

TAB A

~~CLASSIFICATION~~

**SECTION D**

**NARRATIVE COMMENTS**

Indicate significant strengths or weaknesses demonstrated in current position keeping in proper perspective their relationship to overall performance. State suggestions made for improvement of work performance. Give recommendations for training. Comment on foreign language competence, if required for current position. Amplify or explain ratings given in Section C to provide best basis for determining future personnel action. Manner of performance of managerial or supervisory duties and cost consciousness in the use of personnel, space, equipment and funds, must be commented on, if applicable. If extra space is needed to complete Section D, attach a separate sheet of paper.

**SECTION E**

**CERTIFICATION AND COMMENTS**

<b>1. BY SUPERVISOR</b>		
<b>MONTHS EMPLOYEE HAS BEEN UNDER MY SUPERVISION</b>	<b>IF THIS REPORT HAS NOT BEEN SHOWN TO EMPLOYEE, GIVE EXPLANATION</b>	
<b>DATE</b>	<b>OFFICIAL TITLE OF SUPERVISOR</b>	<b>TYPED OR PRINTED NAME AND SIGNATURE</b>

<b>2. BY REVIEWING OFFICIAL</b>		
<b>COMMENTS OF REVIEWING OFFICIAL</b>		
<b>DATE</b>	<b>OFFICIAL TITLE OF REVIEWING OFFICIAL</b>	<b>TYPED OR PRINTED NAME AND SIGNATURE</b>

<b>BY EMPLOYEE</b>		
<p><i>Verify that the entries in all sections of this report are correct and that they represent a fair and accurate selection of my performance.</i></p>		
<b>DATE</b>	<b>OFFICIAL TITLE OF EMPLOYEE</b>	<b>TYPED OR PRINTED NAME AND SIGNATURE</b>

~~CLASSIFICATION~~

TAB B

~~ADMINISTRATIVE INTERNAL USE ONLY~~

**SECTION A — GENERAL**

The items of this section should be completed by the appropriate administrative or personnel officer. Special instructions for completing or omitting items of this part of the report should be carefully observed on Field Transmittal — Fitness Report, Form 45a.

**SECTION B — QUALIFICATIONS UPDATE**

Use this Section to indicate whether the employee's qualifications are updated during this reporting period, and whether they are attached.

**SECTION C — PERFORMANCE EVALUATION OF SPECIFIC DUTIES AND OVERALL PERFORMANCE IN CURRENT POSITION**

**Rating Scale**

The rating scale as set forth in this section in Forms 45, 45k, and 45m, Fitness Report, is to be used to reflect evaluation of Specific Duties and of Overall Performance. Use a single rating letter without the addition of decimals, plus or minus signs, or other modifications. In making your selection of the adjective evaluation for Section C and in completion of the narrative in Section D the following factors should be considered as appropriate:

- |                                     |                    |
|-------------------------------------|--------------------|
| Cost Consciousness                  | Mobility           |
| Security Consciousness              | Initiative         |
| Ability to Think Clearly            | Versatility        |
| Supervisory Effectiveness           | Productivity       |
| Acceptance of Responsibility        | Decisiveness       |
| Foreign Language Competence         | Resourcefulness    |
| Effectiveness of Oral Expression    | Cooperativeness    |
| Effectiveness of Written Expression | Records Discipline |

**Rating of Performance of Specific Duties**

In this section the supervisor will list in order of importance the most significant duties the employee has performed during the rating period. Each duty shall be described in sufficient detail to provide information which may be useful later in considering individuals for other assignments. Your evaluation should be recorded by entering the appropriate letter in the box provided for your evaluation of each duty.

**Rating of Overall Performance in Current Position**

In making this rating the supervisor should, in addition to performance on all specific duties, consider the employee's conduct on the job, his productivity, working relationships and adaptability in order to arrive at a rating which will reflect an employee's overall value on the job. Although promotability may be considered in the evaluation, no specific promotion recommendations will be made on Fitness Reports. (Promotion recommendations will be made in accordance with [redacted])

**SECTION D — NARRATIVE COMMENTS**

In this section the supervisor describes the employee's demonstrated abilities or deficiencies in the performance of his present job. Except for Career Provisional Employees as specified below, any comments concerning potential shall be confined to the present and future work performance of the person being rated. Full narrative comments should be made on each appropriate element. The narrative comments may include reference to a specific duty. Any weakness noted in a prior year's fitness report must be commented on in the subsequent fitness report.

Statements such as "no change from previous report" will not be used. Any relatively high or low ratings in Section C should be explained or amplified by supporting statements. In addition, the supervisor may comment here on any extenuating circumstances which might affect the productivity and effectiveness of the employee. Comment should be made on the relative performance of the person being rated with other people known to the rater doing comparable work. Manner of performance of managerial and supervisory duties and cost consciousness in the use of personnel, space, equipment, and funds *must* be commented on for all employees who have responsibility for managing Agency assets.

Comment must include an evaluation of the employee's performance in rating subordinates. (If the employee being rated does not have such responsibilities, a statement to that effect must be included.) In evaluating managerial and supervisory effectiveness, the following factors should be considered:

- Delegation of responsibility
- Establishment and maintenance of clear lines of authority
- Use of personnel, space, equipment, funds, etc.
- Formulation and coordination of programs
- Developing teamwork

In completing the ratings on Career-Provisional Employees, comment should be made on the intent, capability, and desire of the employee to fulfill the service obligations of the Career Service to which he is assigned. All reports for Career-Provisional Employees, including Reassignment and Special reports, will contain specific statements concerning (1) the employee's suitability for continued service and (2) his potential for conversion to a Career Employee. The 30-month reports will be forwarded with Form 45r containing the recommendation of the Head of the employee's Career Service as to whether he should be converted to a Career Employee.

**SECTION E — CERTIFICATION AND COMMENTS**

Rating officers will certify on the Fitness Report that poor performance, when it occurs, has been a subject of discussion with the employee preferably before but at least at the time of the fitness report.

Reviewing officials are responsible for assuring that all reports made by rating officials under their jurisdiction are consistent and reflect uniform standards of reporting. Through the counseling and supervision of rating officials, reviewing officials can play a major role in improving the operation of the Fitness Report program.

In addition, reviewing officials should, as a matter of practice, provide their own evaluation by positive comment on the performance of the individual being rated. If the reviewing official is in substantial disagreement with the rating official he should discuss the evaluation with the rating official and the employee. Follow-up action on the Marginal and Unsatisfactory ratings is also a reviewing official responsibility.

The person being rated may attach to his Fitness Report a memorandum containing any comment which he feels will contribute to the record of his job performance. The memorandum will be attached to the original for inclusion in the Official Personnel Folder.

When a person departs an overseas station without having been shown his Fitness Report, it is incumbent upon the Career Service to have the report shown to the individual.

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I. BELL AND HOWELL. Basically, the Bell and Howell appraisal system employs the management by objectives concept. In addition to assessing current work performance, their system emphasizes the identification and development of employees with potential for advancement to more responsible positions. The appraiser is directed to define in advance two or three major goals or critical objectives in the employee's position that can be described in terms of accomplishments and then periodically evaluate his performance with respect to these objectives. Narrative statements are used in the process in lieu of rating scales. In addition, the appraiser must list and comment on the employee's strengths and weaknesses. The information is used for determining the kinds of experience or training needed to help the employee improve. The balance of the appraisal process deals primarily with evaluating the individual's potential and the validity of his career development plans. No adjective or numerical rating is given.

The appraisal instrument relies almost exclusively on a narrative evaluation of employees and is quite general in nature, allowing the individual appraiser a great deal of latitude in the appraisal process. By design, this appraisal system relies heavily upon successive upward reviews so that more than one appraiser usually weighs performance and promotability. The company feels this is additional assurance that differences among appraisers will be tempered as appraisals are transmitted up the line. Discussion of appraisal results with employees is optional.

Two features of this system are of interest: (1) Replacement Planning, and (2) High Potential Listings. Replacement planning is made a part of the regular appraisal process and the supervisor is asked to identify replacement candidates for the incumbent being evaluated on both a short and long term basis. At the same time, the supervisor is asked to prepare a High Potential Listing form. This consists of the identification of "comers", age 35 and under, who seem to have the proper combination of education, training and managerial characteristics conducive to success in the company. No justification is required at the time of submission, but each nominating supervisor is expected to be prepared to discuss each of his recommendations with an Organization and Management Development Committee at a later date.

II. GENERAL DYNAMICS. The appraisal systems utilized by the General Dynamics Corporation varies among its subsidiaries. However, like Bell and Howell, management by objectives is the general approach. The system is "results-oriented" for supervisory and professional personnel.

Supervisors are asked to describe the employee's major assignments during the period being evaluated, explain the degree to which performance requirements and job objectives were met, summarize agreed upon job objectives for the next appraisal period, list strong points and areas needing improvement, outline the employees' career goals and highlight the employees' attitude toward his appraisal and his feeling regarding employment with the corporation. In addition, supervisors must rate overall performance on usually a five point scale, potential on a four point scale and rank employees doing essentially the same work numerically. Therefore, the appraisal process not only assesses current performance but serves as a gauge of potential, determines the maximum salary attainable at a particular level of performance and establishes the appraisee's standing among his peers. In all cases, the results of the appraisal are discussed in detail with the employee. Salary changes may or may not be discussed at the time of the appraisal.

As stated by General Dynamics, their major challenge "is to assure that our management is properly oriented and trained in the completion of the instrument and methods for effectively communicating results to the employee being reviewed. This has required management development and training of supervisors." General Dynamics goes on to state that "The appraisal forms have been effectively used to evaluate performance of personnel for promotion and to determine their performance and potential for future growth. It has been well received and supported by our management." Of special interest, is the care exercised in the attempt to classify appraisees in terms of their contributions to the company.

III. DETROIT EDISON. Detroit Edison considers employee appraisal primarily in the context of management development. Company policy states that, "Effective development of management personnel requires the periodic inventory of management resources in light of future needs, planned selection and development of personnel with potential to meet these organizational needs, continued improvement of such individuals in handling their current assignments, and encouragement and opportunity for self-development." The system is basically "results-oriented" and predicated on previously established goals and objectives set during annual planning sessions.

Emphasis is placed on informal day-to-day coaching and on-the-job development. At least once a year, a discussion is held with each subordinate to review work progress and to plan for the period ahead. However, no formal rating is given. Formal, confidential summary appraisals of performance and potential are made every two years by the immediate supervisor and may include other knowledgeable parties, as participants in the process. Appraisals are reviewed at successive organization levels, and a summary report made to the president. Appraisals focus on results achieved, methods employed, strongest single qualification, greatest development need, potential, recommended action for improvement and readiness for promotion, rated on a six point scale. Biannual appraisals are not discussed with employees.

Three factors are of special interest in Detroit Edison's appraisal philosophy: (1) the annual planning interview, (2) the status code used in appraisals, and (3) the confidential nature of the biannual summary appraisal.

The annual planning interview serves as a performance barometer and gives the subordinate and supervisor the opportunity to talk over the work situation and results achieved, set new objectives and plan for the work period ahead. They discuss problems inhibiting results, how these can be eliminated and reach common agreement as to how to best meet their new objectives. Another interesting feature of the process is the "status coding" of individuals to indicate graphically, by color coding their name and position on organization charts, their potential and promotability. Through this process, the charts readily reflect the organization's "health" by highlighting problem individuals, "comers," "dead enders" and areas where replacement or corrective action is needed. Finally, use of the confidential, biannual appraisal summary by Detroit Edison is in variance with the emphasis on participative management by most other organizations studied. Despite annual planning sessions, employees cannot really be expected to know where they stand in the eyes of management with respect to their promotion potential in view of the confidential nature of the summary appraisal.



IV. TEXAS INSTRUMENTS. Texas Instruments' management philosophy is to achieve company goals in a manner that motivates individual employees to achieve their personal goals. The corollary of this approach is the need to identify, evaluate, develop and reward all key individual contributions (all employees, not just top management) to company efforts. To accomplish this, Texas Instruments has developed a rigorous system called Key Personnel Analysis, under which each employee is judged on a criterion of his contribution to the achievement of company goals.

In support of Key Personnel Analysis, the company uses a narrative appraisal instrument, combining results and person oriented factors through which the employee and the supervisor identify and list specific job related and personal goals (both long and short term). In the context of the duties assigned to the employee, accomplishments are then outlined which indicate progress toward and/or completion of these previously established goals. These data then serve as the basis for the performance appraisal discussion between the employee and his supervisor.

As a part of the appraisal process, supervisors evaluate employees semi-annually, in terms of the degree to which they achieve established goals on at least four factors considered common to all jobs: job knowledge, dependability, quantity and quality of work. If considered appropriate, supervisors may utilize additional job related factors as for example, technical competence, commitment to organizational objectives, ability to motivate people, acceptance and responsiveness to decisions, and others. A five point scale ranging from unacceptable to outstanding is utilized. Finally, employees are given an overall rating, utilizing the same five point scale, ranging from unacceptable to outstanding. All aspects of the appraisal, as well as the ratings, are discussed with employees.

Following this phase of the appraisal process and starting with the immediate supervisor, individuals are rank ordered on the basis of their relative performance and contributions. An adjustment to their salary may be recommended at this time, but this is not an automatic requirement. The ranks are then combined at successive levels of the organization until the department level is reached. The department manager identifies "benchmark" people among the various sections reporting to him. Benchmarks are those people judged as having made equal contributions to the company, even though they are in different functions and job grades. This procedure allows different groups to be combined equally, according to Texas Instruments. Each person is then placed in one of five comparative rating units of 20% each. The top 20% unit is paired compared, that is, each person is paired with every other person and one of each pair is selected against the contribution criterion. From this, a new rank ordering is achieved. Division managers next review the top two units and combine the top contributors from among their departments. Finally, group managers repeat the process again by benchmarking among divisions and pair comparing the top 5%.

Therefore, this evaluation process serves many purposes including incentive awards, base salary adjustments, identification of development needs, identification of high talent individuals, and present and future manpower resources. This same process is used by Texas Instruments in the appraisal of their nonexempt employees, except for the complex rank order technique.

Texas Instruments believes that their system is "pretty good but not perfect" and although most employees and supervisors support the system, the company "encounters problems in communicating goals up and down within the organization." Of interest, beside the rather rigorous system of paired comparisons, obvious is the importance Texas Instruments attaches to the performance appraisal process and the special training and preparation of supervisors for the appraisal interview. In this regard, supervisors are scheduled for preappraisal orientation training sessions prior to each round of interviews. In this context, they have a very useful handbook which outlines many of the important "do's and don'ts" of performance appraisal discussions.

V. GENERAL ELECTRIC. At General Electric, each of the company's operating components develop their own performance appraisal procedures and instruments, therefore, there is no "company approved" system of format for such appraisals. The system described in this section is utilized by the International Sale Division of GE and is considered by the company to be an excellent example of an integrated approach to measuring performance, based on job responsibilities and tied to manpower development. The general practice is to have a formal performance review at least every 12 months. GE's Corporate Management believes that their approach has been successful and has met with the approval of both managers and their people. The disadvantage they cite is that the process is time consuming for managers to carry out. As such, it requires active top management support or it will fail.

The International Sales Division of GE utilizes the "results-oriented" approach to employee appraisal and it is comprised of two phases.

Phase I. Position Performance Analysis

Purpose:

- Determine what is supposed to happen
- Determine what did happen

Phase II. Employee Performance Appraisal

Purpose:

- Measure employee performance
- Utilize the measurements to achieve improvement

PHASE I

To carry out Phase I, GE utilizes the two processes described below:

1. Work Planning Process. This is the process by which work goals or objectives, related to the employee's position or functional assignment, are established. It is the means for making known to all concerned, what is supposed to result from the position. Efforts are made to reduce these items (specific things the supervisor and employee mutually agree can be accomplished in the job during a stated period of time, and within certain quality parameters) to writing.
2. Work Plan Reviews. This technique is utilized to determine what did happen in the job, in terms of established goals. Making known the goals is only the beginning and GE believes the most important part of the total process is the Work Plan Review. They encourage it on a planned cycle every 1 - 2 months.

Their system provides for a business type review in an atmosphere of two members of the organization attempting to accomplish a specific plan, analyzing how successful the work product has been to date, and mutually solving problems and breaking down roadblocks that may have prevented more complete or total job success. The company believes these sessions result in major achievements if the supervisor establishes his credibility as a manager who is interested in seeking a solution, not a conviction.

General Electric believes that Work Planning and Work Plan Reviews should take place throughout the year. They contend that their real purpose and effectiveness is in getting things done, and as such, at annual performance appraisal time they provide an excellent record of work accomplishments. The processes described above apply mainly to the company's Exempt positions. However, they believe that the system has application to many nonexempt jobs as well.

Throughout the Work Plan Review, GE insists upon a distinction between Position Performance and Employee Performance. While admitting that the distinction is a fine one, they point out that frequently the accomplishment of established objectives is not entirely the result of the employee's efforts or capabilities. By concentrating on the position's accomplishments and shortcomings, they contend it is an easy step for the supervisor and employee to mutually analyze what must be done to make the position more effective. Since this step is not considered the employee's performance appraisal, they argue that this process should be limited to an attempt to measure the effectiveness of the organization and/or position, unclouded by the influence of personal emotions.

#### PHASE II

In Phase I, the employee and his supervisor discuss the functional work of the position, the degree to which goals and objectives were accomplished and what changes should be effected to achieve improvement. Phase II is designed to take a look at the "other side of the coin", to determine what elements of the individual's personal performance contributed to that degree of functional success or failure. Elements of Personal Performance highlighted by GE for Phase II of the evaluation process are:

- Know-how
- Problem Solving and/or Action Taking
- Responsibility Assumption

The Performance Appraisal Instrument utilized is composed of three parts, all requiring a series of narrative statements to describe achievements, performance and personal characteristics. The evaluations are based upon the three elements of Personal Performance mentioned above. In addition, employees are assigned a numerical rating on a five point scale for each evaluative statement made in Parts I and II (Performance Identification Code). The sum total of the Performance Identification Codes determines Company salary action.

Part I of the instrument provides for statements by the supervisor:

1. Analyzing the degree to which the employees' position objectives were accomplished.
2. Stating his observations of the employees' personal overall performance of the position objectives.
3. Strengths demonstrated, and
4. Improvement needs.

In Part II, the supervisor is instructed to evaluate the employee in terms of his performance on projects, programs, special tasks or improvement goals assigned during the appraisal period.

Part III of the instrument asks the supervisor to discuss those observed personal characteristics of the employee that have helped or hindered his performance and to offer constructive suggestions for improving the subordinate's capability.

A composite numerical rating on a five point scale is then assigned, which indicates the supervisor's overall assessment of performance (Performance Identification Code). Finally, a Manpower Action Code is assigned, utilizing a five point spread to indicate the employee's readiness for advancement to a more responsible position.

This completes the formal appraisal process, except for a review of the appraisal with the employee's second level supervisor and the indepth discussions of the results with the employee. Employees are furnished a copy of their completed appraisal instrument.

Of special interest in the GE program is (a) the effort to separate or distinguish between position performance and employee performance, (b) the effort spent in an attempt to achieve a complete understanding between the employee and his supervisor regarding work goals and objectives (c) the total lack of secrecy in the process and (d) the relative complexity of the system.

VI. WESTERN ELECTRIC. There are a number of appraisal systems currently in use in Western Electric. However, they are still experimenting with new concepts and techniques in an effort to secure greater acceptance by supervisors, which they consider key to the success of appraisal programs. Despite the differences in the systems, however, the major purpose of all of Western Electric's employee appraisal programs is to provide an objective, periodic assessment of the performance of employees for salary and promotional purposes, including developmental needs.

The system currently utilized for salaried personnel employs a relatively simple instrument that it utilized for both appraisal and employee development purposes. Its major characteristic is an assessment of performance on objective criteria or attributes such as quantity and quality of work, job knowledge and skills and sense of responsibility. Therefore Western Electric is attempting assessments of behavior they believe is directly observable and that affects job performance. For each of the five (5) critical attributes, supervisors appraise performance on a three (3) point scale as "limited," "good" or "outstanding." For performance judged as "Limited" or "Outstanding," supervisors are required to record critical incidents in support of their conclusions. The critical incident method is not required for evaluations falling in the "good" category. In addition to the assessment of attributes, supervisors must evaluate the employee's attendance record and punctuality, assign an overall rating for total performance using the same three point scale, specify skills requiring development and recommend action plans for achieving this. Finally, they must judge promotability by field of work in terms of "Ready Now," "Ready Later" and "Not Promotable."

Western Electric officials point out that the weakness of this system is the failure to require supervisors to officially discuss the appraisal findings in detail with employees. If the employee requests, he must be permitted to review his appraisal but no "face to face" interview is required. Company officials further point out that they have not adequately fulfilled the critical need of properly training supervisors in the administration of the program and the conduct of the appraisal interview, both crucial to the success of performance appraisal. To this writer, another significant deficiency of this system is the lack of predetermined performance standards or guides against which actual performance can be measured.

For their supervisory and managerial employees, Western Electric is currently testing an experimental management appraisal concept and instrument. It differs from the system described above in that emphasis is placed upon "accountabilities" or performance standards mutually established in advance by the supervisor and employee, following the management by objectives concept. A brief narrative statement is required to describe the results achieved in terms of the predetermined

standards for each goal or objective established and the accomplishment is also rated on the same three point scale of "limited," "good" and "outstanding." As described in the previous system for salaried employees, an overall rating is also assigned. With this experimental system, the company does insist on a joint employee-supervisor review of the appraisal results and the employee's signature on the completed appraisal instrument is required.

The company's formal procedure for assessing the potential of supervisory and managerial personnel is satisfied through another form (Management Potential Inventory), separate and distinct from the appraisal process. This instrument prepared annually, requires the presentation of a rather complete summary of the employee's background including age, years of service, time in rank, education, corporate development programs attended, special assignments and a chronological listing of work experience by specialization and geographic location.

In addition to an overall assessment of potential for specific fields of work, managers are required to describe briefly the individual's areas of demonstrated competence, list in priority order the specific activities recommended for developing the individual's managerial potential, explain how the recommendations will satisfy the identified needs and provide a timetable for accomplishing each recommendation. In finalizing the Management Potential Inventory, managers, using the critical incident method, must support each conclusion and recommendation by citing "live" examples from the work situation.

Annually, following the completion of all Management Potential Inventories, each manager meets with his peers and his superior to discuss how the potential of his supervisors and those of his peers can best be developed. Based upon these meetings and a detailed review of the instruments, Specific Action Plans are developed for those employees judged to possess the greatest potential.

There are several interesting observations that can be made following the review of the Western Electric appraisal systems and their experience with them. Among the more important are:

1. It is difficult for a single appraisal system to best meet the multiplicity of demands placed on it. Consequently, one or more of the demands is apt to suffer.
2. The effectiveness of any system depends not only on the type of instrument, concept or system employed, but on the way it is presented and administered within the organization.
3. The best conceived and designed appraisal system will "fall flat on its face" unless it is fully accepted by management and supervisors.
4. One important way of assuring acceptance is through intensive training, utilizing small workshops where practical experience can be obtained by actively participating in practice appraisal interviews, both as a subordinate and a superior.

VII. IBM. The present IBM Employee Appraisal and Counseling Program was installed on a corporate wide basis in 1969, when a decision was made to change from a traits-oriented approach to one based on performance against stated and understood job requirements.

IBM's new appraisal program has four principal objectives: (1) to let each employee know what is expected of him; (2) to let him know how he is meeting expectations; (3) to assist him in his self-development efforts, and (4) to pay him according to his contributions to the business. To achieve these objectives, the Appraisal and Counseling Program consists of three parts:

1. Performance Planning and Evaluation.

- To ensure that each employee understands what is expected of him in his job.
- To provide a more objective basis for evaluating his performance.

2. Employee Development Planning.

- To assist employees in their self-development efforts.

3. Promotability or Reassignment Recommendations.

- To assist managers in identifying employees who should be considered for promotion and reassignment opportunities.

The Performance Planning and Evaluation phase of the IBM Appraisal and Counseling Program follows pretty much the classic pattern. The employee and supervisor discuss the requirements of the position, identify and briefly describe the four or five major elements of the job, mutually agree upon and reduce to writing the performance factors and/or results that can reasonably be expected to be achieved during the coming period and then rank order the major tasks or job elements in terms of their relative importance.

At the close of each appraisal period (employees are appraised every six months during their first year of employment and annually thereafter), the supervisor briefly describes actual achievements and then rates the achievement of each previously identified job element on a five point scale ranging from "far exceeded" to "unsatisfactory." The IBM appraisal instrument also requires the supervisor to describe (1) additional significant employee accomplishments during the period, (2), other continuing responsibilities not included in the previously identified major job elements, if they had a significant positive or negative effect on overall performance, and (3) significant positive or negative employee influence in job related relationships with others.



An overall rating of "satisfactory" or "unsatisfactory" is then assigned. It is interesting to note that IBM has established four gradations of "satisfactory" ranging from "far exceeds job requirements in all key areas" to "results achieved meets job requirements." Also two levels of "unsatisfactory" have been identified. These are "marginal - must improve" and "inadequate - on notice."

The supervisor and employee then meet to discuss the appraisal in depth. The supervisor must also counsel the employee on his strengths and areas where improvement is suggested. These items are also recorded on the instrument. Significant items or comments resulting from the appraisal interview are also recorded by the supervisor and the employee is then afforded the opportunity to record his comments regarding the performance plan or his appraisal. The instrument is then submitted for management review at the next higher level.

To comply with part two of the Appraisal and Counseling Program, Employee Development Planning, supervisors prepare an Employee Development Plan annually for each subordinate. This instrument provides for a brief narrative description of the employee's (a) interests and aspirations, (b) his growth potential in the next 2 - 5 years, and (c) developmental needs. A specific action plan to meet identified needs is then outlined along with the results achieved from action plans developed for the prior appraisal period.

The final phase of the IBM program consists of the preparation of the Promotability or Reassignment Recommendation instrument. This is also done on an annual basis for each employee. The supervisor is expected to do two things. First, indicate whether the employee is (a) promotable now, (b) reassignable now, or (c) not ready now. If the supervisor concludes the employee is "ready," he then must describe the assignment he recommends in terms of the organization level, company function, geographic location and division, if possible.

IBM reports that their new program is accepted by all levels of management, especially as the underpinning of their merit system, as it relates to compensation and advancement. Since the program was recently introduced, they are now in the process of assessing its overall effectiveness, identifying major strengths and weaknesses and developing appropriate changes to optimize strengths and eliminate or minimize deficiencies. From information collected to date, they feel that, generally, the program is supported by all of their people. They admit that some concerns have been expressed about paperwork requirements and scheduling rigidity. However, they express confidence that these issues can be resolved if their current study indicates they are, in fact, problems.



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Executivo Registry

72-4237

31 July 1972

MEMORANDUM FOR: Executive Director - Comptroller

SUBJECT : Revision of Fitness Report System

1. Throughout business and government, the fitness report remains one of the more maligned vehicles of management but also one of the more valuable tools available to managers and employees. Any large organization--particularly one in which there is a fair degree of mobility--must have a system which provides a written record of the employee's performance. The Agency is too large to depend on personal acquaintance or knowledge of an employee when significant personnel decisions are being made. In its present form, the Agency fitness report is far superior to earlier versions and is reasonably responsive to the needs of the Agency. Nonetheless, the system needs additional refinements to make it a more meaningful tool for both manager and employee. MAG believes that any plan for revision should take into account the following broad objectives.

2. One basic key to the success of the fitness report is the attitude of the supervisor. If he regards it as a pro forma exercise, the value of the report is diminished considerably and the system itself loses credibility. As a first objective, therefore, MAG thinks that the supervisor's role in the total procedure should be reviewed and that specific steps should be taken to strengthen his ability to use the system wisely and fairly. Specifically, MAG recommends:

- a. That every supervisor be given a written set of instructions and guidance on preparation of fitness reports. If the system is in any way revised, new instructions and/or oral briefings should be given.

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- b. That every supervisor be specifically rated by letter (in the section on "Specific Duties") on how well he prepares and handles fitness reports for those he supervises. Samples of fitness reports could perhaps be included in his own personnel file.
- c. That OTR give some attention to fitness report objectives and procedures in management classes. In particular, consideration should be given to requiring all supervisors to attend the one day Performance Appraisal Workshop run by OTR before they prepare their first fitness reports.
- d. That supervisors in a given office, division, staff or component get together periodically to discuss problems, procedures and goals in regard to fitness reports.

3. A second broad objective of revision should be to involve the employee more intimately in the procedure. The fitness report vitally affects his future and is the vehicle by which he sees concrete evidence of the esteem or lack thereof accorded him by his supervisors. Yet, he may play only a limited--even perfunctory--role in this vital process. At present, the rater writes the fitness report (and may or may not discuss it in depth with the employee), the employee signs it and the reviewer comments on it. The element of genuine dialogue is all too often missing, and the supervisor loses a unique opportunity for counseling and guiding. Further, the report itself contains no record of an employee's reactions or comments. To remedy these deficiencies, MAG recommends:

- a. That the fitness reports carry a separate section for employee comments and that employees be encouraged (or perhaps even required) to utilize this.
- b. That a statement be incorporated in the report (possibly just above the signature) which affirms that the supervisor has fully discussed the employee's performance in terms of strengths and weaknesses and has set adequate goals for the future.

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- c. That a further statement be incorporated in the report which specifically advises the employee as to what his signature implies (his acquiescence to the report or merely that he has seen it?) and what grievance procedures are available to him if he takes exception to the report.
- d. That the employee (and rater) be permitted to see the comments of the reviewing official.
- e. That an employee be given a copy of his report for retention if desired.

4. Still another problem is the widely divergent manner in which various offices rate their employees. Although in some cases differences among components may be ascribed to the differing abilities of managers to communicate in writing it seems more likely that inconsistencies stem from management's failure more effectively to standardize the system. MAG therefore recommends:

- a. That serious study be given to the problem of devising objective criteria for evaluation which are applicable to all Directorates. (OCI made an effort to do this in a memorandum of January 1970 which spelled out more precisely what each letter category represented.)
- b. That other offices adopt some version of the OCI use of a box score printed on the fitness report which lists OCI percentages in a given letter category against the overall Agency percentages. The reviewer thus has some feel for what the rating means in terms of the Agency as a whole.

5. To ensure that the revised system meets the needs of both manager and employee, MAG feels continual review and study of the system is necessary. At present, an employee who is unhappy over a fitness report or a supervisor's attitude toward the process is in somewhat of a dilemma. If he does not choose to make a formal complaint to the Inspector General, he has no recourse to a less formal means of review. Even should he be permitted to write his own comments on the fitness report itself, he may still feel the need to discuss

ADMINISTRATIVE

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problems with someone not directly in the chain of command. MAG also feels that some of the reluctance to change the system in the direction of greater openness and candor might diminish if some objective studies were made. MAG specifically recommends:

- a. That a kind of "ombudsman" be appointed in each Directorate with whom employees could consult about problems in fitness reports. Such a consultation would not constitute a formal complaint, but the ombudsman could use his own discretion about informing higher management about problems with a particular rater.
- b. That objective study and research be undertaken on such questions as (1) to what extent do the rater and reviewer disagree and (2) does the requirement of showing the entire fitness report to the employee make a substantial difference in the way the report is written.

6. MAG considered several other possible changes. One MAG member felt strongly that the only effective way to rate employees honestly would be through reports which were never seen by the employee. Majority sentiment was opposed to this method. At the other extreme, a MAG member suggested that the employee-supervisor dialogue on fitness reports should be maximized by having the employee summarize in draft form his accomplishments during the period, as he saw them, and then discuss these with his supervisor. The supervisor in turn would use this summary and the ensuing dialogue to shape the report itself. A related suggestion was to have the supervisor show a draft copy of the report to the employee before formal submission so that the rater could make constructive changes as he saw fit before making the report final. Both of these dialogue-maximizing suggestions sought to create a flexible, rather than a "take-it-or-leave-it," atmosphere. MAG believes that, while these procedures may in fact have been used successfully by some supervisors, they should be used only by highly skilled people who will not allow the process to degenerate into one of negotiation or bargaining. This approach therefore is not advocated for general use.

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ADMINISTRATIVE

7. MAG also considered the possibility of abolishing letter grades to force more attention to the narrative section. The suggestion was made that, since some 76 per cent of the ratings given in the Agency in 1971 fell into either the "strong" or "outstanding" category (with another 23 per cent in the "proficient" category), the present rating scale is worthless and should be eliminated. MAG, however, hopes that its suggestions will help to make fitness reports more accurately reflect actual performance. Finally, MAG considered and rejected the idea of including in the report an employee's comments and requests relating to assignments, training, and so forth. We recognize the need for continued discussion on these aspects of an employee's career but believe the fitness report is not the proper mechanism. Certain offices have devised procedures to handle this aspect of career development (e.g. OCI's EBAR--Employee Biennial Assessment Review) and these could be studied with an eye to application elsewhere.

8. MAG in particular wants to emphasize that the fitness report should never be a substitute for a continuing dialogue between supervisor and employee. The evaluation in a report should come as no surprise to an employee. Rather, what is written in the report should reflect what has been said all along as to an employee's weaknesses and strengths, his progress, his attitude and his goals. Changes in the fitness report procedure will merely correct surface deficiencies. The basic need is for on-going and candid communication.

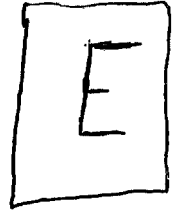
9. MAG sees the Fitness Report as a good basic tool which, with modifications and increased utilization, could become more valuable to all. From management's viewpoint, increased use of the reports as a personnel counseling vehicle, coupled with inputs from the employee, could do much to enhance the value of the fitness report.

MANAGEMENT ADVISORY GROUP

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19 JUL 1972

MEMORANDUM FOR: Chief, Review Staff, OP

SUBJECT : Agency Fitness Report System

1. At your request the SP Junior Advisory Panel reviewed and discussed the present Agency fitness report program. This memorandum presents our comments on what we believe is a most important part of any personnel management system. Individual comments by SPJAP members are attached as attachment A.

2. Over the past twenty-five years managers and personnel officers have been deluged by a flood of literature on employee performance appraisal. We too have actively studied this question and, like our counterparts in government and industry, agree that performance appraisal is a necessary ingredient in an effective personnel management system, yet difficult to administer. Our fitness report system has been scrutinized and modified several times during the Agency's relatively brief history, but in spite of our best efforts we still find that it is an imperfect tool. Too often there is wide disparity between the real man on the job and the description of the man found in the official personnel folder. Each of us has his personal collection of cases where lack of proper documentation in fitness reports has demanded the valuable time of a Career Service Head, a Deputy Director, the Executive Director, and ultimately the Director. Less serious cases have caused poor personnel decisions which, in turn, have affected adversely both the Agency and its employees. Our appraisal mechanism is far from perfect, but then no organization has been bold enough to announce that it has developed a foolproof system that guarantees accurate information all the time.

3. Why does our fitness report system fail to realize our high expectations? We personnel officers have concentrated on the purely mechanical side of performance appraisal and overlooked the purposes of our system. We have made changes in areas like the number and type of rating scales, requirements for narrative comments, and the schedule for submission, yet we have never effectively defined why supervisors and managers need to prepare good fitness reports and how they can use them. Personnel regulations simply say that, "The continuous evaluation of the performance of employees by their supervisors is an essential element of

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-2-

the Agency's personnel management program, " but do not give any further guidance. Under these circumstances, it is not surprising that many view fitness reports merely as a once-a-year bureaucratic requirement with little or no meaning. Regardless of the mechanics surrounding performance appraisal, the best evaluations will be written by supervisors who see the reports as an integral part of their personnel management system. In some cases, the reports are just a paper exercise because both the supervisors who write them and the managers who read them have alternate systems to evaluate their employees -- feedback from the "good old boy" net or informal peer ratings. Written evaluations often run a poor second to these other "tried and true" techniques although they have become less and less useful over the past few years. Our formal performance appraisal system will be more effective when supervisors and managers believe that fitness reports are not only useful but also necessary. As it now stands, the report is just another form that must be completed.

4. Under the Agency's decentralized personnel management system, Deputy Directors and the Heads of Career Services are responsible for most personnel decisions. At the same time, however, we in the Office of Personnel struggle to develop a single fitness report system that will be all things to all people. It would be more profitable to have Directorates and Career Services first examine why they need fitness reports and then study how they use them -- one may see them as a vehicle for motivating employees, another for planning assignments, and still another for identifying managerial potential. These and a score of other reasons are all valid, yet how many components have worked with us to study their unique requirements, tailor the fitness report form to their needs, and explain their viewpoints to employees, supervisors, and other career services. Instead of tinkering with the mechanics of the fitness report, let's help the Executive Director and the Deputy Directors analyze why they need an employee appraisal system and what they can expect from one. Let's then assist the heads of career services and subordinate offices to identify their own needs within the broad guidelines provided by top management. This approach would not require components to create new forms or rating schemes but would force them to review

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-3-

and rationalize their performance appraisal systems. Once supervisors and managers see fitness reports as their system, not just a creature of the Office of Personnel, we will have taken an important step toward more meaningful reports. True, we will not have a neat Agency-wide package on fitness reports, but we will have something more useful.



STATINTL

Chairman  
SP Junior Advisory Panel

Attachment

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Individual Comments by SPJAP Members on Present Agency Fitness Report Program

1. Adapt narrative comments to meet not only Agency-wide needs but individual career service needs.
2. Require reviewing officer comments that are negative or in disagreement with rating officer comments to be shown to employee concerned.
3. Require that all fitness reports be shown to employee concerned if not by a command structure -- by career service.
4. Schedule supervisors for performance appraisal training before they become supervisors. This training should include the interview process also.
5. Adopt management by objectives philosophy in order to increase communication effectiveness between employee and supervisor. This could be tailored to include grade levels where a direct management by objectives approach is worthy of the effort.
6. A long term approach would be to establish within the Office of Training an assessment center where employees could be sent to identify management potential.
7. Reviewing Officer comments should be shown to employees.
8. Reviewing Officer comments should not be shown to employees.
9. Three ratings should be used - Outstanding, Satisfactory, and Unsatisfactory. An over-all rating should be used instead of individual ratings for each duty.

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3 FEB.  
1972

MEMORANDUM FOR: All CS Component Chiefs

SUBJECT: Fitness Report Procedures

1. Experience which we have accumulated as a result of the introduction of the Evaluation Board system indicates clearly that our present procedures for handling Fitness Reports need tightening up and improvement. I believe there is a good deal that can be done in this regard without having to launch an Agency-wide effort to revise the Fitness Report form, which would be a major bureaucratic undertaking requiring more time and effort than the results would in all probability justify. Since I am sure all of you have ideas of your own on this general subject, I believe a general discussion of this topic by the PMC is essential before we try to put into final form any procedural changes having to do with Fitness Reports.

2. I attach hereto a proposed agenda for such a PMC discussion. I would like to have any suggestions you may wish to make as to additional topics or thoughts you would like to see examined on this occasion. I suggest that, by way of preparation for this session, you review this subject with those of your officers who have served on Evaluation Boards, since they will be particularly alive to the problems created for the evaluators by inadequate Fitness Reports.

3. If you wish to suggest additional agenda items, please let me have your suggestions no later than COB 1 March.

[Redacted Signature]

25X1

DDP/OP

Attachment, 1/w

Dist: All Division and Staff Chiefs

NOC.  
PEC  
Mr.

[Redacted Name]

25X1

[Redacted Stamp]

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Proposed Agenda

- A. General comments on problems posed by FR's for Evaluation Boards.
- B. Distribution for information purposes of table showing spread of ratings by percentages.
- C. Role of Reviewing Officer: should it be changed to make it obligatory to show his comments to rated employee?
- D. Possible adoption of "Proficient plus" and "Strong plus" as ratings.
- E. Use of coding categories in connection with "Specific Duties" section of FR, for machine in-put.
- F. Possible (across-the-board) use of "Letters of Instruction" parallel with FR's.
- G. Supplement FR with statement by rated employee of what he believes his accomplishments to have been. Establish input by rated employee as normal, not abnormal.
- H. Relate specific duties and narrative to evaluation precepts.
- I. Require comment (where appropriate) re agent development and recruitment.
- J. Require comment re foreign language development and maintenance.
- K. Acquire comments re quality of FR's prepared on subordinates.
- L. Discontinue inclusion of promotion recommendations in FR's.



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Proposed CSCS Fitness Report Schedule

<u>Grade</u>	<u>FY 73 Eval. Board Schedule</u>	<u>FR Current End Date</u>	<u>Current Date FR Due in from Field</u>	<u>FR Proposed End Date</u>	<u>Proposed Date Due in from Field</u>
GS-08	05 Jul - 21 Jul	30 Jun	31 Aug	28 Feb	30 Apr
GS-09	31 Jul - 28 Aug	30 Sep	30 Nov	31 Mar	31 May
GS-10	05 Sep - 20 Sep	30 Sep	30 Nov	30 Apr	30 Jun
GS-11	25 Sep - 27 Oct	30 Jun	31 Aug	31 May	31 Jul
GS-12	06 Nov - 15 Dec	31 Jul	30 Sep	30 Jun	31 Aug
GS-13	29 Jan - 16 Mar	31 Oct	31 Dec	30 Sep	30 Nov
GS-14	26 Mar - 04 May	31 Dec	31 Jan	30 Nov	31 Jan
GS-15	14 May - 15 Jun	31 Jan	31 Mar	31 Dec	28 Feb
GS-16	29 May - 15 Jun	28 Feb	30 Apr	31 Jan	31 Mar

Note: Dates for GS-08 - GS-10 Boards are approximate.

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8 JUN 1972

FITNESS REPORT RATINGS

<u>Rating</u>		<u>CY 1968</u>		<u>CY 1970</u>		<u>CY 1971</u>	
<u>Numerical</u>	<u>Definition</u>	<u>(1 Dec 67 thru 30 Nov 68)</u>		<u>(1 Dec 69 thru 30 Nov 70)</u>			
		<u>CSCS</u>	<u>Agency</u>	<u>CSCS</u>	<u>Agency</u>	<u>CSCS</u>	<u>Agency</u>
1	Unsatisfactory	Less than .1%	.1%	.1%	.1%	0%	0%
2	Marginal	1.1%	1.0%	.5%	.4%	.3%	.4%
3	Proficient	21.8%	24.0%	22.9%	23.9%	20.7%	23.3%
4	Strong	70.4%	67.2%	70.4%	67.8%	71.9%	68.6%
5	Outstanding	6.7%	7.7%	6.1%	7.8%	7.1%	7.7%

Data From OP/SRB

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## CONFIDENTIAL

### A G E N D A

#### Topics for Discussion at PMC Meeting

PMC Members are invited to state their views concerning the following changes in fitness report instructions and procedures which have been proposed by PMC Members, Evaluation Boards, and the Office of the DDP/OP:

A. Require that narrative evaluation by Raters and Reviewers be related to Evaluation Board precepts, which call for evaluative judgments to be made on the basis of:

- (1) Quality and level of performance;  
Productivity
- (2) Growth potential
- (3) Personal characteristics and qualifications

B. In connection with the above, establish a procedure to rubber stamp or overprint on the fitness report form the statement:

"Signature of employee and rating officer certifies to the fact that they have read and understand the current Evaluation Board precepts for the grade level concerned."

C. Require specific comment, as appropriate, on:

- (1) Agent development/recruitment
- (2) Language development/maintenance
- (3) Quality of fitness reports prepared on each officer's subordinates.

D. Require that operating components issue "Letters of Instruction" to each officer (1) which specify current responsibilities, objectives and goals, and (2) which will be used as the base against which performance is evaluated.

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Page 2

E. Establish the practice that the rated employee participates in preparing the list of duties he has performed during the period. Prohibit, however, the practice of the Rating Officer asking the employee to prepare his own fitness report to include evaluations or evaluative statements.

F. Supplement fitness report with a statement of accomplishments for the period prepared by the employee.

G. Require that the grade of the position held by the employee be included in the fitness report.

H. Require that Reviewing and Rating Officers' grade be indicated on the fitness report.

I. Require that the rated employee certify that the Rating Officer discussed his performance with him; require the rated employee's comment on the extent to which adequate goals or standards for his performance had been established. (See "Letters of Instruction" proposal -- Item D above.)

J. Require that Reviewing Officer's comments be shown to rated employee.

K. Adopt use of plus and minus ratings (e.g., "Strong Plus") to provide greater differentiation in evaluations. (See Table of Distribution of Overall Ratings, Tab E.)

L. Revise current practices of sending Chief of Station fitness reports to the field for review and signature in view of security problems involved (AF suggestion).

M. Prohibit promotion recommendations on fitness reports by Rating and Reviewing Officers.

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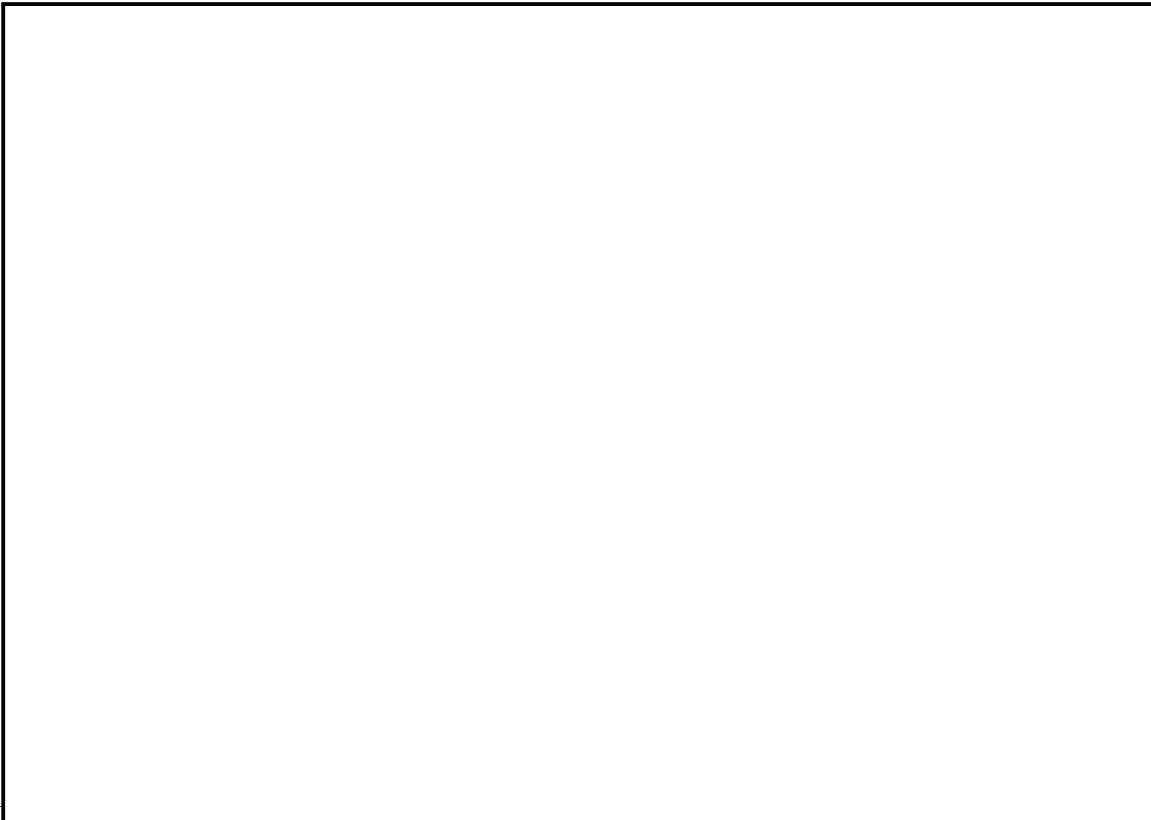
Agenda  
Page 3

O. Prohibit comments in fitness reports concerning an employee's marital status, his spouse, or members of his family; comments concerning medical problems or other sensitive personal matters. Representational ability should be commented on only with reference to the employee and not to his or her family. (When necessary to provide the above information for the record, a memorandum should be forwarded for the CS Sensitive Files

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P. Require that Rating Officers inquire of women employees their preference as to title to be used in the fitness report: Mrs., Miss, Ms., or no title.

Q. Prohibit comments concerning race, color, creed, or national origin of employee being rated.



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**CONFIDENTIAL**

MINUTES  
OF THE  
PERSONNEL MANAGEMENT COMMITTEE MEETING  
17 JULY 1972

**PRESENT:**

Chairman:  
Members :

Guests :  
Secretary

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**AGENDA: Fitness Reports**

Agenda Items were reviewed by Members and the following recommendations were made:

Item

A. Require that narrative evaluation by Raters and Reviewers be related to Evaluation Board precepts, which call for evaluative judgments to be made on the basis of: (1) quality and level of performance; productivity, (2) growth potential, (3) personal characteristics and qualifications.

Members agreed to the need for Raters to address themselves to the evaluation factors listed above in preparing narrative evaluations. It was the consensus that Reviewing Officers should bear in mind the factors but would not be required to make specific comments on each factor in preparing the Reviewing Officers statements.

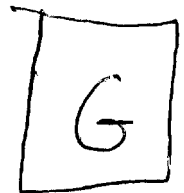
B. In connection with the above, establish a procedure to rubberstamp or overprint on the fitness report form the statement: "Signature of employee and rating officer certifies to the fact that they have read and understand the current Evaluation Board precepts for the grade level concerned."

Nearly all members were against the stamping or printing of the proposed statement on the Fitness Reporting form. All agreed that the promotion criteria specified in the Precepts (Section entitled "Factors to be considered by the Board in Evaluating Officers") should be made available to all employees covered by the Evaluation System and to raters and reviewers.

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NPIC/D-329/72

10 JUL 1972

MEMORANDUM FOR: Deputy Director for Intelligence

SUBJECT : The Abominable Fitness Report vs Your Friendly  
and Personal Career Audit

1. We continue to struggle with one or another version of the fitness report, even though we know that it does not satisfy, has never satisfied, and often is contrary in effect to our individual and management needs. I propose that we try a different approach to satisfying these needs.

2. Our needs are for ways of communicating about:

a. The individual's views on the work he is and will be doing, and on the strengths and weaknesses of his capability to do that and other kinds of work in the future.

b. The responsible supervisor's views on the work that the individual is and might be doing, and on the strengths and weaknesses of the individual's capability to do that and other kinds of work in the future.

c. An understanding -- implicit or explicit -- about what lies ahead for the individual.

3. I propose for your consideration that we experiment with what I would call a "career audit" technique, in which both parties -- the employee and the supervisor -- exchange and record their views about the employee and his career. No number or letter ratings would be used in the record of this exchange. A narrative summary and assessment would be given -- prepared by the supervisor.

4. I have attached a sample record of such a career audit to illustrate the kind of approach I have in mind. The purpose of the record format would be to assist both the supervisor and the employee to discuss and explore in an organized way those aspects of the employee's career, performance, and potential which are most relevant to the employee's future. The record also would serve as a reference relevant to considerations of personnel actions affecting the employee.

5. I see several ways in which the "career audit" would be of value. It could be used in combination with the Fitness Report, such as using it

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**SUBJECT: The Abominable Fitness Report vs Your Friendly  
and Personal Career Audit**

one year and the Fitness Report the next year. Or, it could be used at the initiative of the supervisor or the employee. My concept at this time is that the "career audit" be tried in place of the Fitness Report, and that it be used at least once every other year. Also, we should consider different ways in which the audit discussion could be made most useful -- for example, it might involve not only the employee and his supervisor but also a career counselor or another officer with more knowledge about careers and training than that possessed by the supervisor.

6. I suggest that we seek an opinion by management psychologists on this kind of approach -- it may have been tried elsewhere. If we are given an encouraging opinion, I suggest that we introduce it in a limited way to gain some experience with it at a sampling of various grade levels. I have some doubt about its use at the lower grade levels.

7. You might also wish to seek the reaction of the Management Advisory Group.



Executive Director  
National Photographic Interpretation Center

STATINTEL

Attachment:  
Instructions for Career Audit

**INSTRUCTIONS FOR CAREER AUDIT**

**PAGE 1 - SUMMARY AND ASSESSMENT**

This is to be written by the supervisor after the factors on the following pages have been reviewed, discussed and recorded by the employee and the supervisor.

The Summary and assessment will include the main points from that review and discussion as well as a narrative discussion by the supervisor concerning the employee's future capabilities in terms of the employee's strengths and weaknesses. Future capabilities should include his expected near future performance in a known job, and any generalizations which can be made about long term career potential.

**PAGE 2 - EXPERIENCE AND INTERESTS**

Include brief descriptions of the kind of job, and useful facts such as dates, grade, title, location.

Do not include experience which the employee and the supervisor agree is unlikely to be relevant to considerations of the employee's future.

When listing jobs in which the employee exercised leadership and supervisory functions, indicate the number of persons led.

The employee and the supervisor should discuss the employee's present and future career interests and record an agreed version of that discussion. The discussion and the record should include the supervisor's comments and opinions concerning the employee's capabilities pertinent to his present and future career interests.

**PAGE 3 - TRAINING GAINED AND TRAINING NEEDS**

Include subject matter of education and training courses, length of course, and year or years.

The employee and the supervisor should discuss the kinds of training which would assist the employee in the performance of his present job, and the kinds of training which would be useful for the employee's career development. They should record an agreed version of that discussion, which should include the supervisor's comments and opinions concerning the employee's prospects for training opportunities.

**SIGNATURES**

Under the supervisor's and employee's signatures, the next senior officer should sign, indicating that he has read the report. If this reviewing official wishes to comment on the audit he may do so in a memorandum, one copy of which will be provided to the supervisor.

Note: Copies of the audit will be provided to the employee, to the supervisor and to the personnel offices maintaining personnel files on the employee.

### CAREER AUDIT

ANNUAL or SPECIAL NAME John Doe DATE 10 June 1972

PRESENT POSITION: Chief of the Eastern Research Branch of the Research Division, Office of Intelligence Assessments.

PRESENT GRADE: GS-13 TIME IN GRADE: 3 yrs. AGE: 35

AGENCY SERVICE: 11 yrs. TOTAL GOVERNMENT SERVICE: 11 yrs. TIME IN PRESENT POSITION: 1 yr.

#### SUMMARY and ASSESSMENT

Mr. Doe has been and continues to be a highly competent intelligence analyst and writer. He has extended his proven competence in the area of Indochina to his analytical work in OIA on the Far Eastern area.

The supervisor is of the opinion that Mr. Doe should not aim at or be encouraged for assignments in which supervisory responsibilities are an important part of the job, at least for the foreseeable future. His strong potential and paramount enjoyment are more likely to be realized as an analyst and writer.

Mr. Doe's talents would be equally productive in OCI or OIA analytical work. He has indicated some preference for working on Indochina, and Supervisor will consider--and ask OCI to consider--assigning him to work on that area. Supervisor will look for and arrange a short course on supervision to assist Doe in strengthening himself in his present supervisory responsibilities. Supervisor also will continue to counsel Doe in this area.

NAME: \_\_\_\_\_ DATE: \_\_\_\_\_

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# CAREER AUDIT

ANNUAL

or SPECIAL

NAME John Doe

PAGE Two

## EXPERIENCE (TO INCLUDE: DOMESTIC, OVERSEAS, CIVILIAN, MILITARY)

### Newspaper work

- Summers & part time from 1957 to 61, as a copy boy and local news reporter.

### Intelligence Analyst

- CIA/OCI, Indochina area, 1961-1966.
- Current intelligence analysis and reporting on military and political activities.

### Intelligence Analyst

- CIA/OSR, USSR area, 1966-1967.
- Loaned to OSR's Regional Analysis Division for one year and assigned to current analysis and reporting on Soviet ground forces.

### Intelligence Analyst

- CIA/OCI, Indochina area, 1967-1969.
- Returned to current work on military and political activities in Indochina.
- Also assigned as a section chief, responsible for two other analysts.

### Intelligence Analyst

- CIA/OIA, Far East area, 1969-71.
- Assigned on loan to OIA's Research Division to do assessments concerning political, economic and military aspects of Japan, South Korea, Taiwan, Hong Kong and the Phillipines.

### Branch Chief

- Eastern Research Branch, Research Div, OIA, 1971-72. Responsible for assessments described in foregoing item. Supervise three other analysts and a secretary.

## INTERESTS

- Mr. Doe continues to be most interested in intelligence analysis and reporting as a career. He enjoys doing that kind of work, including the writing involved.
- He feels most comfortable and confident working on the Indochina area, for which his academic training and the bulk of his work experience best qualifies him.
- When queried by Mr. Supervisor, Mr. Doe indicated that he much preferred analysis and reporting work to administrative and supervisory tasks, but that he was prepared to cope with the latter if necessary to gain grade and pay increases.
- Mr. Doe has a strong interest in spending a specific period of time--say, two years-- working in the clandestine services to gain experience with clandestine source reporting procedures. Mr. Supervisor agreed to investigate the possibility of arranging such an assignment, but commented that the "cost" to OIA in terms of losing the services of one officer for that long seemed excessive compared to the value to be gained.
- We then discussed the possibility of Doe returning to the work of OCI. Doe agreed that he would enjoy working in OCI again, depending, of course, on the assignment. We discussed the possibility of Doe accepting an analyst assignment in OCI--one without supervisory duties. Supervisor urged that Doe consider doing so because it is Supervisor's judgment that Doe's main strengths--present and potential--are as an analyst, not as a supervisor or manager.
- We agreed that we would investigate with OCI a return to that office.

NAME: \_\_\_\_\_ DATE: \_\_\_\_\_

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# CAREER AUDIT

ANNUAL

or

SPECIAL

NAME

John Doe

PAGE

Three

## TRAINING GAINED (TO INCLUDE: COLLEGE, UNIV, SPECIAL COURSES)

### Education:

- B.A.-International Relations, U. of Chicago, 1955-59.
- MA-International Relations, U. of Chicago, 1960-61.
- Familiarization travel to Southeast Asia--Manila, Singapore, Bangkok, Vientiane, Rangoon and New Delhi. 5 weeks in 1964.
- Supervision course, one week, given by OTR. 1968.

## TRAINING NEEDS

- Mr. Doe feels that if he continues in his present assignment, it would strengthen his performance if he could gain some further training in supervision and management. Doe did not know of any specific courses relevant to his needs, and Supervisor will investigate what might be available within the Agency or through other organizations such as the Federal Executive Institute and the Dept. of Agriculture.

SIGNED: \_\_\_\_\_  
(SUPERVISOR)

DATE

SIGNED: \_\_\_\_\_  
(EMPLOYEE)

DATE

REVIEWED: \_\_\_\_\_

DATE

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(WHEN FILLED IN)

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