have suggested the elements. If you have any disagreements with the suggested selections, check with the committee. If you are working on the forms and you feel that additional elements are pertinent, encircle the element number in red ink, or if any suggested element is not pertinent, cross out its number in red ink. Changes should be made uniformly for like positions. These changes should be cleared, if possible, with the committee. The committee will see them anyway when it reviews your ratings for approval.

**When  
you  
do  
it!**

The best time to do this is in time for the employee to know, close to the beginning of the rating period, which elements are going to be considered in rating his work performance during the coming period. If it hasn't been done at the beginning of the rating period, it should receive attention as soon as the rating forms are received. If it has been done at the beginning of the rating period, make sure the employee's position hasn't been changed before you use the elements for rating at the end of the period.

**Why  
you  
do  
it!**

The efficiency rating is not an evaluation of the employee but of his work performance. The work performance is measured by the yardstick of reasonable job requirements. Job requirements must be related to activities found in the position. In other words, a charwoman should not be rated on her effectiveness in meeting and dealing with others because, regardless of how effective or ineffective she might be in this respect, this activity is not found in that position.

**Do  
this!**

**Determine the adjective efficiency rating.**

**How  
you  
go  
about  
it!**

The evaluations with respect to each of the elements used are consolidated into an adjective efficiency rating by following the "standard" found on the rating form. It is to be noted that the markings on the underlined (especially important) elements are given more consideration than the others used.

The standards for the adjective ratings of "Good" and "Fair" call for the use of judgment in determining whether weaknesses represented by minus marks on underlined and non-underlined elements are overcompensated by outstanding performance represented by plus marks on underlined and non-underlined elements. Your judgment should not be based on the theory that one plus mark balances a minus mark. Rather, you must consider the kind and level of position and determine the relative importance of the items marked plus and minus.

If you have for consideration any ratings made by another supervisor covering performance in a position of the same grade, do not mechanically or mathematically consolidate, average or combine them with your rating—consider them in the process of making your rating.

The standard will give proper results in the great majority of cases. Where its use does not give a proper adjective rating, deviations from the standard are permissible but have to be explained on the back of the rating form. Deviations may be permissible when the employee's performance is so outstanding in certain especially important respects that it completely overshadows the inadequacies. They are also permissible when the employee's performance is so defective in certain respects that it nullifies his performance in all other respects.

Write in the adjective efficiency rating in the blank space provided for the Rating Official.

**When  
you  
do  
it!**

As soon as you are satisfied that the element evaluations are correct, that is, they properly reflect the work performance as measured by the reasonable requirements of performance in that kind and level of position.

**Why  
you  
do  
it!**

The adjective efficiency rating completes the picture of the employee's work performance. Its determination takes into account the inadequacies of the efficiency rating system which reduces to a method what is by its nature a judgment process.

The adjective efficiency rating is used in such formal actions as salary advancement, reduction in force, salary reduction, and dismissal for inefficiency.

**Do  
this!**

**Check your work.**

**How  
you  
go  
about  
it!**

Assemble the rating forms and arrange them according to classification grade and class; for example: Stenographers CAF-2 separate from Clerks CAF-2.

Review all the ratings, comparing the rating of each employee, one with the other, within each class and grade (for instance, all Clerks CAF-2) for the purpose of making sure that:

- 1 You have maintained the same reasonable requirements of work performance;
- 2 You have not been influenced by such personal considerations as personal loyalty, sympathy, friendship, or prejudice;
- 3 You have not allowed your rating to be influenced by instances of success or failure in the elements of the job that are not typical of the employee's general performance;
- 4 You have used correct judgments in your rating regardless of whether others might say that you have rated liberally or conservatively;
- 5 You have not considered length of service in your ratings;
- 6 You have not been influenced by the employee's previous regular rating;
- 7 The rating form is complete in all respects.

**When  
you  
do  
it!**

Immediately after you have rated the work performance of all employees under your supervision.

**Why  
you  
do  
it!**

The rating of work performance is not a responsibility that can be taken lightly. Too much depends upon it. If the ratings are not fair to all employees or to the agency in which they work, the actions based on the ratings will not be fair to all employees or to the Government agency.

**Do  
this!**

**Sign and date the report and give it to the  
reviewing official.**

**How  
you  
go  
about  
it!**

On the blank spaces at the bottom of the rating form after the words "Rated by," write legibly in ink your name, your title, and the date of your signature.

Then give the ratings to your immediate supervisor who will either be the Reviewing Official or will transmit them to him. If there is no one who fits the description "the supervisor highest in line of authority above the rating official who has personal knowledge of the general performance of the employee to be rated and of the standards of performance of the unit in which the employee is assigned as compared with standards in other units," submit your ratings directly to the efficiency rating committee or the person who gave you the rating forms.

**When  
you  
do  
it!**

After you are satisfied that you have rated work performance properly and are willing to stand behind your judgment. The whole job of efficiency rating for all your subordinates should be completed within 10 days or 2 weeks after you have received the rating forms.

**Why  
you  
do  
it!**

A supervisor is required not only to make judgments but also to stand behind them. The responsibility for the part he plays in the whole process must be definite and a part of the record.

**Basic Principle: If it isn't required in the position, it should not be used**

<i>Efficiency rating element</i>	<i>Type of function or activity to which the element applies</i>	<i>Type of matters to be considered in rating work performance if the element is used</i>
1. Maintenance of equipment, tools, instruments.	Handling or using appliances, machinery, tools, as in toolkeeper, truckdriver, machine operator positions.	Keeping in good working order, cleaning, oiling, making minor adjustments. Using proper care in handling or storing. Notifying when repairs are necessary. Preventing breakage or loss.
2. Mechanical skill.	Making or repairing in a mechanical trade as in plumber, carpenter, automobile mechanic, electrician positions.	Knowing how to handle tools of the trade. Knowing the "tricks of the trade." Knowing what needs to be done and having the necessary skill to do it.
3. Skill in the application of techniques and procedures.	Having individual responsibility for following prescribed and established methods, as in statistical clerk, laboratory technician, and book-keeping positions—does not involve creation of methods. (Not applicable to trainee types of positions where employee is in process of learning the methods.)	Doing things in proper order. Following directions. Knowing which method to use in different cases. Understanding the methods.
4. Presentability of work (appropriateness of arrangement and appearance of work).	Having responsibility for preparing visible work products where employee has at least initial control of arrangement or appearance, as in positions involving the making of statistical tables, reports, forms, maps, and designs, or the typing of correspondence.	Neatness, orderliness of work product. Logical arrangement related to its use. Legibility. Balanced appearance.
5. Attention to broad phases of assignments.	Having responsibility for considering matters beyond the scope of the particular work assignments, as in positions involving determination of content of important letters, carrying on investigations, designing forms, recommending or determining courses of action.	Understanding objectives, interrelationships, and effect on other activities and the whole program and avoiding or working out inconsistencies or conflicts. Restricting or expanding particular assignments to desired scope and application. Maintaining perspective and coordinating work with the whole program.
6. Attention to pertinent detail.	Doing work involving many details or points to be remembered and having responsibility for taking care of them.	Noticing and taking care of details, small matters, fine points. Looking out for and catching errors. Avoiding waste. Taking safety precautions.
7. Accuracy of operations.	Having responsibility for accuracy in work operations where the employee does not produce and is not responsible for the whole work product.	Precision or exactness of work. Spoilage, damage, or loss due to inaccuracy.

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<i>Efficiency rating element</i>	<i>Type of function or activity to which the element applies</i>	<i>Type of matters to be considered in rating work performance if the element is used</i>
8. Accuracy of final results.	Having responsibility for accuracy of a whole work product which employee has produced and for which he is, at least initially, responsible.	Exactness with which the work product meets the purpose for which intended. Freedom from inconsistency. Usefulness of product.
9. Accuracy of judgments or decisions.	Having responsibility for correctness of courses of actions determined or interpretations made where freedom of choice or discretion is involved.	Fitness of action taken. Soundness of suggestions, recommendations, interpretations, decisions. Foresight—anticipating changes in conditions or probable events. Logical reasoning and analysis. Recognizing factors involved and giving proper weight to them. Extent to which judgments are adjusted, reversed or reviewed.
10. Effectiveness in presenting ideas or facts.	Expressing ideas or facts in official writing such as memoranda, letters, reports, briefs, and manuscripts, or orally through discussions or speeches.	Creating and keeping interest. Fitting language to different objectives and circumstances. Choice and use of words. Conclusion of irrelevant matter. Development of subject to its conclusion. Emphasis. Mannerisms.
11. Industry.	Applying time, interest, and energy to duties and responsibilities, particularly in positions where employee is not under such close supervision that it is the responsibility of the supervisor to see that the employee is fully occupied.	Concentrating on work. Getting down to work and working steadily. Spending time but not working. Visiting and gossiping with others, wasting own and their time. Taking care of personal business or occupying himself with matters not part of duties.
12. Rate of progress on or completion of assignments.	Working according to set schedules, time limits, deadlines, or reasonable time allotments for completion of tasks.	Meeting schedules, time limits or deadlines—keeping current. Showing progress—getting along. Working speed. Keeping job moving.
13. Amount of acceptable work produced.	Working on a production basis under a continuing workload where production records are or could be kept.	Number of usable units produced within some unit of working time (per hour, per day) as well as over a longer period of working time (during a week, month). Differences in difficulty of tasks. Working conditions. High and low peaks in production.
14. Ability to organize his work.	Having responsibility for many activities with discretion in planning details of work. (Does not apply to any position under close supervision.)	Putting first things first—orderliness. Giving proper proportion of attention to each matter to obtain the desired results. Coordinating work activity with that of others. Adjusting activities to circumstances and to facilities.

- Approved For Release 2000/06/13 : CIA-RDP78-04718A000500160005-6**
15. Effectiveness in meeting and dealing with others.
- Making personal contacts as a representative of the office or organization, especially with persons outside the unit, as in nurse, receptionist, social case worker, investigator, and trial attorney positions.
16. Cooperativeness.
- Assisting others in getting their work done for the good of the organization, usually when mutual assistance is necessary as when employees work together in groups.
17. Initiative.
- Having responsibility for knowing what needs to be done for the benefit of the program. With authority or room for action to go ahead and do it. (Rarely found in low-grade positions.)
18. Resourcefulness.
- Having responsibility for solving problems, particularly new ones where precedents or established methods are not adequate. (Rarely found in low-grade positions.)
19. Dependability.
- Doing work that is relied upon, carrying responsibility of trust, confidence, or discretion; or employed under circumstances where work will be seriously affected by the failure of an employee to follow his work schedule.
20. Physical fitness for the work.
- Doing work involving manual labor or physical alertness as in laborer, farmer, guard, janitor positions.
- Manner in approaching, meeting and working, dealing and conferring with others. Self-control, tact, poise. Acceptance of employee by others. Personal appearance and hygiene. Accomplishing objectives of contacts. Creating confidence, respect. Avoiding conflict, coordinating viewpoints, quieting antagonisms.
- Demonstrated willingness to lend a hand. Working for the group's results. Subordinating personal likes, dislikes or interests for the benefit of the organization—working unselfishly and generously. Team worker. Offering services. Obedience.
- Proceeding, going ahead, taking the lead, doing things without being told. Assuming responsibility. Self-starting, unafraid to proceed alone—self-confident. Acting in emergencies.
- Devising ways and means in solving problems or meeting situations. Applying imagination and ingenuity. Applying principles or methods to new uses. Making use of what is available. Having ideas—when one will not work, gets another—fertility of ideas.
- Assurance that assignments will be carried out—things will not be forgotten. Keeping appointments—being where supposed to be—readiness and availability to perform duties. Keeping promises. Knowing what information to give and when. Sobriety, devotion to duty, loyalty to organization, honesty.
- Having physical stamina and strength to do full day's work. Having physique appropriate to assignments, tools, machinery. Being able to lift, carry, pull, sweep, clean, stand, guard. Receiving favored assignments due to physical condition. Reluctance or refusal to do a job because of physical condition. Tiring easily.
- Seeing the objectives and scope of the over-all program. Determining and outlining the nature and size of organization necessary to attain the objectives of the program. Applying sound management principles in matters of organization, structure, budgeting, personnel administration, decentralization of operations, delegation of authority, and other matters of program and organization planning. Considering the nature and size of organization and providing, accordingly, for balanced, integrated, and effective management.
- Having administrative responsibility for establishing and managing an over-all program and organization. In a staff capacity, having responsibility for formulating and recommending over-all program and organizational structure. (Not applicable where the over-all program and organizational structure are stable or where an established plan is being duplicated.)

## Basic Principle; If it isn't required in the position, it should not be used

<i>Efficiency rating element</i>	<i>Type of function or activity to which the element applies</i>	<i>Type of matters to be considered in rating work performance if the element is used</i>
22.	Effectiveness in adapting the work program to broader or related programs.	Shaping the program to reach the larger objectives and to eliminate conflict or duplication. Coordinating one program with another so the combined effort accomplishes more than the separate efforts. Adaptability in modifying the program or organizational structure to meet changing conditions and then managing it in its altered state. Grasping the import of changing demands and responding accordingly. Making the organization an integral part of the larger organization. Ascertaining opportunities for coordinating services with related services.
23.	Effectiveness in devising procedures.	Analyzing functions and breaking them down into processes, methods, flow of work, required forms, material, equipment. Knowing how jobs should be done and keeping alert to new and improved methods of doing work. Preventing the creation of bottlenecks. Preparing procedures that take care of problems that will be encountered with sufficient flexibility to meet changing conditions, yet keeping procedures as simple as possible. Knowing what to include in written procedures.
24.	Effectiveness in laying out work and establishing standards of performance for subordinates.	Proportioning work fairly and impartially with due regard to the capabilities of subordinates (without overloading) and the production of the unit as a whole. Making assignments according to a plan or policy. Issuing written instructions, when necessary, to avoid misunderstandings. Establishing and securing a general understanding of quality, quantity of work, manner of working, and other such matters, required in the various kinds and levels of positions as a guide for subordinates and as a measure of accomplishments.
25.	Effectiveness in directing, reviewing, and checking the work of subordinates.	Giving clear directions. Maintaining control of work progress and quality. Keeping subordinates working at purposeful tasks consistent with the position grades. Maintaining smooth flow of work. Expediting work and personally refraining from becoming a bottleneck.

26. Effectiveness in instructing, training, and developing subordinates in the work. Having direct supervisory responsibility for improving the work performance of immediate subordinates. In a staff capacity, giving instructions and training supplementing the activities of line supervisors.
27. Effectiveness in promoting high working morale. Having direct supervision over a number of immediate subordinates with responsibility for developing and maintaining interest in the work, confidence in the supervisor, loyalty to the organization and smooth working relations.
28. Effectiveness in determining space, personnel, and equipment needs. Having administrative responsibility to plan space, personnel, and equipment requirements for annual budgeting or immediate use. In a staff capacity, having responsibility for formulating and recommending such plans or making recommendations on annual or immediate plans of administrative officials.
29. Effectiveness in setting and obtaining a adherence to time limits and deadlines. Having administrative responsibility for determining when an assignment or activity is to be completed or having supervisory responsibility for securing the completion by subordinates of work, assignments, or activities within a definite time period or by a definite date.
- Anticipating and recognizing need for training, devising training materials and methods, and making plans and arrangements for the actual giving of instructions. Analyzing abilities and improving them; helping subordinates to analyze their own abilities and assisting them in self-improvement. Helping, showing, coaching and following up with tact and patience. Giving group and individual instruction with the use of practical demonstration or other training aids. Developing understudies.
- Knowing employee attitudes. Taking proper disciplinary action at proper time and place. Criticizing helpfully. Giving credit where due. Having no favorites. Setting a proper example by being fair, loyal, enthusiastic, and stimulating, and knowing what and how the subordinates are doing. Actively dispelling rumors. Explaining objectives timely. Effectively representing management to subordinates, and subordinates to management. "Standing behind" and protecting subordinates. Settling grievances. Displaying calm, cheerful, tolerant, and diplomatic attitudes. Being accessible to subordinates. Giving attention to working conditions and hazards to safety.
- Being aware of program requirements for space, personnel, and equipment and knowing how to measure these needs. Keeping estimates for space, personnel, and equipment to a narrow margin of error. Planning the use of secondary facilities and sources when the extent and duration of the job to be done is limited or temporary and does not justify an increase in costs, personnel, or space. Reappraising needs in the interest of economy when conditions change or work load decreases.
- Knowing the value of setting schedules. Setting schedules that are possible of being met, that take into consideration the nature of the assignments or activity, and that are related to the urgency of the matters for completion. Checking on progress, helping by personally setting the pace if necessary, and clearing out hindrances. Looking for easier and less time-consuming methods. Maintaining a steady pace of work which if maintained will meet the deadline or time limit, rather than permitting procrastination and then requiring speed up. Giving rush matters timely attention.

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<i>Efficiency rating element</i>	<i>Type of function or activity to which the element applies</i>	<i>Type of matters to be considered in rating work performance if the element is used</i>
30. Ability to make decisions.	Having administrative authority to make decisions and establish courses of action for others to follow. (The accuracy of decisions made is not involved here.)	Being decisive. Making decisions or establishing courses of action in time without procrastinating, vacillating, or failing to take a stand or reach a conclusion at all. Having courage to say "yes" or "no" and saying it with conviction so that others can rely on it. Taking a reasonable chance on a course of action when necessary rather than waiting to be absolutely sure of its infallibility or remaining in a state of suspended judgment.
31. Effectiveness in delegating clearly defined authority to act.	Having administrative authority to delegate parts of own authority to act to subordinates who can then act for and in the name of the superior.	Delegating authority to act directly rather than by implication. Delegating definite authority with limits clearly defined. Delegating authority without divorcing himself of his responsibility for proper administration. Being willing to delegate such authority to set which would free him to carry out the more important functions and responsibilities. Delegating responsibility with equal authority.