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23 July 1964

MEMORANDUM FOR: Chief, Plans and Review Staff

SUBJECT : Task Force on Personnel Records -- Findings and Recommendations

1. The Task Force on Personnel Records has completed a review of the personnel records system. The review covered all but one of the areas which were outlined in its initial charter. Within that broad framework, the Task Force directed its main effort toward the things which warranted immediate attention. Therefore, these findings and recommendations relate

- a. to fundamental concepts and responsibilities for the production and maintenance of personnel records; and,
- b. to priorities among the basic items which should form the core of a central records system maintained through up-to-date techniques for storage and retrieval. In conducting the review, the Task Force purposely avoided any consideration of specific technicalities of input and maintenance.

2. The Task Force identified the following characteristics of the personnel records system as warranting primary attention:

- a. The lack of clear concepts of the basic purpose and objective of the personnel records system as a tool of personnel management, and of the role of the Director of Personnel as the keeper of official personnel records.
- b. Confusion as to the meaning of records of authorized positions and as to the use of the position structure to record essential information concerning the deployment and utilization of staff personnel.
- c. The lack of a positive sense of purpose among those who are involved in the production and maintenance of records of personnel assignments and of a clear delineation of their respective responsibilities in this area.
- d. Vagueness as to relative priorities among those basic items of staff personnel information which ought to be maintained centrally in an automated system but under the substantive control of the Director of Personnel.

3. Tabs A through C amplify the findings and present the recommendations of the Task Force regarding the areas outlined above. While the Task Force was not always unanimous in its view, this report represents a consensus

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of the opinions of its members. The Task Force believes sincerely that these findings identify serious deficiencies in current record keeping practices and that purposeful implementation of these recommendations will improve this Agency's capacity to manage its personnel resources intelligently.

4. Tab D covers Task Force activity concerning the reports aspect of personnel records and the Chairman's recommendations for further action in this area.

5. The Task Force worked hard to overcome serious problems of communication which plagued all of its efforts. The nature of this difficulty is common. It might be described as a veneer of apparent understanding and agreement as to basic principles of personnel management at the conversational level. This veneer masks a hodge-podge of more or less incompatible concepts and interpretations of policy and program objectives at deeper levels of consideration. Frequently, it was necessary for the Task Force to struggle through semantic differences and focus on basic issues in order to clarify areas of agreement or disagreement. Therefore, although these findings contain familiar phrases, they represent a depth of conviction which warrants their being given serious consideration.

6. In essence, the Task Force is recommending:

- a. development throughout the Agency of a deeper understanding of the inherent importance of reliable information (intelligence, if you will) in personnel records;
- b. more purposeful and conscientious implementation of existing programs which are well designed to supply the kinds of personnel information of interest to management; and,
- c. that care be taken in the further automation of personnel records to ensure that first attention goes to the input of basic items of information and to the programming of reports which are of first priority from the viewpoint of personnel management.

7. As a by-product of this review, it is worth observing that the problems of communication which the Task Force faced are indications of more fundamental problems involving:

- a. the failure of the Agency, so far, to clearly define personnel policy and program objectives; and,
- b. the fact that Agency regulations generally understate the role of the Director of Personnel in relation to what the Agency really expects him to do.


Deputy Chief, Plans and Review Staff

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TAB A

The Purpose of the Personnel Records System
and the Role of the Director of Personnel as Record Keeper

OBJECTIVE

The objective of the Task Force, as initially stated, was to pool the knowledge of a representative group of thoroughly experienced personnel officers in reviewing the conceptual basis of the personnel records system with the aim of defining:

1. the essential purposes which the Agency's central records of personnel are expected to serve; and,
2. the role of the Director of Personnel in relation to the Heads of Career Services, and the other Operating Officials who are involved in the production, maintenance and dissemination of personnel record information.

FINDINGS

1. The Task Force is unanimous in the opinion that the Agency fails to recognize adequately the inherent importance and potential usefulness of valid official records of personnel assignments. The members are all quite familiar with concepts and practices which have tended to ignore the value of accurate records, per se, and have denied the importance of efforts to account accurately for the deployment of staff personnel. Nowhere, for example, do Agency regulations state the objective of maintaining official records which are accurate and potentially useful. Likewise, there is no clear statement of the division of responsibility for establishing and maintaining official personnel records. General practice over the years

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has been to reward those in the record process who were clever in manipulating official records so as to circumvent the application of ceiling and budgetary controls.

2. The Task Force reached the following conclusions concerning the purposes and objectives of the personnel records system and the role of the Director of Personnel as keeper of official personnel records:

- a. The Purpose of the Personnel Records System

The essential purpose of the personnel records system is to make available to management that basic information which will enable the Agency to manage its personnel resources intelligently and to satisfy and protect employee interests. All who use this information should do so with confidence that the output of the system is sufficiently valid and current to be useful. Although various management elements are interested in reports of different combinations of items of personnel information, there is no appreciable difference in the basic items which the system must contain in order to meet their respective needs.

- b. Categories of Personnel Record Information

In order to facilitate its own deliberations, the Task Force identified four primary categories of information within the personnel records system:

- (1) Requirements Information - Information about the Agency's requirements for people. These items

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TAB A (3)

personal services, as recorded in the budget and in gross ceiling allotments, into qualitative definitions of requirements for staff personnel which are meaningful in the recruitment and management of people.

- (2) Status Information - Information about an individual's employment relationship with the Agency which, for staff personnel, includes his identification with a particular career service and a particular position.
- (3) Qualifications Information - Information about the experience, skills, abilities, preferences, aptitudes, interests, and other attributes of employees including significant items of evaluative information such as test results and fitness reports.
- (4) Personal Information - Information which is primarily of interest to the Agency as it concerns employees personally, as individuals.

d. Positions as Controls

- (1) Positions are refinements of personnel ceiling allotments. They provide additional qualitative information which is essential if the efficiency of personnel utilization is to be considered in connection with the management of personnel strength. It is essential to decide precisely which activities are to be increased or decreased in order to control personnel strength intelligently based upon knowledge of what kinds of people are surplus or are in short supply.

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- (2) An authorized (planned) position ought to be the statement of an established requirement for the full-time services of one employee; and, the title, service designation, grade level, and location of the requirement should be interpreted literally as they are stated in the position record.
- (3) Although it takes some time to translate ceiling changes into modifications of the position structure, this loss of time is not serious. It takes far longer to actually bring about any significant change in the size of the work force.
- (4) Now that top management has tied the number of positions closely to ceiling throughout the Agency, there is no appreciable difference between the strength levels represented by allocated ceilings and by the aggregate of authorized positions in the various components.
- (5) The aggregate of positions in any component or career service should represent the current staffing plans for that element for the foreseeable future, and should be used both to control and to appraise personnel management in the element concerned.

d. The Director of Personnel as Record Keeper

- (1) The Director of Personnel must bear substantive responsibility for administering the personnel records system.
- (2) He bears full responsibility for items of status information. The meaning of items in the requirements category and the qualifications category, and the meaning of inter-relationships between such items, is the very essence of the personnel function. No matter how the role of the Director of Personnel is defined, his effectiveness will depend heavily upon the validity of items in these categories. This would be the case even if his sole function was to keep records and to respond to requests for specific information. He authenticates items of requirements information and has a substantive interest in the significance and validity of those qualifications items which he maintains. When he authenticates the identification of an individual with a particular position, he establishes a relationship between the qualifications items which pertain to the individual and the qualitative requirements of the position. It would be unreasonable for him to knowingly establish such a record which was potentially useless or misleading.

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TAB A (5)

e. The Validity of Record Items

In order to maintain the validity of record items within reasonable limits, the Director of Personnel must:

- (1) Identify the basic items of information which ought to be included in the personnel records system.
- (2) Establish an order of priority among these items to ensure that the system operates to put first things first.
- (3) Establish a responsible source for each item to be recorded. Each such point of responsibility ought to be compatible with the allocation of other responsibilities for personnel management. Whenever practicable, it should also coincide with the last point in the sequence of points of substantive interest and authority for specific action in the matter concerned.
- (4) Determine the kind of documentation, if any, which is necessary to introduce each item into the records system and how long any such documentation should be retained in the system.
- (5) Establish controls to ensure that the input of record items is timely; and, as appropriate, schedules for reviewing and up-dating specific items of record.
- (6) Introduce into the personnel records system only such items as are valid and potentially useful.
- (7) Conduct periodic audits of items of requirements information and status information.

- (8) Operate a program to encourage employees periodically to up-date appropriate items of qualifications and personal information.

RECOMMENDATIONS

1. The Task Force recommends that Agency regulations be modified, as appropriate, to:
 - a. include a statement which would establish the maintenance of valid personnel records as a policy objective of the Agency and as a functional responsibility of the Director of Personnel;
 - b. include a statement of the policy objective that changes in official records of personnel assignments should be timed, in-so-far as possible, to coincide with actual changes in the assignment status of the individuals concerned;
 - c. establish clearly the policy that the structure of planned positions is the mechanism for monitoring overall staff personnel strength and for controlling the deployment of staff personnel within the Agency.
 - d. make clear the positive requirement for recording development complement assignments whenever an employee is in a non-duty status for longer than 30 days.
2. The Task Force also recommends that the Division Chiefs in the Office of Personnel review the activities of their components and collaborate in planning necessary action to accomplish the program changes which are indicated by these findings.

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TAB B

The Meaning of Authorized Positions and
Records of Personnel Assignments.

OBJECTIVE

The initial statement of the purpose of the Task Force included the objective of establishing "relative priorities for reporting and for maintaining the current accuracy of specific items of personnel information."

FINDINGS

1. Early in its deliberations, the Task Force members recognized that generally, and even among themselves, there was confusion as to the meaning of records of authorized positions and as to the use of the position structure to record basic information concerning the deployment and utilization of staff personnel. They also recognized the general absence of a positive sense of the purpose of official records among those who produce and maintain records of personnel assignments. There is a lack of clear delineation of the respective responsibilities of those who are involved in this area.
2. Records of Position Assignments
 - a. As indicated in Tab A, the Task Force agreed that position records ought to be the basic mechanism for transmitting essential information concerning valid requirements for staff personnel.
 - b. The Task Force was also unanimous in the opinion that assignment records are a major source of inaccuracies in official personnel records. Further, the reasons for making individual position assignments in CIA are not

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TAB B (2)

necessarily the same as those which apply in the competitive civil service. Therefore, it is essential for this Agency to:

- (1) establish its purpose in assigning individual staff employees to specific positions, if this practice is to continue; and,
- (2) define the meaning of the records of such assignments when they have been authenticated and incorporated into the personnel records system.

c. Some members of the Task Force felt strongly that an effort should be made to maintain official records which would provide more precise and detailed information about the whereabouts and activities of employees than could possibly be obtained through records of position assignments. However, there was no agreement among those who held this belief as to the degree of detail which should be sought.

3. The Meaning of a Position Assignment

a. After very thorough consideration of this problem, all members of the Task Force agreed that the Agency should continue the practice of assigning employees to specific positions. There is also agreement that, as a matter of record information, the fact that an employee is identified officially with a particular position is intended to mean that he is:

- (1) under the command of the element indicated (Office, Headquarters Branch, Field Station and Base, [REDACTED])

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- [REDACTED] or, in the case of assignment to a Development Complement, the Career Service concerned);
- (2) at the geographic location indicated (country, city code); and,
 - (3) performing at his grade level the duties which are covered by the service designation and title of the position.

- b. The Task Force also agreed unanimously that, as a matter of principle, changes in the official record of position assignments ought to be timed to coincide with the events which they represent.

RECOMMENDATION

The Task Force recommends that the Director of Personnel conduct a program of training and indoctrination to ensure that the above concept of the meaning of records of personnel assignments is understood by Personnel Officers and their superiors throughout the Agency.

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TAB C

The Identification of Essential Record
Items and their Sources

OBJECTIVE

The initial outline for Task Force action included the objective of reviewing "needs for the use of records on personnel and positions in order to establish priorities and controls for the production and maintenance of specific items of record information." As a matter of prime importance, the Task Force decided to identify only those record items pertaining to staff positions and to staff personnel:

- a. for which the Director of Personnel is substantively responsible; and,
- b. which must be maintained centrally in a manner which makes them readily retrievable in any desired combination.

FINDINGS

1. In identifying personnel record items, it was relatively easy to isolate items in the "requirements" and "status" categories. However, it was much more difficult to keep a clear distinction between the "personal" and "qualifications" categories. The Task Force concluded that the value of maintaining this distinction was insufficient to justify the effort to do so. It also became apparent that the number of items which could be included in these latter categories was almost endless. Therefore, the Task Force decided to limit its concern in these areas to items essential to the personnel records system in support of personnel management objectives. Among all of the items listed, the Task Force believes that the ten requirements items, the eighteen status items, and the first seven personal and qualifications items are essential. It would give equal and slightly lower priority to the rest of the items in the latter category. These "items" are only intended to identify particular areas of information. Although the range of all of

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these items is relatively small, their content varies from single units of information to more complex combinations of information.

The content of items of the latter type will require further definition in more detail in order to code them for processing. It will also be necessary to analyze the potential variability of all items in order to deal with them in an automated records system.

2. The Task Force believes that the basic items of information which it has identified must be recorded and maintained properly in order to make the personnel records system effective. This ought to be accomplished before consideration is given to the addition of other items to the system.
3. In showing sources for record items, it was the aim of the Task Force:
 - a. to identify the particular element (or elements) within the Office of Personnel which ought to carry substantive responsibility for introducing the item into the central records system; and,
 - b. to identify the point (or points) outside the Office of Personnel which ought to be responsible for accurate and timely information on the item concerned.
4. The Task Force followed the principle that the points of responsibility for information on record items ought to be compatible with the allocation of responsibilities for other aspects of personnel management. Whenever practicable, such points should also coincide with the last point of substantive interest and authority for the matter concerned.
5. The primary significance of this identification of sources is in the category of status information where the Task Force recommends, in many cases, that the Office of Personnel look to Career Service Heads for up-to-date and accurate information on the whereabouts and activities of the members of their career services. The Task Force believes that

our whole system of personnel management supports the determination that the career services should properly be held responsible for having and for providing up-to-date information concerning the items indicated.

RECOMMENDATIONS

The Task Force recommends:

- a. that first priority be given to the automation of records pertaining to the items of information which are listed below; and,
- b. that the Director of Personnel hold those elements, which are shown as sources, fully responsible for the validity of official records concerning the items indicated. (The Task Force believes that this action would require no change in regulations and that the objective can be accomplished through appropriate indoctrination of Personnel Officers and their superiors.)

REQUIREMENTS INFORMATION

<u>Item</u>	<u>Source</u>
1. Position Number	Op. Official--SWD
2. Most Recent Date of Authentication	Op. Official--SWD
3. Organization (Office, Hqs. Branch, Field Station, Base, [REDACTED])	Op. Official--SWD
4. Geographic location (country, city code)	Op. Official--SWD
5. Service Designation	CS Head--Op. Official--SWD
6. Schedule (WB, GP, GS, SPS, Army, AF, etc.)	CS Head--Op. Official--SWD
7. Grade or Rank	CS Head--Op. Official--SWD
8. Occupational Title and Code	Op. Official--SWD
9. Organizational Title (Thru Base and Branch)	Op. Official--SWD
10. Planned Incumbency	CS Head--Op. Official--SWD

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STATUS INFORMATION

<u>Item</u>	<u>Source</u>
1. Type of employment and effective date (Career Provisional, Career, Reserve, Temporary, Detail and including NTE as appropriate)	CS Head--POD/CSPD/MMPD
2. Employee SD and effective date	CS Head--POD/CSPD/MMPD
3. Full or part time or WAE (including NTE as appropriate)	CS Head--POD/CSPD/MMPD
4. Employee Salary Schedule (WB, GP, GS, SPS, Army, AF, etc.)	CS Head--POD/CSPD/MMPD
5. Employee Grade or Rank and Effective Date	CS Head--POD/CSPD/MMPD
6. Employee Salary Step and Effective Date	Supervisor--POD
7. Military Furlough and Effective Date	Employee--POD
8. Category for release of information	Op. Official
9. Veteran's preference	Employee--POD
10. LCD	POD
11. SCD	POD
12. Retirement Coverage (type)	POD/MMPD
13. Type of Retirement under a Federal Retirement System	Employee-POD
14. Special Training Status (POTS, LOTS, COTS)	CS Head--OTR--POD
15. Number of Assigned Position and Effective Date	CS Head--POD/CSPD/MMPD
16. Organizational Location of Assigned Position	CS Head--POD/CSPD/MMPD
17. PRA's (reason and expiration date)	CS Head--POD/CSPD/MMPD
*18. Separation Items and Effective Date	

* A sub-committee under the Chief, Outplacement Branch, is reviewing the identification of items to be included in the central record after a staff employee leaves the Agency. Chief, Outplacement will report on this to Chief, POD.

PERSONAL AND QUALIFICATIONS INFORMATION

<u>Type</u>	<u>Source</u> *
1. Employee Serial Number	POD
2. Social Security Number	Employee--POD
3. Name (True or Pseudonym)	Employee--POD
4. Residence	Employee--POD
5. Date of Birth	Employee--POD
6. Sex	Employee--POD
7. Citizenship (Year Naturalized; State, if by Birth)	Employee--POD
8. Religion	Employee--POD
9. Race	Employee--POD
10. Marital Status (Single, Married, Divorced, etc.)	Employee--POD
11. Spouse (Sex, DOB, Citizenship, Race, Occupational Status)	Employee--POD
12. Foreign Relatives (Country)	Employee--POD
13. Dependents (Sex, Citizenship)	Employee--POD
14. Emergency Addressee and Address	Employee--POD
15. Special Interests (Hobbies, Avocations, Sports)	Employee--POD
16. Education (Degrees - When and Where Acquired, Schools Attended and Dates, Courses)	Employee--POD
17. CIA Sponsored Training (Significant Courses and Dates)	OTR--POD
18. Pre-CIA Employment Including Federal Service (Employer, Type of Work, Salary)	Employee--POD
19. Military Service (Where, What, Grade)	Employee--POD
20. Military Training	Employee--POD
21. Reserve Military Status	Employee--MMPD
22. Draft Status	Employee--POD
23. Publications	Employee--POD
24. Patents	Employee--POD
25. Awards	Employee--POD/BSD
26. Language Skills (Claimed and tested)	Employee--OTR/POD
27. Area Knowledge (How, When and Where Acquired)	Employee--POD
28. Fitness Reports (Type, date and overall rating)	Op. Official--POD

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TAB D

REPORTS

OBJECTIVE

The final objective of the Task Force, as initially outlined, was to "review the purposes to be served by the dissemination of reports of personnel record information and plan a coherent and economical system of reports to provide useful and timely information for purposes of personnel planning, accounting, management and control." The aim here was to reduce regular reports to the essential minimum in order to enable the system to respond more quickly to requests for a greater variety of special reports. The following steps were outlined:

1. Determine the particular combinations of record items which together will produce a meaningful system of reports.
2. Establish economical schedules for issuing those reports which need regular dissemination.
3. Identify those reports which should be programmed so as to be produced readily on call.

FINDINGS

The Task Force made several attempts to deal with the question of reports as outlined above. Most of the members of the group agreed that this was an essential aspect of the study of the personnel records system. However, the group as a whole found itself unable to focus on the problem effectively because some members could not accept the task as outlined and some others became convinced that they lacked sufficient knowledge to make a worthwhile contribution in this area.

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OBSERVATIONS

1. The Chairman has no doubt that considerable benefit can be gained from a fresh and objective look at our reporting practices. This is not to denigrate what is being done in this area now, nor to invite debate about how these practices came into being. It is evident that diligent effort over the years to respond to the expressed needs of users of personnel record information has produced a reporting capability which, as far as the Chairman knows, is unsurpassed in scope and detail. However, it is equally evident that the concepts and practices which evolved in this fashion are not designed to produce an economical and cohesive system of complementary reports. Under these circumstances, a great deal of manpower is consumed within various elements of the Office of Personnel in the production of reports.
2. The inability of the Task Force to cope with this problem has strengthened the Chairman's conviction that a careful re-appraisal of the underlying concepts and objectives of our reporting activities is in order. Such a review would provide the basis for designing an economical system of reports which would be suitable for implementation through the application of sophisticated EDP techniques.

RECOMMENDATIONS

The Chairman recommends:

1. That this Task Force be disbanded with the submission of this report and with the understanding that another working group will be formed

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with the specific task of reviewing personnel reporting activities.

Chief, POD and Chief, SWD concur in this course of action.)

2. That appropriate representatives of BPAM, DDI, DDP and DDS&T be invited to participate in developing a basic system of personnel reports in accordance with the Task Force objectives originally outlined.

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