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FERS 73- 3858
DD/M&S 73-3234

Approved For Release 2002/05/02 : CIA-RDP78-05077A000100140015-2

13 AUG 1973

MEMORANDUM FOR: Acting Director of Personnel

THROUGH : Deputy Director of Personnel for Plans and Control

SUBJECT : Apparent Discrepancies in Concepts of Personnel Evaluation

REFERENCES : a. Memo fr D/Pers to C/RCS dtd 27 Jul 73, subj: Proposed Changes to [REDACTED] 25X1A
b. Memo fr DD/M&S to Heads of DD/M&S Components dtd 6 Aug 73, subj: Competitive Evaluation System for Employees of the Management and Services Directorate

1. Referent a. requested changes in Agency regulations to implement specific modifications in the Agency's personnel evaluation system as considered by the CIA Management Committee on 1 June 1973 and approved by Mr. Colby subsequent to that meeting. There are apparent discrepancies between basic concepts therein and those promulgated in referent b.

2. The primary objective of referent a. is to establish a clear distinction between:

a. The system of performance evaluation involving Letters of Instruction and scheduled ratings of job performance against Agency-wide criteria in Fitness Reports for the official record which ratings are shown to the employees rated; and,

b. Those other systems for comparative evaluation of the relative capabilities and potential of employees as pertinent to various selection considerations. Such comparative evaluations (rankings) are not recorded in official Agency records and usually are not made known to the employees concerned.

3. The attachment to referent b. titled "AN EVALUATION SYSTEM FOR THE SUPPORT CAREER SERVICE" seems well designed for the purpose in 2b above and is consistent with referent a. as proposed. On the other hand referent b. and the attachment "FITNESS REPORTS FOR MEMBERS OF THE MG CAREER SERVICE" contain instructions which conflict with referent a. and require supervisors in the M&S Directorate to evaluate promotability and executive potential on Agency Fitness Reports which will be shown to the

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employees concerned. It is recommended that you meet privately with the DD/M&S as soon as possible to discuss appropriate action to realign the instructions in referent b. with Agency policy as contained in referent a.

25X1A



Chief, Review Staff

Atts

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MISSING PAGE

ORIGINAL DOCUMENT MISSING PAGE(S):

ATTACHMENT

27 JUL 1973

MEMORANDUM FOR: Chief, Regulations Control Staff

SUBJECT : Proposed Changes

25X1A

1. Please arrange publication of the attached proposed changes to the subject regulations, to the Fitness Report Form, and to the Directions for Completing that Form. These changes will implement modifications in the Agency's personnel evaluation system as considered by the CIA Management Committee on 1 June 1973 and approved by Mr. Colby subsequent to that meeting.

2. The list of approved recommendations and Mr. Colby's additional instructions are attached for your information.

/s/ John F. Blake

John F. Blake
Director of Personnel

Att

Distribution:

Orig & 2 - Adse

1 - EO-DD/M&S

1 - D/Pers

2 - Review Staff (1 w/h)

OP/P&C/RS :dbw (26 July 73)

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E. 2 IMPDET CL BY 010026

1. Approved Recommendations

- a. ~~Approved For Release 2002/05/02 : CIA-RDP78-05077A000100140015-2~~
revise the certification statement to indicate that the employee has seen all entries on the Form.
- b. Add in the certification block an invitation to the employee to attach any comment (not necessarily in rebuttal) which he feels will contribute to the record of his job performance and require him to check an appropriate box indicating that he has or has not chosen to do so.
- c. Revise the Fitness Report Instructions to reemphasize that evaluations and narrative comments should relate to job performance and that any comments concerning potential should be confined to factors related to job requirements.
- d. Include in the Instructions a requirement that reviewing officials confine their comments to the evaluation of the person being rated and not to include an evaluation of the rating official.
- e. Include in the Instructions a requirement that rating officials comment on the rating performance of those employees who are themselves rating officials.
- f. Forward a copy of the revised Fitness Report Instructions with each set of three Fitness Report Forms for review by the rating and reviewing officials before completing the Fitness Report.
- g. Revise Agency Regulations to make the Deputy Directors responsible for providing instructions and guidance in adapting the use of Fitness Reports so as to best evaluate the job performance of employees within their areas of jurisdiction.
- h. Revise Agency Regulations to make the Deputy Directors responsible for providing guidance to the Heads of Career Services under their jurisdictions in developing and administering systems for appraising such factors as promotability and career potential.
- i. Revise Agency Regulations to make the Director of Training responsible for providing instruction in job performance evaluation for all supervisors, including instruction in the use of the Fitness Report Form and emphasizing the development of skills in conducting job performance evaluation interviews.

2. After the meeting Mr. Colby approved the report and directed the Director of Personnel to implement it with the following additions:

- a. Letters of Instruction will be used by all to establish what is expected from the individual; i.e., goals and objectives. Ratings then will relate to how individual achieved the established objectives.
- b. Mr. Colby wants the employee to review the rater's comments and then to comment himself as he desires. The reviewing officer then adds his comments and the ratee sees the entire report.



20. PERSONNEL EVALUATION

a. POLICY. Evaluations of employees' job performance and of their relative capabilities and potential are inherent in personnel management and should be as objective as possible. The Agency's personnel evaluation program includes an Agency-wide system for job performance evaluation and competitive evaluation systems suited to the selection requirements of the Directorates and the Career Services.

(1) Performance Evaluation. The Agency's performance evaluation system is designed to promote communication and understanding between supervisors and employees with respect to their performance of their assigned duties and to provide an official record of employees' job performance in terms of Agency-wide criteria.

(2) Comparative Evaluation. Systems for evaluating the relative capabilities and potential of employees are designed to facilitate selection decisions involving their utilization, promotion and retention. These systems should include comparative evaluations of all factors pertinent to the selection decision and should exclude consideration of factors which have no real bearing on the decision. The results of these comparative evaluations are of transient value since they pertain to comparisons between members of particular groups and to specific

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selection considerations at given points in time. They are not recorded in official Agency records and usually are not made known to the employees concerned.

- b. PERFORMANCE EVALUATION. Continuous evaluation of the performance of employees by their supervisors is an essential element of the Agency's personnel management program.

(1) Policy.

- (a) Supervisors will ensure that employees understand the nature and scope of their duties and responsibilities and are continuously advised as to the effectiveness of their performance.
- (b) Evaluations of the performance of staff employees and staff agents will be recorded in official Agency personnel records at least once each year. Employees will be shown the reports of their performance evaluations except when operational circumstances, security considerations or other unusual conditions make it impractical or ill-advised to do so. If he does not show the employee his performance evaluation report the supervisor will explain in the report the reasons for such action.

- (2) Letters of Instruction. Supervisors will provide employees written statements of the nature and scope of their work. These statements will be revised to record any significant change in their duties and responsibilities. Supervisors

will also participate with employees in defining annual performance objectives and action plans which specify the timing of results which the employees intend to accomplish. These objectives and plans establish the standards for evaluating each employee's performance in terms of his productivity during the following year. Performance objectives and action plans will be revised to record significant qualitative or quantitative changes in productivity goals.

(3) Recording Performance Evaluations

- (a) The Fitness Report (Forms 45, 45k, and 45m) will be used to record performance evaluations and will be prepared and submitted in accordance with the instructions contained in Forms 45i, Directions for Completing Forms 45, 45k, and 45m, Fitness Reports.
- (b) A memorandum in lieu of Form 45 is permitted for employees in grade GS-14 and above when it is clearly established that such a substitute is appropriate and not merely an avoidance of specificity. When a memorandum is used, care should be taken to ensure that the purposes of a Fitness Report are observed. The memorandum will be prepared in accordance with instructions contained in Form 45i. A memorandum in lieu of Form 45k or 45m will not be used for a Career-Provisional Employee.
- (c) Promotion recommendations will not be made on Fitness Reports.

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- (4) Submission of Reports (No change)
- (5) Notice of Fitness Reports Due and Delinquent (No change)
- (6) Responsibilities
 - (a) The Director of Personnel is responsible for developing and monitoring the Agency's program for producing timely and useful records of the evaluations of employees' job performance.
 - (b) The Director of Training, in consultation with Operating Officials, is responsible for providing their supervisors with instruction in job performance evaluation for all supervisors including the development of Letters of Instruction, performance objectives and action plans, the conduct of performance evaluation interviews, and the use of the Fitness Report Form.
 - (c) Deputy Directors are responsible for providing instructions and guidance in adopting use of Fitness Reports so as to best evaluate the job performance of employees within their areas of jurisdiction.
 - (d) The Heads of Independent Offices, Operating Officials, and supervisors are responsible:
 - (1) For ensuring that employees are informed continuously as to the nature and scope of their duties and responsibilities;
 - (2) For assisting employees in defining annual performance objectives and action plans;

- (3) For continually informing employees of the effectiveness of their job performance; and,
- (4) For reporting evaluations of employee performance in Fitness Reports in accordance with paragraph (3) above.

(7) Appeals. In addition to adding his comments to his Fitness Report, an employee who so desires may appeal his performance evaluation in accordance with provisions of Grievance Procedure.

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c. COMPARATIVE EVALUATION. Deputy Directors will guide the Heads of Career Services under their jurisdiction in developing and administering systems for comparing the relative capabilities and potential of employees as pertinent to their selection for assignment, advancement and retention. The Director of Personnel will assist in the development and operation of such comparative evaluation systems and will review them from time to time to ensure their continuing relevance to the selection factors under consideration.