2 November 1979

MEMORANDUM FOR: Director of Personnel

FROM   :   NAPA Project Group

SUBJECT   :   NAPA Report on the CIA Personnel Management System

     1.   The Project Group has completed its assigned task to assess the NAPA Report and make implementing recommendations based on NAPA's observations and conclusions. This memorandum forwards our Report which is comprised of twenty-seven separate studies listed at Tab A. Additional studies related to the NAPA Report but assigned to other groups for action are listed at Tab B.

     2.   As a guide to the issues to be addressed, the Project Group used a paper prepared by the Office of Personnel that consolidated responses to the NAPA Report of all Agency components and Management Advisory Groups. This paper divided the NAPA findings into four major personnel management issue areas: a framework for the Agency personnel system; personnel selection and development; manpower planning, recruitment, and separation; and personnel program evaluation. The Project Group coordinator assigned individual topics to each Group member who then conducted appropriate research and interviews and prepared a first draft. After in-depth discussion among Group members, a second draft reflecting the Group view was presented to the Plans and Control Staff for review and comment. Subsequently, each issue paper was submitted to the Director of Personnel who conducted a review with all members of the Project Group. It was agreed among all concerned that no action was to be taken until the Group had completed all studies and had the opportunity to review the total package to assure compatability of all recommendations. This has now been done.

     3.   We considered suggesting some rank order as a priority guide for consideration of our recommendations, but ultimately decided that from our vantage point this would be of marginal value. Of the twenty-seven issues addressed, however, there are several the Project Group views to be of major significance because of the far-reaching impact the proposed actions would have on the personnel management system. These are:

             °Flow-Through Policy
             °Low Three Percent Out Concept
             °Competitive Evaluation Panels
             °Decision-Making Role of Panels
             °Evaluation Panel Functions
             °Personnel Management Evaluation Program
             °Authorities of the Director of Personnel

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4. The Project Group has over the past four months examined the Agency's personnel management system with an intensity and from a perspective not normally associated with our individual Directorate responsibilities. Unanimity of views on the intent of some NAPA observations or what recommendations should be made did not come easily at times. In general, however, consensus melded smoothly as occasional parochialism dwindled in favor of commonality of Agency interest. Several of the issues identified by NAPA seemed in our view to be related primarily to the Operations Directorate, although NAPA presented them as Agency wide issues. This caused some problems for the Project Group in its effort to examine each issue in an Agency wide context. Consequently, there were moments when we considered recommending the DO be recognized as an "unique" organization with a mission and personnel situation very much different from the rest of the Agency, and that it should be allowed to operate under its own set of personnel management guidelines. We ultimately rejected this concept as not being in the best interest of all employees, also concluding that it would work counter to a continued nurturing of a "one-Agency." With this consideration put to rest, the central theme for all the Group's recommendations became consistency in approach to personnel management but with provision for some flexibility of application by line management.

5. There is one issue the Project Group would like to address here that indirectly captured our attention in the early course of examining the NAPA Report coverage and other documents on career development and promotional opportunities, and continued to be a topic of conversation throughout our assignment. Our concern is over what appears to be a creeping tendency within the Agency to view promotions during one's career as a process without end. There seems to be an attitude among some employees that once a person reaches a certain level of achievement--be it at the professional journeyman, senior secretary or top clerical level-- opportunity for future promotion should continue to be provided, based on longevity and a record of demonstrated hard, satisfactory work even if there is no attendant increase of responsibility. We see reflections of this attitude in recommendations from various quarters to up-grade certain clerical positions, to establish elevated master journeyman grades as well as senior analyst positions at the supergrade level, and even to make promotions that result in PRAs. This apparent attitude on promotion, moreover, seems to be encouraged by management pronouncements that set annual promotion targets, talk of seeking ways to increase headroom and promotional opportunities and encourage all employees who meet promotion standards to expect satisfactory career progress.

6. Management intentions are not in doubt on this matter; they are to encourage excellence and provide continuing opportunity for career development (with promotion as one aspect). This is a worthy goal that indeed should be pursued. We feel, however, that in the process a level of expectation with regard to promotions is being generated that cannot be met in most instances, especially at a time of shrinking manpower resources and money restraints.

7. We suggest that management, along with its deliberations on the Project Group's report on the NAPA study, give attention to this matter. We recommend consideration be given to providing--in appropriate Personnel Management Regulations, Notices, Directorate Handbooks, EOD orientations, etc.--information to employees on what constitutes reasonable career aspirations and what obligation the Agency has to provide opportunity for meeting these personal goals. The elements of competitiveness, excellence and potential--not just headroom or longevity--should be stressed as key factors for selection beyond the journeyman level to senior positions.

8. The Project Group wants to take this opportunity to express its appreciation for the excellent support provided by officers in the Office of Personnel. Requested computer runs and historical files were promptly provided, and the review process at all levels was most constructive. This has been a rare opportunity for non-personnel careerists to become involved in a task the outcome of which will impact on every employee in the Agency. Our hope is that the Project Group Report provides positive and practical means of action (including maximum flexibility for line management) for implementing the recommendations of the NAPA Study. We are pleased to concur in the NAPA finding that "the CIA's basic personnel system is sound--one which most Federal agencies would envy for its flexibility and its potential for responsiveness to management needs" . . . and that "Indeed, the Agency components have been served well by the present system." We would hope that contrary views among some employees--although they certainly should be considered--be measured in this context.

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<u>Issues in NAPA Report Addressed</u>
<u>by the NAPA Project Group</u>

<u>A Framework for the Agency Personnel System</u>:

       Scope and Limitations of the DCI's Authorities

       Criteria for Changes

       Personnel Policy - Approval and Publication of
                        Regulations

       Authorities of the Director of Personnel

       Role of Personnel Officers

       OP Focal Point for Component Personnelists

       Office of Personnel Operational Activities

       "E" Career Service

<u>Personnel Selection and Development</u>:

       CT Selection and Placement

       Vacancy Notice System

       Movement Into Professional Ranks

       Occupational Career Systems

       Rotational Assignment Policy

       Competitive Evaluation Panels

       Decision-Making Role of Panels

       Evaluation Panel Functions

       Uniform Precepts for Panels

       Labeling Positions as Professional and Clerical

Manpower Planning, Recruitment and Separation:

      Flow-Through Policy

      Personnel Reductions

      Low Three Percent Out Concept

      Non-Competitive Transfers

      Agency's Obligation to Employees

Personnel Program Evaluation:

      Personnel Management Evaluation Program

      Costs of Personnel Administration

      Personal Rank Assignments

      LWOP for Employee Spouses

Issues in NAPA Report Being Addressed by Other Groups

° Set Guidelines on Use of Classification Act Standards - OP/PMCD

° Shorten Recruitment Process - IG Staff

° Establish System to Resurface Applicant Files - IG Staff

° Eliminate Overlap in Employee Orientation - OP, OTR, OMS

° Redesign APP - OP, ODP

° Redesign PDP - OP

° Develop Executive Program - OP - SIS Support Staff

° Determine Data Needs - OP

° Develop Uniform Qualification Standards - Selection
      Guidelines Task Force

THE NAPA PROJECT GROUP REPORT

FOREWARD

Subsequent to component review of the report on The
CIA Personnel Management System prepared by the National Academy
of Public Administration, a NAPA Project Group was established
on 27 June 1979 under the Director of Personnel at the direction
of the DDCI. The task of this Group was to assess the findings,
observations and conclusions of the NAPA Study, and to make rec-
ommendations for implementation. Twenty-seven issues were ad-
dressed. The Project Group, comprised of one senior officer from
each of the Agency's four Directorates and a coordinator from the
Office of Training, completed its task on 2 November 1979. Mem-
bers of the Group did not coordinate this report with their respec-
tive Directorates. While fact finding and interviews were conducted
Agency wide, appropriate research, in-depth review and consultation
were accomplished within the Office of Personnel. The views and
recommendations in this Report, however, were independently developed
by the Project Group. The Group papers are presented under four
major personnel management issue areas developed by the Office of
Personnel:

    ° A Framework for the Agency Personnel System

    ° Personnel Selection and Development

    ° Manpower Planning, Recruitment and Separation

    ° Personnel Program Evaluation

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THE NAPA PROJECT GROUP REPORT

TABLE OF CONTENTS

SCOPE AND LIMITATIONS OF THE DCI'S AUTHORITY

I.   NAPA Recommendation.

"Action should be taken to determine the scope and limitations of statutory authority to provide a base for future policy decisions." (NAPA, Conclusions, p. 89.)

II. NAPA Comments.

A.   "General Counsel's decisions on CIA statutory latitude in personnel matters appear rather conservative; the extent of the Agency's authority or restrictions upon it need to be firmly agreed upon." (NAPA, Executive Summary, p. II.)

B.   "The scope and limitations of statutory personnel authority should be analyzed and clearly defined." (NAPA, Executive Summary, p. XI.)

C.   "The NAPA Team also perceived a 'strict construction' approach on the part of the Office of the General Counsel with regard to the latitude the present statutes provide. The basic question is the extent of the Agency's authority to set up its own personnel system." (NAPA, The Present System, p. 5.)

D.   "The extent of the Agency's authority or restrictions upon it need to be firmly established." (NAPA, The Present System, p. 6.)

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III. <u>Discussion</u>.

A.   "The scope and limitations" of the authority of
the DCI are neither contained in a single document, nor can
they be expressed in a simple statement. The delineation of
the DCI's statutory authority is found in several different
mechanisms:

°statutes which specifically deal with the CIA
(e.g., Central Intelligence Agency Act of 1949);

°statutes which have special applications to CIA,
either through inclusion (e.g., Atomic Energy Act
of 1954) or exclusion (e.g., Classification Act
of 1949);

°Executive Orders (e.g., E.O. 10450, Security
Requirements for Government Employees);

°judicial decisions (e.g., the Pittman Case);

°decisions of the Comptroller General of the
United States (e.g., B-90432); and

°legislative oversite charters.

B.   In a two volume publication, <u>Guide to Law of Central
Intelligence Agency</u>, the Office of General Counsel has bound
these various statutes, Executive Orders, etc., together and
in so doing provided the reader with information from which
the scope and limit of the DCI's authority can be deduced.
This, then, does provide "a base for future policy decisions."
But there are drawbacks to this base, namely that it is

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incomplete and not up to date; and that which is deduced may well be different for each reader.

IV. Conclusion.

Though there is a need for a definitive statement of the Agency's legal boundaries, that statement will be accurate only in the short term. It will change as a result both of the Agency's initiatives and outside forces such as Congress, Executive Orders, and court cases. Further, the extent to which the authorities, once defined, are utilized is a decision to be made by the DCI, with the legal advice of the General Counsel.

V. Recommendations.

A. Charge the General Counsel to complete the Guide to Law of Central Intelligence Agency within three months, and subsequently to keep it current.

The above recommendation is ( ) approved ( ) disapproved.

B. Require senior managers periodically to read the Guide.

The above recommendation is ( ) approved ( ) disapproved.

C. Charge the General Counsel with developing a statement, in the style and detail associated with a law

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review article, that cites the significant boundaries of the
DCI's authority with regard to personnel administration.
This statement should be completed by 1 January 1980. The
statement is not in lieu of the Guide; its purpose is to
provide a single, uniform interpretation of the boundaries
of the DCI's authority, avoiding the problem of differing
conclusions drawn by laymen readers.

The above recommendation is ( ) approved ( ) disapproved.

_____   _____
Deputy Director of Central Intelligence   Date

CRITERIA FOR CHANGES

I. <u>NAPA Recommendation.</u>

"It is recommended that the Agency establish a framework for its system, including a written set of considerations for use in determining whether or not to adopt changes which stem from systems in other agencies." (NAPA, Conclusions, p. 89.)

II. <u>NAPA Comments.</u>

A. "The Agency has been able to pick and choose parts of other personnel systems; however, decisions to accept or reject various aspects of the prevailing Federal system have not been based on clearly stated criteria nor fully explained to Agency employees." (NAPA, Executive Summary, p. II.)

B. "Within its broad authority, the Agency has been able to pick and choose parts of systems. While this has the advantage of enabling the Agency to learn from others . . . it has consequences . . .". (NAPA, The Present System, p. 2.)

C. " . . . the Agency is more or less obliged to monitor carefully new or proposed legislation to determine in advance, how it might affect CIA's personnel management system." (NAPA, The Present System, p. 2.)

D. "More importantly, the diverse legislative origins of its present system has (sic) led to some problems in interpretation of what constraints there are on administrative discretion." (NAPA, The Present System, p. 2.)

E. "Each modification of a law or regulation affecting a part of a personnel system which CIA has adopted should be carefully reviewed to

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see if the change is appropriate for CIA personnel. <u>The NAPA Team was</u>
<u>unable to locate any written set of considerations which are applied in</u>
<u>making this review."</u> (NAPA, The Present System, pp. 4-5.)

III. <u>Project Group Findings</u>.

A. In the NAPA Team view, expressed verbally to Project Group
representatives, the record of changes to the Agency's personnel manage-
ment system, and the criteria used in accepting those changes and rejecting
others, was incomplete. The Project Group also concluded that the record
of changes is incomplete, due in part to the various levels at which
personnel management decisions are made, i.e., by the DCI, DDCI, Executive
Committee, or Director of Personnel level. This decision process pre-
cludes normal analysis from being undertaken.

B. The Project Group believes that decisions with regard to a
personnel management program, like decisions in production management, or
fiscal management etc., need to be based on a disciplined analysis of the
issues associated with the change. The documentation of that analysis
will get at the problem surfaced by the NAPA Team, rather than their
proposal of a "written set of considerations."

C. The Project Group believes that the Agency should maintain its
freedom to select those parts of the system which would allow us the
greatest flexibility in improving our personnel management system.
Implementation of the NAPA proposal would restrict that option.

IV. <u>Recommendations</u>.

A. Do not accept the NAPA proposal for a written set of considerations

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for use in determining whether or not to adopt changes which stem from systems in other agencies.

The above recommendation is ( ) approved ( ) disapproved.

B. The DDCI task the Director of Personnel with the responsibility for an impact analysis of proposed personnel policy changes, with the degree and extent of that analysis being appropriate to the significance of the issue.

The above recommendation is ( ) approved ( ) disapproved.

C. The DDCI utilize the report from that analysis as the basis of a record of the decision made and the rationale for it; utilize the analysis as a source of information for employees in those situations where it is deemed appropriate.

The above recommendation is ( ) approved ( ) disapproved.

_____   _____
Deputy Director of Central Intelligence   Date

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TAB C

PERSONNEL POLICY: APPROVAL AND PUBLICATION OF REGULATIONS

I.   NAPA Recommendation.

"The regulations be annotated in such a fashion that all policy issues are clearly identified as such and subject to change (or the addition of new policies) only by the DCI. Implementing procedures would be the responsibility of the DDA or the Director of Personnel." (NAPA, Conclusions, p. 107.)

II. NAPA Comment.

"The system for issuance of regulations governing Agency personnel management does not provide proper mechanisms for policy decision-making by the DCI/DDCI." (NAPA, Executive Summary, pp. II & III.)

III. Discussion.

A.   Identifying policy in regulations.

1.   Headquarters Regulations [   ]   25X1
series address personnel matters. This series is presently divided into [   ] separate and specific sub-series covering such subject matters as categories of personnel, separation, promotions, pay, detailed personnel, etc. Within each of these sub-series, policy, procedures, responsibilities, and where appropriate, authorities that govern that specific subject are generally delineated

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in sections. All sub-series do not follow the same
format as to labeling the sections nor do they all
address the same sections.

2.   The [   ] were examined to
determine if all policy issues contained in that sub-
series were clearly identified, or included but not
clearly identified, or included but within implementing
text, or not stated at all. From this examination, it
was determined that policy was stated in 90% of the
regulations. In over 41% of the sub-series the policy
issue was clearly identified and labeled as such. In
45% of the sub-series the policy issue was either
included but not clearly identified or was included
within implementing text. In 4% of the sub-series,
part of the policy issue was clearly identified but the
remaining parts of the policy issues were either not
clearly labeled or stated within implementing text. A
policy issue or statement was neither identified nor
included in about 9% of the sub-series.

3.   Having a regulation that clearly delineates
the authority, policy, practices and responsibilities
eliminates confusion and aids in enforcing and following
the approved policy. [   ] (Reference A), Management
of Specially Qualified Scientific Personnel, appears to
be a correctly formatted regulation. The authority,

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policy, procedures to be followed and responsibilities of individuals or positions involved are clearly stated. In contrast, ⬚ (Reference B), Promotion, is an example of a confusing regulation. Although the authority to promote is stated, it is not clearly labeled. The Agency policy is identified, but the policy statement also includes implementing procedures and responsibilities of certain positions. In another example, ⬚ (Reference C), Categories of Personnel, is one of four regulations where policy is not stated nor needed as the subject matters covered are either informational or definitional in nature.

B. <u>Policy approval and implementation procedures</u>.

1. As NAPA observed in their report, "The history of the Agency makes it clear that policy is developed and implemented only with senior line management involvement and top management interest and support." (NAPA, The Present System, p. 7.) Revisions since 1976 to the ⬚ series with relation to policy have had the approval of senior management. This approval took one of several forms. In some instances, DCI approval was direct; in others, the DDCI used his delegated authority to approve policy changes; in most instances, the Executive Committee (or its predecessor units) were involved in the decision-making process.

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2.   Recommended policy changes usually take the form of staff papers prepared by either the Office of Personnel or one of the various management advisory groups created within the Agency. Frequently, the policy change is requested by Agency senior management which explains why options may not be included in the staff papers.

3,   In reviewing the revisions of the [   ] series, it was confirmed that the coordination process is frequently a lengthy procedure. But, under the concept of decentralized personnel management, implementing procedures, although developed by the specialist concerned, to be effective, require the concurrence of operating officials who are charged with managing personnel. The review indicated no instances where basic policy was changed; the difficulty revolved around implementation procedures. The NAPA comment (NAPA, The Present System, p. 8.) that coordination often results in the regulation being reduced to the lowest common denominator may, in some instances, be correct. However, the fact remains that procedures must be acceptable to those charged with managing the Agency's human resources and when these procedures are to be applied in diverse situations, they may have be general rather than specific in content.

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4.   The procedures for coordinating regulations as detailed in [   ] (Reference D), offer certain time limits for responses and agreement among coordinators. Every effort is made to resolve differences at the coordinator level but if this is not possible, the DDCI is charged with resolving the differences. Once co-ordination has been effected, the DDA is normally the final issuing authority on Headquarters regulations unless statute requires DCI and DDCI approval. As stated by NAPA: "This is in accordance with an OGC opinion dated 9 December 1960." (NAPA, The Present System, p. 8.)

IV. Conclusions.

A.   Identifying policy in regulations.

1.   The NAPA finding that policy and procedure are often combined in Headquarters Personnel Regulations is valid.

2.   Confusion in interpretation would be reduced if regulations clearly emphasized the basic policy issue contained in that sub-series.

3.   Some sub-series are informational or definitional and may not need to include a clearly identifiable policy statement.

B.   Policy approval and implementation procedures.

1.   The DCI, or designee, has approved all changes to, or new, personnel policies.

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2. Staff papers or Executive Committee deliberation, not regulations, are the vehicle for obtaining personnel policy approval. Regulations reflect policy decisions by establishing responsibilities and operating procedures. As such, they are developed by specialists in that field but subject to coordination with those who are charged with the applications and functioning of the Agency's personnel program.

V. Recommendations.

A. Have the Director of Personnel review the [   ] series and where necessary revise them in format to clearly indicate the basic Agency policy on the subject contained in that sub-series. This revision is to be completed within six months. As this is a format change only, coordination is not necessary. The revised regulation is to note "revised for format only," with the last date of content change also indicated. Only those [   ] sub-series reflecting policy issues need be revised. Those sub-series programmed for content change within six months after the completion of the format revision can be revised for format when revised for content.

The above recommendation is ( ) approved ( ) disapproved.

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B.   The DCI or the DDCI continue to approve all new
personnel policies or any changes in existing policies; the
Director of Personnel continue developing personnel regulations;
and, the DDA, following coordination with appropriate senior
Agency managers, issue all Headquarters Personnel Regulations
unless statute requires DCI or DDCI approval.

The above recommendation is ( ) approved ( ) disapproved.

_____   _____
Deputy Director of Central Intelligence   Date

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AUTHORITIES OF THE DIRECTOR OF PERSONNEL

I.   NAPA Recommendation.

"The DCI/DDCI give emphasis to the control and enforcement
functions it expects the Office of Personnel to carry out
and to assure that a system for raising issues and resolving
disputes up the chain of command to the DCI/DDCI level
exists and is used." (NAPA, Conclusions, p. 115.)

II. NAPA Comment.

"The Office of Personnel has a weak enforcement posture
in all of its activities." (NAPA, Executive Summary, p. III.)
"The DCI/DDCI should give greater support to the Office of
Personnel in the enforcement of the Office of Personnel
control functions." (NAPA, Executive Summary, p. XVI.)

III. Discussion.

A.   The Director of Personnel has an impressive array
of duties, responsibilities and authorities. Most can be
conveniently grouped into one of four categories. These are:

°developing and recommending Agency policies,
   standards and procedures for personnel and
   personnel and position management;
°monitoring and enforcing the application of
   approved Agency policy;

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°operating a recruitment program nation-wide; and,

°providing benefits and services of common concern.
The area of concern to NAPA is the second one, enforcing the
application of approved Agency policy.

B.   The enforcement responsibilities of the Director
of Personnel revolve around four areas: position management,
promotion, assignment and personnel management evaluation.
In the area of position management, the DDCI recently
strengthened the enforcement posture of the Director of
Personnel. In the area of promotion, [   ]the
Director of Personnel with responsibility for (a) ensuring
compliance with this regulation (on promotion) by continuous
review of the Agency's comparative evaluation and promotion
program; and (b) reviewing all promotion requests and approving
promotion actions that conform to the provisions of Agency
regulations. In the assignment area, the Director of
Personnel's authorities are more limited but in the case of
personal rank assignment, [   ] he approves the
assignment of employees to positions of a grade lower than
their grade and any extensions of the assignment. As to
personnel management evaluation, [   ]
indicates that the Director of Personnel will evaluate the
the personnel and career management programs and activities
of the Career Services and periodically submit reports of
the evaluations to the DDCI.

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C.   Thus, the Director of Personnel does have the regulatory authority to enforce the application of approved Agency policy. Granted, the authority in the areas of position management and personnel management evaluation are recent and have yet to be tried. The other authorities have existed for some time. Yet, NAPA charges--and the Project Group concurs--that the Director of Personnel is in a weak position to perform control and enforcement functions. The results of this situation are: lack of assurance to the DCI/DDCI that the system is being applied in a fair and equitable manner to all employees; and, lack of assurance to senior management that any deviation from regulations and policies is being or has been corrected.

D.   The reason the Director of Personnel is in a weak control and enforcement position appears to be rooted in the manner in which the Agency personnel system developed. Under a decentralized personnel system, the Director of Personnel is predominately an advisor on personnel matters. The actual management of the system is left to the line manager. The line manager has a very strong influence over how the system is applied at the component level. Also, organizationally the Director of Personnel is at a dis- advantage, being subordinate to one of four equal Deputy Directors for most functions. Consequently, in certain matters of control and enforcement of policy, the Director

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of Personnel is expected to direct those senior in the organization. Granted, regulatory authority allows the Director of Personnel to act in the name of the DCI. But, action in this role is not often accepted due to the strong influence of senior line managers, the historic independence of the Directorates within the Agency's organizational system, and, in some past instances, the Director of Personnel's own reluctance to accept this role. This reluctance may stem in part from the perceived philosophy in the Administration Directorate that its role is one primarily of support rather than control and enforcement.

IV. Project Group Observations.

A. The Director of Personnel has the necessary regulatory authorities to perform control and enforcement functions.

B. The Director of Personnel is in a weak position to exercise authority over control and enforcement functions.

C. Stronger control and enforcement authority will assure the DCI and DDCI that all regulations and policies are being met and that the system is being applied in a fair and equitable manner to all employees.

D. The viability of enhanced control and enforcement authority depends on the spirit of support provided at the DCI/DDCI level.

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V.   Options.

There are two methods to strengthen control and enforcement over personnel policies. One is to specifically identify those areas where the Director of Personnel acts as the singular control and enforcement arm of the DCI/DDCI and reports on these areas directly to the DDCI. The second method is to organizationally transfer those control and enforcement units of the Office of Personnel to an organizational level where they will report directly to the DCI/DDCI.

A.   Specifically identify. Although authorized in regulations, control and enforcement functions in certain areas have not always been discharged in a strong manner for the reasons cited in the discussion section of this paper. These areas are:

°position management;

°promotion;

°assignment; and,

°personnel management evaluation.

A recently approved paper on "Agency Position Classification Policy" strengthened the Director of Personnel's authorities regarding position management. For the varied reasons discussed earlier, there still exists a reluctance on the part of Agency management to accept the Director of Personnel's other control and enforcement authorities. One way to have these authorities accepted is for the DDCI to confirm the

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Director of Personnel's control and enforcement authorities. Following the precedent of the position management paper, a similar memorandum could be issued delineating those specifics within the other three areas (promotion, assignment and evaluation) where the Director of Personnel is the key officer in controlling and enforcing approved personnel policies and procedures. Reporting requirements and procedures for resolving disputes could also be covered.

1. The advantages of Option A are:

a. it will reaffirm the Director of Personnel's general control and enforcement authorities;

b. it will strengthen the Director of Personnel's authority by specifically delineating items of special interest to the DDCI that are to be controlled and the enforcement role desired; and

c. it will give more assurance that all regulations and policies are being met and that the system is being applied in a fair and equitable manner to all employees.

2. The disadvantages of Option A are:

a. it would require a reissuance of the memorandum whenever the DCI, DDCI or Director of Personnel changes or whenever the areas of concern to be controlled/enforced change; and

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b.   it would require dual reporting by the
Director of Personnel: directly to the DDCI on
control functions; and, to the Deputy Director for
Administration on other functions.

B.   _Organizationally transfer_.   Conceptually, a unit
at the DCI level to monitor personnel management within the
Agency would be concerned with four basic tasks.   These are:

°human resource analysis to determine that
Directorate and Agency-wide personnel projections
are on-target and that manpower planning is being
performed effectively by the Career Services;

°position management to assure that there is
"equal pay for substantially equal work" and to
control grade escalation;

°personnel planning to concentrate on personnel
policy development; and,

°personnel management evaluation to assure that
practice by the Career Services is in accordance
with established policies, procedures and guide-
lines and handled in a fair and equitable manner.

These tasks are presently being performed by organizational
units within the Office of Personnel They could be trans-
ferred to the DCI Area where under the leadership of one
individual that unit could function directly for the DDCI.
The remainder of the present Office of Personnel could

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remain within the Administration Directorate and be responsible for personnel services and the day-to-day control over promotion and assignment policy. The DCI unit could be supported by the present Office of Personnel for files, records, computerized data and reports, and people. The unit could be staffed predominately by personnel careerists on rotational assignment but augmented where appropriate, by officers from other components of the Agency who could also be on rotational assignment.

1.   The advantages of Option B are:

a.   it provides direct DDCI involvement in overseeing the control and enforcement functions of personnel;

b.   it provides, by organizational placement and reporting channel, a strong posture for control and enforcement of personnel policy;

c.   it provides full assurance to the DDCI that all regulations and policies are being met and that the system is being applied in a fair and equitable manner to all employees; and,

d.   it ensures that areas of specific interest to the DCI/DDCI are being addressed.

2.   The disadvantages of Option B are:

a.   there could possibly be some confusion over who is responsible for providing guidance

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on personnel procedures and practices; i.e., the DCI or the DDA unit;

b.   there could also be confusion over the working relationships between the DCI and the DDA units;

c.   there would be two individuals within the Agency primarily responsible for personnel administration;

d.   physical separation from the day-to-day working problems of the personnel system may lead to the isolation of the DCI unit and might result in an "Ivory Tower" approach to personnel management; and,

e.   this option does not strengthen the Director of Personnel's posture but actually removes certain major responsibilities and authorities from that position.

V.   Conclusion.

The NAPA Project Group is of the opinion that two disadvantages to Option B--the potential for an "Ivory Tower" approach to personnel management and diluting the position of the Director of Personnel--make Option A more practicable.

VII. Recommendation.

The DDCI issue a memorandum to senior Agency management in which the control and enforcement functions to be performed by the Director of Personnel are delineated. This memorandum should also outline reporting requirements and procedures for resolving disputes.

The above recommendation is ( ) approved ( ) disapproved.

Deputy Director of Central Intelligence   Date

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ROLE OF PERSONNEL OFFICERS

I. <u>NAPA Recommendation</u>.

"The role of personnel officers in the components be defined, including their relationships with career management staffs and line officers." (NAPA, Conclusions, p. 115.)

II. <u>NAPA Comment</u>.

"The role of personnel staffs assigned to Directorates and Career Management staffs has not been clearly defined." (NAPA, Executive Summary, p. III.)

III. <u>Discussion</u>.

A. <u>"Personnel management is an integral part of overall management</u> and a primary responsibility of all individuals who plan, direct, or supervise the work of Agency employees."

25X1 [   ] As defined, personnel management in CIA is a line management function and its operation depends upon the expectations and demands of management. The roles of those involved in the day-to-day business of the Agency personnel management system are directly related to the management style of those who operate the Agency and its components. This is in contrast to roles being established by published guidelines. Thus, the degree of involvement of anyone charged with personnel management tasks is at the discretion of both senior management and component managers.

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B.   Since line managers are primarily responsible for
personnel management, it follows that they are also primarily
responsible for the systems that administer personnel manage-
ment.   In most instances, line managers are not professionally
trained or experienced in the technical aspects of personnel
administration.   Normally, line managers will call upon the
specialist in personnel administration for advice, counsel
and guidance in the formulation and administration of personnel
policy and procedures.   This use of specialists is both
general in an Agency-wide context and specific as to the
component's personnel administration system.

C.   The role of the Personnel Officer, like the role
of others involved in personnel management, varies at the
operating level.   Component managers differ in the amount of
responsibility delegated in personnel matters.   Accordingly,
the role of the Personnel Officer depends to a large degree
upon the amount of responsibility and resources given by the
component manager to the Personnel Officer to do his or her
job.   The varying nature of the Personnel Officers' role
among components can cause confusion unless it is understood
that their role depends upon the style, desires and needs of
the component manager and not solely upon published guidelines.
For much the same reasons, the roles of Career Management or
Development Officers vary.   These line officers who normally
counsel and advise on promotion, assignment and development
also depend upon component managers for role definition.

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D.   The component manager usually views personnel management as two separate functions. One is the managing of human resources which includes evaluating, promoting, developing, assigning and counseling the resource. The second function is managing the technical aspects of personnel administration. In normal practice, managing the human resource is in the purview of the component manager's line officers while the Personnel Officer is charged with managing the technical aspects of personnel administration. In some components these functions overlap. In other components, the Personnel Officer performs most if not all of both functions, particularly in administering secretarial/ clerical employees. However, in most components, the distinction is made.

E.   In addition to the role of the Personnel Officer as delineated by the component manager, there is the role expected by the Director of Personnel. The Director of Personnel manages a line function when operating the Agency recruitment program and when providing benefits and services of common concern. The Director of Personnel is also charged with certain control functions. Finally, the Director of Personnel is a staff officer for personnel policy development and implementation procedures. The Director of Personnel expects to be represented regarding these matters in the operating component by the Personnel Officer. In each

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Directorate, there is a Senior Personnel Officer who coordinates the personnel program of that Directorate and, organizationally, falls between the Director of Personnel and the component Personnel Officer. In any case, the Personnel Officer is expected to advise component management on both the interpretation and implementation of Agency personnel regulations, policies and procedures and to exercise initial control functions.

IV. Conclusions.

A. As the responsibility for personnel management within this Agency rests with the managers of the Agency, the role of a component Personnel Officer varies due to the desires, needs and management style of the manager for that component. Line management is responsible for evaluating employees, developing employees (with attendant functions of assignment and training), and career counseling. So long as it is consistent with Agency overall policy, the mechanism utilized by the component chief to discharge these responsibilities is discretionary. The NAPA Project Group agrees with this approach.

B. There are, however, certain functions common to all personnel specialists that can be applied Agency wide to Personnel Officers. These are:

°Advising component management on the interpretation and implementation of Agency personnel regulations, policies and procedures;

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°exercising initial control functions;

°managing the technical aspects of personnel
administration; and

°serving as key advisor or member of personnel
management committees, promotion, assignment
and career panels, etc., but, the degree of
involvement in these functions is at the dis-
cretion of component management.

V.   Recommendations.

A.   Have the component manager clearly define in the
Advance Work Plan, the role expected from the Component
Personnel Officer giving particular emphasis both to the
working relationship desired between the Personnel Officer,
the Career Management Officer and the line supervisor and to
the four functions common to personnel specialists identified
in the conclusions section of this paper.

The above recommendation is ( ) approved ( ) disapproved.

B.   Have the Director of Personnel clearly define in
supplemental guidance through the component manager, the
general role expected from Personnel Officers. If appropriate,
this guidance can be issued on a Directorate-wide basis.

The above recommendation is ( ) approved ( ) disapproved.

_____   _____
Deputy Director of Central Intelligence   Date

OFFICE OF PERSONNEL FOCAL POINT
FOR COMPONENT PERSONNELISTS

I.   NAPA Recommendation.

"The Office of Personnel is both a staff and operating organization. There is no focal point for operations below the Deputy Director level. In addition, personnel officers in the components should be able to look at a focal point for guidance. Therefore, we recommend that: a focal point for operations be created in the Office of Personnel below the Deputy Director level." (NAPA, Conclusions, p. 115.)

II. Discussion.

A.   Due to the multitude of subjects and the technical nature of most, it would be impractical to expect one officer within the Office of Personnel to be sufficiently conversant with all subjects to be a single focal point. A single focal point between the component Personnel Officer and the main Office of Personnel would have to act more as a clearing-house and would funnel requests to technical referents for responses. In this role, the single focal point would become more of an administrative bottle-neck than expeditor especially when there are already established multi-focal points within the Office of Personnel to advise, counsel and guide component Personnel Officers on the operation of the

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Agency personnel system. In fact, the Office of Personnel publishes a functional directory listing alphabetically subjects within the personnel area, the Office of Personnel unit responsible for this subject, and the unit's physical location and telephone number. The directory is distributed to all Personnel Officers. The directory should be updated more frequently; it was last published in 1977.

B.   Also, during monthly Personnel Officer meetings and during periodic meetings with Personnel Officers from each Directorate, the Director of Personnel and other OP personnel provide guidance on procedures and practices, identify areas of concern, acknowledge items in the planning stage and cite certain individuals responsible for personnel functions. The Career Management Officer for the Office of Personnel has the responsibility for providing career counseling and guidance to component Personnel Officers and serves as their focal point for career matters.

C.   In addition, each Directorate has a Senior Personnel Officer who coordinates the personnel program of that Directorate. Thus, there is organizationally a focal point for Directorate personnel programs. Also, the Senior Personnel Officer, by virtue of background and experience, is able to guide and counsel the component Personnel Officer on Agency personnel operations.

III. Conclusion.

As the Director of Personnel has designated focal
points within the Office of Personnel for personnel operations,
there is no need for a single focal point for operations to
guide component Personnel Officers.

IV. Recommendation.

A focal point for operations in the Office of Personnel
not be created.

The above recommendation is ( ) approved ( ) disapproved.

Deputy Director of Central Intelligence   Date

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OFFICE OF PERSONNEL
OPERATIONAL ACTIVITIES

I.   NAPA Recommendation.

"Consideration be given to further delegations of operational activities, now carried out in the Office of Personnel, to personnel officers in the Directorates." (NAPA, Conclusions, p. 115.)

II. Discussion.

A.   NAPA, unfortunately, did not identify what OP "operational activities" they were referring to. From examining the NAPA Report, the Project Group could find no discussion of "operational activities." In most other instances, NAPA did discuss the pertinent subject matter prior to making a firm recommendation. The only possible lead to a meaning for "operational activities" can be found in Part I, The Present System, of the NAPA Report under the sub-topic of Staffing for Personnel Management in CIA. Here (p. 19) they identify staff and service functions performed by the Office of Personnel:

  ° Recruitment and placement

  ° Benefits and service, including CIARDS

  ° Contract personnel

  ° Personnel records and reports

°Position management, compensation, and manpower
utilization

°Personnel planning

°Personnel management evaluation

B.   From examining each of these functions as stated
in the NAPA Report, the Project Group found NAPA statements
or recommendations which would contradict further decentrali-
zation of these functions.   These are:

1.   Recruitment and placement.

a.   "Make sure that recruiters know the
position and the environment in which it operates;
encourage the recruiter to talk directly to com-
ponents having vacancies, to get better acquainted
with components and officials in them, and to be
involved in following an applicant he or she
referred through either entrance on duty or
rejection." (Conclusions, p. 103.) The Project
Group concludes that this does not support de-
centralization of the recruitment effort.

b.   "Keep track of referrals against specific
vacancies and component actions to enable better
evaluation of the entire hiring process." (Con-
clusions, p. 104.) This centralized control, in
the Project Group's view, does not support further
decentralization of the placement process.

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2. Benefits and service, including CIARDS, and
   Contract Personnel.

No specific comment by NAPA, but the Team
states that "The costs of the present system
should be reviewed and cost containment should be
given a high, but not overriding, priority."
(Conclusions, p. 85.) The Project Group does not
see how this would support decentralization of the
above two functions as decentralization of services
of common concern would increase personnel costs.

3. Personnel records and reports.

"Further, the Office of Personnel has an
excellent computerized data and reports system
which will be further improved in 1979. The NAPA
Team believes that inadequate use has been made of
existing data and reports." (The Present System,
pp. 17-18.) The Project Group concludes this
statement does not support decentralization of
personnel records and reports.

4. Position management, compensation, and manpower
   utilization, and Personnel management evaluation.

"Activities such as classification of positions
and enforcement of personnel policies are functions
carried out for the DCI/DDCI. Therefore, we
recommend that the DCI/DDCI give emphasis to the

control and enforcement functions they expect the
Office of Personnel to carry out. . .". (Con-
clusions, pp. 114-115.) The Project Group views
this as not supporting decentralization of these
two functions.

5. Personnel planning.

"The EAG and the DDCI should draw heavily on
the staff capabilities of the office (of Personnel)
in policy and decision-making." (Conclusions,
p. 114.) The Project Group concludes that this
does not support decentralization of the planning
function.

C. Possibly when the NAPA Team addressed "operational
activity," they were identifying the exceptions granted by
the Director of Personnel to approved Agency policy. These
include such subjects as non-standard tours of duty abroad,
limits on the amount of home leave that can be used when
returning for assignment in the U.S., salary retention
rights, etc. Exceptions are allowed to certain Agency
policies to provide for flexibility, to meet exceptional
circumstances and to recognize differing needs at differing
times. The Director of Personnel authorizes these exceptions
in order to ensure consistency. There are certain standards
established allowing exceptions to be granted in a fair and
consistent manner. Delegating these authorities to Directorate

Personnel Officers would retain a degree of consistency within Directorates but would not guarantee consistency among Directorates.

III. Conclusions.

    A.   It would be difficult to determine exactly what the NAPA Team wished to identify by the term "operational activity."

    B.   If it is those items identified in the discussion section of this paper, neither more standardization of Agency personnel activity nor a less costly personnel system would result from further decentralization.

IV. Recommendation.

    Operational activities as defined in this paper and now carried out in the Office of Personnel not be delegated to Personnel Officers in the Directorates.

The above recommendation is ( ) approved ( ) disapproved.

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Deputy Director of Central Intelligence   Date

"E" CAREER SERVICE

I. NAPA Recommendation.

"Reconsider the viability of the 'E' Career Service and, if appropriate, dismember it and establish separate 'mini-career' services for the various staff entities which now comprise the 'E' Career." (NAPA, Conclusions, p. 117.)

II. NAPA Comment.

"One finding that consistently came through was that the 'E' Career Service is not a career service in any sense of the word as compared to the other four." (NAPA, Conclusions p. 117.)

III. Discussion.

A. Rationale of the "E" Career Service.

The "E" Career Service was formed to provide uniformity in handling the career and performance evaluation of individuals assigned to the Offices of the DCI Area including the Agency staff of the Director and the Deputy Director. In addition, it provides for conformity between the "E" Career Service and the Career Service systems of the four Directorates. The creation of the "E" Career Service in 1973 stemmed from the existence of employees in the

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Offices of the Director whose occupational specialities defied inclusion in any of the other services.

B.   Structure of the "E" Career Service.

1.   The "E" Career Board is the umbrella unit. It is composed of the Heads or their alternate of the various offices reporting to the DCI. The secretary is the Administrative Officer to the DCI. The Chairman of the Board is designated annually by the DCI or the DDCI from among the various Office Heads. The basic responsibilities of the Board, as found in the "E" Career Service Handbook, are:

°to provide general overview of all personnel, manpower and career management matters affecting the DCI Area and the members of the "E" Career Service;

°to provide advice to the DCI and the DDCI and guidance to the "E" Career Service Panels;

°to evaluate the career potential of each member of the "E" Career Service at grades GS-15 and above plus those below GS-15 assigned to the immediate office of the DCI.

2.   There are seven panels. One panel has been established for each of the Offices of the DCI Area (Comptroller, General Counsel, Inspector General,

Public Affairs, Equal Employment Opportunity and Legislative Counsel) and a Senior Secretary/Clerical Panel (GS-08 and above). The basic function of a panel is to conduct annual evaluations of members of the "E" Career Service, grades GS-08 through GS-14, who are assigned to the office that the panel represents. They also provide the Board with advice and comments on such matters as training and assignments. The panel members are normally line officers of the office concerned. Clerical employees GS-07 and below are administered by the office of assignment. Clerical employees GS-08 and above are administered by the Senior Secretary/Clerical Panel.

C.   Membership of the "E" Career Service.

1.   Selection into the "E" Career Service is based on an objective finding that the best interests of the Agency and the individual are served by a projected long-term career relationship with one or more offices of the DCI Area. Individuals on "rotational" assignments (defined as three years or less) retain the career service designation of their parent career service.

2.   The FY 1979 ceiling calls for [   ] positions for the Offices of DCI Area (including the immediate staffs of the DCI and the DDCI).

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On-duty strength as of 31 May 1979 was ☐ Professional

25X1 employees number ☐ and clericals, ☐ Thus, ☐

percent of the work force is in the professional category;

the majority are concentrated at the GS-15 and above

level.

3.   As of 31 May 1979, ☐ of the professional

employees assigned to the Offices of the DCI Area

did not belong to the "E" Career Service. Rotational

personnel were concentrated in the Comptroller's Office

25X1 ☐ and in the Office

of the Inspector General (OIG) ☐

on-duty). In the Office of the DCI only two special

assistants along with the professional officers of the

Administrative and Security Staffs were on rotational

assignment. The remaining ☐ professional employees

were "E" careerists. All clerical employees are members

of the "E" Career Service.

4.   Of the "E" Career Service professional employees,

approximately 51 percent have specialized skills.

25X1 These are the ☐ lawyers in the General Counsel's

25X1 Office (OGC) and the ☐ auditors of the Audit Staff of

the OIG. Most of the remaining ☐ professional "E"

careerists have talents that they either brought to the

job or were refined on the job. Aside from the General

Counsel and Audit Staffs, professional employees, with

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a few exceptions, do not enter at the journeyman level and progress in a career pattern in the same office; rather, professionals enter the "E" Career Service at a relatively senior grade with considerable Agency experience and careers behind them. Some individuals are directly recruited from outside the Agency for a specific assignment in the DCI Area. Normally, these individuals are appointed in a reserve or contract employment status for a specified period of time, and the rationale for their direct recruitment is the need for their unique skill or talent.

III. NAPA Project Group Observations.

A. There is a professional and secretarial/clerical cadre permanently assigned to the Offices of the DCI Area and their careers/employment need management.

B. Of the professional employees assigned to the Offices of the DCI Area, 26 percent are on rotational assignment and do not fall under the auspices of the "E" Career Service.

C. Secretarial/Clerical members of the "E" Career Service are essentially similar to secretarial/clerical employees assigned elsewhere in the Agency; thus, any career management system found most successful for managing secretarial/clerical employees Agency wide should be adopted for those secretarial/clerical members of the "E" Career Service.

D.   As discussed earlier, professional employees who
are members of the "E" Career Service fall into two categories:
those who joined the "E" Career Service at a relatively
senior and experienced level (49%); and those dependent upon
the "E" Career Service for the full range of career management
needs (51%). Thus, the "E" Career Service differs from most
Career Services in that many of its members are not dependent
upon the "E" Career Service for career management in the
traditional sense. Rather the "E" Career Service primarily
administers to the personnel needs of these employees.
Accommodations, however, must be made for those members who
are dependent upon the "E" Career Service for career development
needs.

E.   As it is Agency policy to follow the Career Service
concept for all employees, for the sake of fairness and
equity, those employees who are assigned on a permanent
basis to the Offices of the DCI Area should be members of
some form of a Career Service.

IV. Options.

A.   Disestablish the Independent Offices.

Inherent in this alternative is submerging the
functions of the Independent Offices down in the Agency
organization and having the Heads report through various
Deputy Directors. Personnel assigned would then join the
career service of that Deputy Director. In most instances,

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this would not be feasible as the concept of the Independent

Offices includes supporting the Director in his community as

well as Agency role. This would not be as efficient from a

lower position within the Agency. Also, some functions,

such as that of the Inspector General and the Comptroller

require Agency-wide duties and review roles that would be

difficult to discharge from a Directorate level.

B.   Create a Series of "Mini-Services".

In this alternative, a series of Career Services

would be established following Office lines with the Head of

that Office as the Head of the Career Service. Each Office

would then be responsible for the career management and

progression of employees within that Office. This would be

a system similar to the one which existed prior to 1973. An

initial difficulty would be duplicating the centralized

services provided by the "E" Career Service Board, its

secretary and the DCI Personnel Officer. This duplication

would be costly in terms of manpower and time. The lack of

career progression or growth in a small office would be of

concern as, in most instances, entry would be at a senior

level and it would be difficulty to establish a career

pattern within small specialty areas. Another difficulty

would be the career placement of those individuals reporting

directly to the DCI or DDCI. The panels within the "E"

Career Service now function closely to the concept of "mini-services" with the advantage of centralized support and equal and fair practices being developed by the Board.

C. Assign All Individuals on a Rotational Basis.

Without having a cadre of permanently assigned individuals, there would be no need for an "E" Career Service as individuals so assigned would remain affiliated with their parent career service. The personal advantage to this system would be the career growth and experience afforded an individual by a rotational assignment in an Office of the DCI Area. Additionally, rotation would bring more background and expertise to many of the Offices. The overriding difficulty would be filling those jobs in OGC and the Audit Staff where certain skills are required that are only developed by training and experience. A probable case can be made for rotating Finance Officers into the Audit Staff where the primary role is one of financial, budget and program evaluation; most senior Finance Officers are similarly trained. However, it may not be feasible to rotate individuals without law degrees into the lawyer positions of OGC; finding sufficient recently trained lawyers within the Agency would be difficult. Also, the OGC skill of counsel and advice is developed through experience and exposure. Additionally, some mechanism will still be necessary to provide career service concepts to

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those permanently reporting to the DCI or DDCI. However,

staffing more professional positions in the Offices of the

DCI Area by individuals on rotational assignment has

merit. Position evaluations indicate that all but the most

senior positions and those in OGC and the Audit Staff can be

effectively staffed by individuals on a rotational assignment.

From examining the DCI Area Position Control Register, it

appears that this practice is usually followed only in the

Office of the Comptroller and with a few of the Inspectors

in OIG. This rotational policy is beginning in The Office

of Equal Opportunity where personnel generalist will spend a

tour doing EEO speciality duties. By following this practice

in other Offices of the DCI Area, there would be fewer

professional members of the "E" Career Service; thus, the

difficulty of providing career progression to professional

members of the "E" Career Service would be reduced. Serious

consideration by the "E" Career Service Board and its Chairman

to this concept may be indicated.

> D.   Continue the "E" Career Service.

Conceptually, Career Services are simply organi-

zational elements responsible for the management of de-

signated individuals. Individuals are assigned to the

Offices of the DCI Area. Some have occupational specialities

that cannot be easily included in any other services.

Others elect to permanently join one of these Offices

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due either to career goals or to special interests. The
Agency has elected to have career services the management
of which is at the highest practical organizational level
that can reasonably guide and handle a recognized group of
people. This has been applied in the "E" Career Service
with its Board and Panel system. Certain problems are
inherent in the "E" Career Service and the main one is the
lack of career progression in a planned and developed method.
This lack is due basically to the size of the service which
limits movements and restricts the gaining of varied ex-
perience. Lack of career progression will continue to be a
limiting factor in any system where the number of individuals
included in that specialty is small and the need for those
so trained is few. This constraint to the Career Service
concept is offset by the advantage of offering a system that
provides equity and fairness to all employees in the DCI
Area and gives them a personnel management system similar to
that offered Agency employees assigned in other Directorates.

V.   Conclusions.

A.   The concept of the "E" Career Service is
viable for two basic reasons. First, the "E" Career Service
meets the Agency criteria that all employees belong to a
career service and that the service be managed from a senior
level to assure uniformity and consistency. Secondly, there

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are "E" Career Service employees whose occupational specialities are such that there would be no tangible benefit in terms of personnel management to include them in another Career Service.

B.   However, more professional positions in the Offices of the DCI Area should be staffed by individuals on rotational assignment. This could be accomplished by allowing fewer officers to convert to the "E" Career Service when on assignment to the DCI Area, nurturing rotational assignments in other Directorates for "E" careerists, and more frequent replacement of those "E" careerists who resign, retire, or transfer with officers on rotational tours from outside the "E" Career Service. Such a rotational policy would have to be gradual and also would have to be compatible with career progression of members of the "E" Career Service.

VI.   Recommendation.

Retain the "E" Career Service but with more professional "E" career positions being staffed by officers on rotational assignment.

The above recommendation is ( ) approved ( ) disapproved.

_____   _____
Deputy Director of Cental Intelligence   Date

CT SELECTION AND PLACEMENT

I. NAPA Recommendations.

A. "Make entry into the Career Training Program more attractive to present employees by providing 'retreat rights' to their former positions or equivalent for those who are unable to complete the program but continue to have value to the Agency elsewhere."

B. "Explore the possibility of allowing entry into the Career Trainee Program above GS-11 both from within and outside of CIA of persons with special qualifications. Provide a modified CT Program for such persons if necessary." (NAPA, Conclusions, pp. 104-105.)

II. NAPA Comments.

A. "Recruitment of Career Trainees (CTs) from within and without the Agency does not appear to have been pursued as effectively as it might and criteria should be established for use of CTs in Directorates other than DDO." (NAPA, Executive Summary, p. VII.)

B. "It appears that the Program could be made more attractive to current employees (internals) if some of the restrictions were removed and if entry into the Program above the GS-11 level were permitted. It is also possible that a higher grade level could attract external candidates with intelligence gathering or analytical experience." (NAPA, The Present System , p. 71.)

III. Discussion.

In commenting on the Career Training Program (CTP) the NAPA Team focused on two legitimate concerns, i.e., is the CTP attracting as many qualified internal and external candidates as it might and is the Agency making sufficiently broad use of the Program. The Team's recommendations,

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however, only addressed their perceived need for attracting internal and external candidates. The question of broader use of the CTP by Director- ates other than the DO was not translated into a specific recommendation. Nevertheless, this issue deserves further study, as noted below.

A. Retreat Rights.

1. The NAPA Team defined "retreat rights" as a provisions to allow internal CTs to return to "their former position or equivalent" if they "are unable to complete the program but continue to have value to the Agency." In their discussion of this issue the Team appears to have been influenced by past Agency procedure which required "unsponsored" internals (see below) to convert to contract status before being accepted into the CTP. This procedure has been changed and now all internals who have staff status retain their staff status throughout the CTP. Although the Team acknowledged that these current procedures are more attractive to the internal applicant, they remained convinced that the Agency had not "explored all possible avenues . . . to use existing Agency personnel resources to fill the CT Program." (NAPA, The Present System, p. 61.) Hence their recommendation for "retreat rights."

2. Current policy requires that before being accepted into the CTP the internal applicant must have a permanent assignment to go to upon completion of the Program. This means that either the internal's home office supports, in effect "sponsors," the application with the understanding that the CT will return to the home office upon graduating from the CTP or the applicant obtains a commitment for a permanent assignment from a new office. CTs are then slotted in the office of their new permanent assignment before entering the Program or remain slotted in the office sponsoring them.

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3.   For the period 1975-1979 the CTP accepted a total of 46 internal candidates; 24 of these were "sponsored" and 22 were not. All graduated with the exception of three of the "sponsored" internals who resigned before completing the Program. These figures do not directly address the subject of "retreat rights" other than to show that only three internals in the past five years did not complete the CTP and they were all "sponsored," meaning that presumably they had some degree of "retreat rights." What the reason was for the resignation of the three and whether or not these CTs believed that they had any viable option except to complete the Program and return to their home office is not available from CTP records. How many other internals were interested in the CTP but did not apply because of a perceived need for better "retreat rights" is also not re-trievable from CTP records.

4.   In the opinion of the NAPA Project Group, the Agency provides "retreat rights" through the present requirements of "permanent assignment" for CTs prior to acceptance into the Program. Nonetheless, the Project Group concedes that certain internals may be discouraged or inhibited from applying to the CTP. This is probably more a reflection of the content and purpose of the CTP at this time than Agency procedures for internal applicants. Specifically, the heavy commitment of the CTP to service DO requirements has for the immediate future closed out the Program to all but very ex-ceptional internals or those interested in pursuing a career with the DO. This may be the major issue vis a vis internal applicants, not retreat rights.

B.   Entry level GS-11 and above.

In making this second recommendation the NAPA Team implied that a higher entry level grade for the CTP would result in more internal

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candidates and better qualified external candidates. While this may be a logical assumption it presupposes that: (1) there are qualified internal candidates for the CTP who are discouraged or disinterested in applying to the Program because of its low grade and (2) the CTP is not attracting a sufficient number of high quality external applicants.

1. Internal Candidates.

    a. In addressing the first point several facts are relevant. The CTP course is currently ☐ months for DO bound officers and ☐ months for others. The Program consists of 3 weeks of introduction to the Agency and Intelligence Community, plus 4 weeks in a basic operations course which is designed to give the CT a general exposure to operational activity. This is now followed by two ☐ interim assignments: one in the office to which the CT is to be permanently assigned and a second interim in an office which complements the CT's office of permanent assignment. The DO CTs then return to go through Part II of the Operations Course where they are taught operations tradecraft.

    b. What internal will be interested in the above curriculum? In most cases an employee who is either; (1) interested in making a career with the DO or (2) interested in the orientation aspects of the Program offered through the training and the interim assignments to two different offices and/or (3) interested in seeking a new assignment outside of his/her home base component.

    c. In the first instance, a DO bound CT will find upon joining the D Career Service that to reach the journeyman level as an operations officer (GS 11-12) he or she must have at least one tour as an operations officer abroad. Because the DDO recognizes that a CT at the

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GS-11 level is relatively non-competitive for the first few years the Directorate has exempted CTs at this level from receiving the automatic one grade increase which other DO bound CTs now receive upon completion of the program. Thus, only CTs hired at the GS-10 or below grade receive a grade increase at the end of the CTP. In view of these facts the Project Group can see no justification for raising the entry level grade above GS-11 for DO bound CTs.

      d. Internals who are not interested in a career with the DO and see the CTP as a broadening experience and/or a chance to seek a new career track could be inhibited by the preference of the Program for junior officers (i.e., below GS-11). Nonetheless, there are options other than the CTP open to employees with such interests: for example, rotational assignments to another career service, or various personnel services to assist in seeking employment in other offices within the Agency. The Project Group does not see the CTP as an especially appropriate vehicle to service the above requirements of a mid-level employee.

      2. <u>External Candidates</u>.

      Another reason for raising the entry level grade of the CTP, as noted by NAPA, is to attract additional external candidates. According to the DCI's Notes of 17 August 1979, the latest CT class is of the same high caliber

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as in earlier days.

the size of the total number of CTs going through the Program. The above would indicate that

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the CTP is attracting a sufficient number of qualified external candidates to meet its requirements. The question of whether a higher entry grade would

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however, the option presently available to hire above the GS-11 level if the qualifications of the candidate and the needs of the organization dictate.

C. Broader Agency Use of the CTP.

1. The NAPA Team recognized that the CTP is currently committed to servicing the heavy requirements of the DO resulting from a shortfall of junior and mid-level operations officers in that Directorate. NAPA also understood that the CTP has since its inception been made up of 50% or more DO-bound trainees. The above notwithstanding, the Team questioned "the criteria for use of CTs in Directorates other than DDO", noting that

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"there is no indication in [   ]s to the positions in the Agency that should be filled through the CT Program." (NAPA, The Present System, p. 71.)

2. The NAPA Project Group found the following facts to be relevant in assessing this issue:

a. Interest and requirements for a junior officer training program vary between career services and subgroups outside of the DO.

b. The CTP is one of several junior officer training programs in the Agency. (E.g., within the DA, the Offices of Personnel, Logistics, and Security have each developed their own junior officer trainee programs which they have tailored to their particular needs.)

c. In NFAC only OSR and OPA currently utilize the CTP to any great extent. Other NFAC offices prefer to hire directly and give their new analysts whatever training and orientation is needed after they are on the job in NFAC.

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d. DDS&T has historically had limited requirements for the CTP and generally prefers to hire new professionals directly.

3. Based on the above, the NAPA Project Group concluded that there is a more basic issue facing Agency management than simply identifying the criteria for use of CTs throughout the Agency. Namely, the totality of the CTP--its objectives and goals--needs to be reviewed in light of current Agency organization and personnel needs.

IV. Conclusions.

A. A CT internal currently has "retreat rights" by virtue of a commitment for a permanent assignment before entering the CTP and retention of staff status. These procedures appear adequate to provide secruity for employees who "are unable to complete the program but continue to have value to the Agency . . ."

B. An entry level grade of GS-11 or above is not a viable option for the average DO bound CT because in most circumstances it will put the CT in a non-competitive status for several years. There is no restriction, however, prohibiting the CTP from offering a GS-11 entry grade or higher if the qualifications and projected assignment of the CT justify such a grade. This applies to CTs scheduled for assignment to all Directorates.

C. The question of broader Agency use of the CTP touches upon a more basic issue which deserves study, namely the role and objectives of the CTP including whether it should be a program to be used solely for recruitment and development of operations officers.

V. Recommendations.

A. Retain present procedures requiring permanent assignments and

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retention of staff status, when appropriate, for internal CT candidates.

The above recommendations is ( ) approved ( ) disapproved.

B. Have the Director of Training reaffirm in writing to Directorates that the entry level grade of the CTP is flexible and pegged to the qualifications of candidates and in cases of exceptional qualifications and corresponding need of Agency management a CT may be hired above the GS-11 grade.

The above recommendation is ( ) approved ( ) disapproved.

C. Have the Director of Training publish annually an Agency Notice outlining current requirements for the CTP and providing instruction for internals interested in applying to the Program.

The above recommendation is ( ) approved ( ) disapproved.

D. Establish an inter-directorate task force to make an indepth review of the role and objectives of the CTP.*

The above recommendation is ( ) approved ( ) disapproved.

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*The Project Group understands that a rather similar recommendation has been made in the study "Recruitment for CIA's Career Training Program" recently prepared in the Office of Training.

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E. After the above review, have the DDA [   ] reflect   25X1
the Agency's updated concept of junior officer programs in general and
the CTP in particular.

The above recommendation is ( ) approved ( ) disapproved.

_____   _____
Deputy Director of Central Intelligence   Date

VACANCY NOTICE SYSTEM

I.   NAPA Recommendation.

"Make better use of vacancy notices through defining purposes and results expected from their use and then using the notices accordingly." (NAPA, Conclusions, p. 97.)

II.   NAPA Comments.

A.   "The Agency 'Vacancy Notice' program is uncoordinated and ill-defined. It is operated differently by the various Directorates and has some mechanical problems in the actual distribution of notices." (NAPA, Executive Summary, p. VII.)

B.   "There is confusion as to the purpose of using a vacancy notice."

C.   "While the Vacancy Notice System is referred to as Agency wide, past practice indicates that it operates on an inconsistent basis at three levels--Agency, Career Service, or Career Service Subgroup."

D.   "There is a problem on distribution (of vacancy notices) . . .".

E.   "This is an area where there can be great differences between employee expectations and reality. These differences need to be narrowed as much as possible if the system is to benefit both the Agency and its employees."

(Latter four statements from NAPA, The Present System, pp. 66-67.)

II. <u>Background</u>.

    A.   <u>Agency Vacancy Notice Policy</u>.

        1.   ⧉   is the

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only official recognition of the Agency vacancy notice
program, albeit the Personnel Handbooks of the Directorates
include coverage on the subject. The official regulation
states:

> "The Director of Personnel publishes vacancy
> notices to advertise the qualification require-
> ments of positions for which the Heads of
> Career Services <u>wish to solicit candidates</u>.
> Interested employees with the requisite
> qualifications are encouraged to submit
> applications for vacancies through appropriate
> component channels."

The Project Group notes that this regulation does not
include a policy statement on what the vacancy notice
program is or what it is intended to accomplish.
Moreover, it does not clarify that, at the discretion
of the Career Service Heads, vacancy notices can be
distributed within three tiers--Career Service Subgroup,
Career Service, or Agency wide; and inattentive employees
can incorrectly presume that only the Director of
Personnel publishes notices and Agency-wide distribution
is normal practice.

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2. [   ] announced
the "implementation of an Agency-wide vacancy notice
system." This HN says announcement of existing or
anticipated vacancies throughout the Agency is intended
to promote optimum use of existing manpower resources
and to make information about assignment opportunities
available to as many employees as possible. It further
says "many positions . . . can be filled . . . from
other offices and directorates as well as from the
component with the vacancy." "In such cases, vacancy
notices will be issued to stimulate applications from
which the best selection can be made." A third
significant element of this HN is the statement that
vacancy notices will normally be given Agency-wide
distribution . . . but unique positions involving
special training, exceptional qualification or
sensitivity may be restricted to specified offices
or directorates.

3. The Project Group notes that although the HN
touches on policy and recognizes the practice of dis-
tributing vacancy notices within components, it does
not identify the three-tiered system, it creates the
inaccurate impression that most vacancy notices are
distributed Agency wide, and a straight-forward policy
statement is lacking.

4.   In short, printed material on the vacancy notice system intended for reading by all employees Agency wide does not state policy clearly and has been misread by some employees. Moreover, the paucity of such material has led to poor employee understanding-- especially by those relatively new to CIA--of the vacancy notice system.

B.   Directorates' Vacancy Notice Policy.

1.   The Personnel Handbooks of the Directorates all include coverage on vacancy notices, when they may be used, and what the level of distribution may be. Although these Handbooks indicate that notices may be distributed to other Directorates, none except NFAC talks of Agency-wide distribution per se. Moreover, except for NFAC, the general guideline is that a vacancy notice may be issued when a component has a vacancy that cannot be filled within. In other words, little encouragement is given by management to soliciting candidates outside a Career Service or Career Subgroup. The DDA Handbook (April 1975), for example, states:

> "If a position cannot be filled by a qualified candidate within a subgroup (each Career Subgroup is encouraged to utilize internal vacancy notices), a vacancy notice will be distributed to the other Directorate Career Subgroups or to the other Directorates."

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For the DDS&T, the Handbook (July 1976) notes:

> "The vacancy notice system is one means to fill positions by personnel from other offices and directorates, as well as from the component with the vacancy."

> "Vacancy notices will be issued when a component has a vacancy for which it has no highly qualified and obvious candidate."

The Handbook for the DCI Area (November 1977) does not use the term "vacancy notice," as indicated in the following:

> "The fact of the existence of a position vacancy or staffing requirement in any office or staff of the DCI Area will be disseminated in writing throughout the DCI Area unless circumstances justify a different approach, as, for example, the need to fill a position on a rotation basis from another career service."

The NFAC Handbook (November 1978, with a revised insert on vacancy notices dated July 1979) represents the most current of the Directorates' Handbooks, and regarding vacancy notices is also the most complete. It spells out by grade and circumstances when such notices are required (i.e., NFAC-wide distribution or option for

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Agency-wide). A definition of what constitutes a vacancy is also provided that includes instances of resignation, retirement, reassignment, and rotations of personnel at the same grade level within an Office. The DDO Handbook (October 1977) indicates that the vacancy notice system "is a means to fill open jobs in the issuing component . . . ". A vacancy notice is submitted to the Career Management Staff which circulates the notice, giving it intra-Directorate circulation or submits it to the Office of Personnel for Agency-wide circulation, as appropriate.

2. In sum, the majority of Agency line managers are given discretion in determining what constitutes a vacancy and how to go about filling that vacancy. The prevailing philosophy among managers is that the vacancy notice system is (some say "should be") a management tool designed to supplement other established assignment mechanisms.

C. Perceptions of Employees.

1. The best documented Agency-wide view of employees on the subject of vacancy notices is the Employee Survey of July 1976, taken three years after the "Agency-wide system" was implemented. In answering the question "Do you believe the Agency vacancy notice system works satisfactorily?"--20% of the respondents said yes, 31% had no opinion, and 48% said no, with the

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DO respondents recording the lowest "yes" percentage-- 12%.

2.   This view by Agency employees appears to have changed little since 1976 according to conversations between the Director and groups of employees. Most complaints seem to center on distribution of notices and pre-selections; i.e., application to a vacancy notice is a hollow exercise in most instances because the candidate already has been chosen.

3.   It is clear that some employees are confused over the purpose of vacancy notices, thus leading to complaints about distribution. Little has been published on this subject by the Agency for employee information. The most useful current information is published by the Directorates which concentrate on _their_ policy--namely, the line manager has the discretion when to issue a notice and at what level of distribution. In contrast, ⬚⬚⬚⬚⬚⬚⬚⬚ discussed above, implies that most vacancy notices are issued Agency wide by saying they will _normally_ be given Agency-wide distribution. This is not actual practice, thus creating employee confusion and consequent complaint about notice distribution.

4.   The current procedure for reproducing and distributing Agency-wide vacancy notices--which begins in Staff Personnel Division (SPD)--also has drawbacks

that create potential situations where employees may
rightfully complain that they do not see vacancy notices
and when they do, the application deadline may be past.
Upon receipt of a notice to be advertised Agency wide
and after normal administrative processing, SPD xeroxes
112 copies for clerical notices and 218 copies for
professional/technical notices for initial distribution
to about 65 offices of the Directorates where discretion
is exercised regarding further distribution and how
many additional copies will be xeroxed. Timely cooperation
obviously is required of the Directorates to make such
a distribution arrangement work, but such an uncontrolled
scheme can occasionally breakdown.

    5.   A more effective system existed prior to
SPD's move from Headquarters _____ in August 1976.
SPD would receive overnight printing service from the
Printing and Photography Division of the Office of
Logistics. After SPD's move, however, such timely
service became infrequent and the norm for printing
increased from overnight service to seven/ten days.
Unable to change the situation and receiving employee
complaints on late notices, SPD undertook the time-
consuming and costly task of xeroxing and distributing
the Agency-wide notices.

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6. If there is a concern over the distribution system, an employee still can remain informed by utilizing alternative sources of information. For Agency-wide vacancy notices, a summary list of vacancies is posted monthly on the official bulletin boards in [_____] Agency   25X1 buildings. Locations of the formal files are normally noted on the monthly summary. The actual notices, in addition to normal distribution among components, are available for employee review in the Headquarters Library and in Ames Building. The Career Services have similar master file arrangements for Directorate-level notices and Agency-wide notices as well.

7. The view of some employees that candidates are pre-selected for advertised vacancies cannot be substantiated by the Project Group, but statistics that follow suggest this is an overdrawn perception.

D. Statistics on Vacancy Notices.

1. In 1978 there were [_____] applicants for [_____]   25X1 vacancies--[_____] professional/technical and [_____] clerical--   25X1 advertised Agency wide (no one applied for [_____] of these   25X1 vacancies). Of the vacancies filled, 80% of the successful candidates came from outside the advertising component. For the period 1973-77 a total of [_____] Agency-wide   25X1 notices were published, applicants numbered [_____] and   25X1 [_____] positions were filled. Of these, 66% were filled with applicants from outside the advertising component.

Comparison of these two time frames clearly shows a sharp increase in use of Agency-wide vacancy notices by the Directorates and healthy participation by employees in the system which suggests it is working reasonably well. In total, the figures are impressive- [____] advertised positions, [____] applicants, and the majority of the positions were filled with employees from outside the advertising component.

2. Not reflected in the above is the number of vacancy notices continually being distributed below the Agency-wide level. These "internal" systems which were in being long before the Agency-wide one implemented in 1973, include notices distributed at the Office/Division level or Directorate wide. No data are filed centrally on how many of these vacancies are advertised annually, but their combined number is estimated to exceed that for Agency-wide notices by a significant margin, thus indicating that overall a very large number of vacancies are in fact advertised and that there is an even greater number of vacancy notice applicants.

IV. Discussion and Findings.

A. Vacancy notices provide employees the most visible, ongoing opportunity and direct means available for possible career change and/or progression within their Directorate or elsewhere in the Agency. Consequently, there is interest--

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but in varying degrees--at most grade levels in the vacancy notice system, and because of this interest it is important that employees have a clear understanding of its purpose and how it operates. As noted in the NAPA Report (p. 64), however, this is not the case. Moreover, there is a wide range of employee opinions on the use of the vacancy notice-- from a desire to have all vacancies filled through use of a notice to a feeling that the system is a sham because someone has been pre-selected before the notice was issued.

B. Managers also have indicated a whole range of opinions on the use of the vacancy notices--from great enthusiasm to downright antipathy (NAPA Report, p. 64). A major concern of managers appears to be retention of line authority to determine what constitutes a vacancy and how a vacancy should be filled. Most managers feel the current system provides them the flexibility they need in the selection process for a vacancy; i.e., direct hire, internal lateral transfers, intra-office, intra-directorate, or Agency-wide call.

C. Another concern of managers is that inflexible application of vacancy notices (e.g., mandatory advertising of all vacancies) would create problems in meeting personnel management responsibilities they have for employees in their immediate Career Service or Subgroup, especially those groups that are highly specialized. These responsibilities

include planning promotion targets, implementing Upward
Mobility Programs, expanding minority placements, planning
executive development and formulating succession planning
(the PDP), as well as career development planning (including
inter- and intra-Directorate rotations) and career counseling.
The Project Group considers these concerns of managers to be
valid.

D.   Employees dissatisfied with the vacancy notice
system do not seem to understand that it is intended to
complement the career development programs within each
Career Service, and that maintenance of a meaningful Career
Service requires priority consideration be given to qualified
employees in that Service in filling a vacancy. Elimination
of this policy may satisfy concerns of some employees who
are dead-ended and see vacancy notices as a possible means
for movement elsewhere, but it would create dissatisfaction
for others.

E.   Employee dissatisfaction with the system also
derives in part from inadequate and infrequent Agency ex-
planation of its purpose and how it works. Directorates
also provide inadequate information. Periodic publication
of such information for employees would, in the view of the
Project Group, help dispel perceptions of a vacancy notice
program that has poor distribution of notices and pre-
selection of candidates for a position even before a notice

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is issued. Dissemination of data for 1978, for example, would clearly show the success of the program- [ ] applicants for [ ] vacancies advertised Agency wide, with 80% of the successful candidates coming from outside the advertising component. And these statistics do not include the full magnitude of the program; i.e., vacancy notice programs within each Directorate.

F.   Although some employees complain of not seeing all vacancy notices, the Project Group does not see this as a matter that per se requires major adjustment to the distribution system. There are several reasons: first, not all vacancy notices are distributed Agency wide. Second, once a notice is initially distributed, there is no effective and efficient way to guarantee timely distribution down to all levels of the organization even if deadline dates were extended. Third, it is impractical to expect the Office of Personnel to assure that all notices will be seen by all employees. No supervisor, however, should reserve the right to judge whether a notice be circulated in his or her component. Additionally, it would seem, in the eyes of the Project Group, that some employees expect the organization to spoon feed them with little effort on their part to personally seek readily available information on vacancies.

G.   In recognizing the inherent problem of distribution, the Office of Personnel, for Agency-wide notices, posts

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relevant, timely information at [ ] key locations and master files of Agency-wide notices are maintained for employee review at two easy-access centers; each Directorate also has master files for employee review of Agency-wide and Directorate notices. In short, vacancy notice information is always available to the employee who seeks it. Nonetheless, effort should be made to improve distribution and concomitantly reduce reproduction costs of vacancy notices. This could be accomplished by requiring the Printing and Photography Division to provide rapid timely service on all SPD printing request for Agency-wide vacancy notices, and in a sufficient number of copies to eliminate the need for additional reproduction within the Directorates. Distribution time thus would be quicker and more efficient, and reproduction costs reduced.

H.   Although the Project Group considers the current vacancy notice system to be basically sound, we agree with the NAPA Team that the system should provide a means to strengthen opportunity for movement across Directorate lines for qualified, interested employees. This can be accomplished by a dual system that preserves present practice (i.e., three possible levels of vacancy notice distribution-- Agency, Career Service, or Career Service Subgroup for those positions where there are no internal candidates in the opinion of the line manager), but also requires annual

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mandatory reporting to the Director of Personnel of all anticipated vacancies during the upcoming fiscal year where qualified candidates from <u>within</u> the advertising component <u>will be considered</u> and <u>no vacancy notice distributed</u>. These latter vacancies along with essential qualifications and a closing date for applications could be filed for a specific time period in central locations available for employee review. Employees interested in specific jobs could be referred by these centers to the personnel officer of the issuing component for further information and application procedures. In short, vacancy notices could be used for positions where candidates are actively being sought, and a means could be provided for employees to obtain information and to pursue on their own those anticipated vacant positions for which there are fully qualified internal candidates. Such a mandatory reporting system would strengthen opportunity for cross-Directorate movement and, importantly, provide sufficient lead time for Career Service or Subgroups to fill those positions in a timely, orderly fashion. Such lead time would be especially critical in those Subgroups comprised of specialists where one occurring vacancy results in a chain of several subsequent vacancies.

    I. There are several factors, however, that may be viewed as drawbacks to the mandatory reporting scheme: costs for timely and efficient maintenance of the central

locations may be high in comparison to the frequency of
employee use; it may be difficult for some components to
provide 12-month projections; and not least, security--i.e.,
access of all employees to a vacancy listing that could
include sensitive positions. These aspects would have to be
examined. The Project Group notes, however, that decision
on cost/benefit could be delayed until completion of a set
trial period, most vacancies involving planned rotations
(e.g., Personnel, Security, Operations) can be anticipated,
and that security concerns might be met by the component
providing information in only the most general way or by
exempting sensitive vacancies from mandatory reporting.
Another factor not to be overlooked is employee perceptions
of a mandatory reporting scheme on anticipated vacancies for
which the components have qualified candidates. It could be
viewed as a sham.

    J. The Project Group examined the feasibility of a
mandatory Agency-wide vacancy notice system and has concluded
that such a system would be an expensive, time-consuming
administrative burden that would create an enormous flow of
paper to all employees announcing vacant positions that
generally apply to a relatively small portion of the Agency
population. Historically, 60% of Agency-wide vacancy notices
have been for clerical positions, with about 45% of these
for positions GS-06 and below. Thus, most of the positions

have been of interest to about 15% to 25% of the Agency, not including the factor of job qualifications. Under a mandatory system, which would include advertising of highly specialized jobs, this percentage probably would be even lower. Moreover, a mandatory system would work at cross-purposes with the Career Services and their responsibility for employee development. The potential magnitude of a mandatory system is reflected in data for FY 1978 which shows there were about [   ] personnel movements in that 12-month period.

    K.   The Project Group also concludes that employee understanding of the vacancy notice system could be improved if each Directorate developed for use in its Career Service or Subgroup a set of specific guidelines as to what constitutes a vacancy, when notices should be circulated, and at what level of distribution. Such guidelines should initially be published as a notice and subsequently in the Directorates' Personnel Handbooks which should be updated with more frequency than has been practiced.

V.   <u>Recommendations</u>.

    A.   Retain the present vacancy notice concept and method for distribution for positions where line management has elected or is directed to solicit candidates from outside the advertising component.

The above recommendation is ( ) approved ( ) disapproved.

B.   Make mandatory for all components the annual
reporting to the Director of Personnel of all anticipated
vacancies GS-15 and below in the upcoming fiscal year for
which fully qualified internal candidates will be considered
and no vacancy notice is to be issued, and have the Director
of Personnel establish for employee use at least two in-
formation repositories (e.g., Ames Building and Headquarters
Library) for these vacancies and pertinent related information
including a closing date for applications.   Information on
each reported vacancy would be purged from the file on the
closing date.

The above recommendation is ( ) approved ( ) disapproved.

C.   Have the Director of Personnel review the success
and cost/benefit of Recommendation B after one year and
recommend to the DDCI if such mandatory reporting should be
continued.

The above recommendation is ( ) approved ( ) disapproved.

D.   Have the Director of Personnel distribute annually
a notice to employees explaining the vacancy notice system
and the role of Staff Personnel Division, and providing data
on the previous year's vacancy notice results; e.g., number

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of vacancies advertised through notices, number of applicants, percentage of such positions filled from outside the adver- tising component.

The above recommendation is ( ) approved ( ) disapproved.

E.   Have the Director of Personnel rewrite for DDCI approval[   ]as a basic policy statement on the vacancy notice system reflecting its purpose, optional levels of notice distribution (i.e., Agency-wide or within Directorates), and authority of Career Service Heads to determine when to advertise a vacancy. Purpose of the system should note that it complements the individual Career Service personnel development systems, and that vacancy notices provide opportunity for competitive selection based on qualifications, ability and potential. The regulation also should include basic criteria developed by the Director of Personnel for use by Career Service Heads in defining a vacancy. Such criteria could include:

     °No qualified candidate in the component;

     °No candidate that the Career Service wants to
      rotate into the position;

     °The position is not related to an Upward Mobility
      Program;

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°The component is not seeking an employee from
a specific Directorate (e.g., a DO officer to
serve on the IG Staff or an NFAC analyst to

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serve [   ]
°There is no need to fill the position by external
recruitment; and
°The position is not to be filled by directed
assignment because of an employee placement
problem or disciplinary action.

The above recommendation is ( ) approved ( ) disapproved.

F.   Have each Deputy Director publish specific information
on vacancy notices using NFAC's July 1979 issuance on the
subject (attached) as a model framework, including policy,
definition of a vacancy, requirements for notice distribution
and procedures.

The above recommendation is ( ) approved ( ) disapproved.

G.   Have each Deputy Director revise their Personnel
Handbooks to include the data called for in Recommendation F.

The above recommendation is ( ) approved ( ) disapproved.

H.   Have the Director of Personnel approve all Directorate issuances on the vacancy notice system including that which is in Personnel Handbooks.

The above recommendation is ( ) approved ( ) disapproved.

I.   Charge the Directors of Personnel and Logistics to arrange for priority printing of Agency-wide vacancy notices and subsequent distribution. Sufficient numbers of notices should be printed to eliminate the need for further reproduction by the Directorates, thus reducing xeroxing costs and speeding dissemination.

The above recommendation is ( ) approved ( ) disapproved.

_____   _____
Deputy Director of Central Intelligence   Date

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MOVEMENT INTO PROFESSIONAL RANKS

I.   NAPA Comment.

"The EEO Advisory Group opposes. . .the requirement of a college degree for all 'professional' positions." (Executive Summary, p. VIII.)

". . .a college degree appears to be a requirement for movement into 'professional' positions--particularly in the CT Program and in the DDA." (NAPA, The Present System, p. 76.)

II. Discussion.

A.   The connection of a college degree with entry into professional ranks is an issue more related to qualification standards than the subject of EEO or "labeling," under which the above NAPA comment was presented. In any event, there is no identifiable Agency policy that says or implies a college degree is required for movement into professional positions. In fact, approximately 27% of professional employees do not have a degree. In most instances, however, it is true that Agency components, including the DDA and the CT Program, require a college degree for their professional positions. The definition of "professional" in the Agency Handbook of Position Title and Occupational Codes is germane to this "requirement":

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"This category includes staff, contract, and
military positions involving performance of
work considered Managerial, Administrative
Management, Scientific, Intelligence, Engineering,
Legal, Investigative, or Educative--which
requires the analysis and solution of problems,
and the determination of action involving the
exercise of judgment and initiative. <u>Normally
a baccalaureate degree or equivalent training
is required but demonstrated ability, experience,
and potential may be substituted</u>."

B.   The percentage of Agency professionals without a
degree indicates that flexible application of the above is
practiced. Nonetheless, in the eyes of some employees there
continues to be too few instances where capable, non-degreed
individuals have moved to professional positions based on
demonstrated ability, etc. This is a perception difficult
to deal with. Its existence also raises a question as to
whether there is sufficient distinction between the tasks of
some professional and clerical positions. Without this
distinction between work in a professional field and work
that is closely allied with it, but not itself professional,
it is easy to see why employees may have difficulty in
understanding why more non-degreed people do not move into
professional positions. Such lack of distinction may also

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explain why employees at times view a college degree
"requirement" with some suspicion.

C.   Staff Personnel Division (SPD)--in recognizing
that there are instances when a component will advertise a
professional vacancy requiring a degree when such may not be
essential--monitors the education requirement for all vacancy
notices to be distributed Agency wide. If the need for a
degree is not apparent, SPD consults with the originating
component, and in some instances this requirement is removed,
the wording altered to parallel more closely with the duties,
or a specific degree is identified. SPD, however, does not
monitor Directorate or Office-wide vacancy notices.

D.   Employee concerns over conversions from clerical
to professional status and whether some professional positions
do or do not require a college education appear to be mani-
festations of frustration in dealing with the fact that once
a certain clerical grade level is achieved there is minimal
opportunity for promotions without becoming a professional.
(The average clerical grade is GS-06, and only one in fifty
is GS-10 or higher.) This is a reality in any government
organization, however, where salaries are determined by the
complexity of the job. The important thing in CIA is that
opportunity be provided for clericals to move to professional
jobs--and it is for those with ability, experience and
potential.

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III. <u>Conclusions</u>.

A.   There is no Agency requirement that employees must
have a college degree to move into any professional position.

B.   The requirement for a degree is not always clearly
apparent for a professional position.

C.   Components at times require a college degree for a
professional vacancy when it is not essential to performance
of the task.

VI.   <u>Recommendations</u>.

A.   Position Management and Compensation Division and
the operating heads insure that job descriptions and standards
accurately reflect the educational criteria for professional
positions.

The above recommendation is ( ) approved ( ) disapproved.

B.   Each Deputy Director task the issuing officer for
a vacancy notice with the responsibility to verify the
subject component's vacancy notice requirement for a college
degree and to assure that the need for this requirement is
adequately conveyed in the notice.

The above recommendation is ( ) approved ( ) disapproved.

<u>Deputy Director of Central Intelligence</u>   <u>Date</u>

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TAB L

OCCUPATIONAL CAREER SYSTEMS

I. NAPA Recommendation.

"Establish some Agency-wide occupational systems across career services or subgroup lines where several components employ significant numbers in the same occupational family."* (NAPA, Conclusions, p. 97.)

II. NAPA Comment.

"The Team is persuaded that the present system-aligning careers to main Agency functions and decentralizing personnel management--is well designed to meet the Agency's needs in most respects. However, measures are needed to strengthen mobility across Directorate lines in several areas where it appears to us that the Agency's and employee's interest require it." (NAPA Conclusions, pp. 96-97.)

III. Discussion.

A. Problem Identification.

1. The NAPA Team's concern was that for certain occupational families the Agency's decentralized career career service system could "blunt" employee development

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*The NAPA Group wishes to emphasize that its reading of the NAPA Team's recommendations is that these involved literally occupational career systems, not occupational career services as interpreted by the majority of Directorates in their comments on this aspect of the NAPA Report.

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and prevent management from making full utilization of employee's skills. The Team singled out Clerical and Secretarial, Data Processing, and Intelligence Processing and Production as those occupational families employed in significant numbers by several career services or subgroups. (There are others not mentioned by NAPA which have been studied inconclusively in the past, e.g., Graphics Arts employees.) The Team concluded that "a board of representatives from D, I, R, and M Career Services could assure developmental and promotional opportunities for data processing personnel across Career Service lines. A similar board could be created or the DDA given responsibility for senior secretarial and clerical personnel." (NAPA, Conclusions, p. 97.)

2. The NAPA Project Group agrees that there may be certain employees whose occupations are commonly used by several Career Services who may be denied greater job selectivity and possiblities for advancement by being compelled to compete in but one service, their own, rather than in several services. At the same time jobs may not always be filled by the best talent available because employees are not available for assignment on an Agency-wide basis.

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B.   Inter-Directorate Boards.

1.   Theoretically, inter-directorate boards could open up advancement opportunities for, and produce wider utilization of, employees in these occupational families by allowing them to compete and be assigned Agency- wide. An effective inter-directorate board, however, would need high-level authority to rank competively (for assignment and promotion purposes) employees from several Career Services.

2.   The Agency's experience, to date, with implementing effective systems for the purpose of facilitating career development and job assignments across Career Service lines has not been successful. There are several reasons for this including:

a.   Career Service managers have preferred to retain assignment and promotion authority for all of their employees as a device to retain their stronger employees, and to oversee their occupational employment.

b.   The general belief that in the case of certain occupations, (e.g., Data Processing and Intelligence Processing and Production) employees need a close familiarity with their parent component, along with their occupational speciality to be effective.

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    c.   Senior management has resisted
giving inter-directorate boards or
groups the responsibility and authority
needed to follow through on their
recommendations.

    d.   Impersonal personnel management
inherent in an inter-directorate system
is considered by many to be less satisfying
to both line management and employees.

3.   The above notwithstanding, both management
and employee groups (notably various MAGs) have in the
past studied the idea of establishing systems to facilitate
cross-directorate mobility for various reasons including
those of concern to NAPA. The Personnel Approaches
Study Group (PASG), for example, was, in 1973, concerned
with the need to make better use of manpower within the
Agency. They made a number of recommendations touching
on the subject of mobility including vacancy notices,
and the identification of the Staff Personnel Division/OP
to serve as a central reference point for employee use.
PASG also was apparently the impetus for a paper on
mobility which was reviewed but not accepted by the
Management Committee in August 1973. This paper had

proposed, _inter_ _alia_, establishment of an "Agency
Reassignment Committee" to facilitate mobility across
directorate lines.

4.   The Careers Committee, established by OP
in 1975, exemplifies some of the problems that could
confront an inter-directorate board. The Project Group
recognizes that this committee was not a true inter-
directorate board because its membership was mostly
composed of OP careerists on assignment to the various
directorates rather than members of the various Career
Services. Nevertheless, the Project Group views the
Committee's inability to impact significantly on inter-
directorate mobility to be the direct result of the
Committee's lack of high-level endorsement and authority
along with the absence of inter-directorate representation.
The Committee eventually was abolished in 1978.

C.   Career Services.

1.   A different method for increasing advancement
opportunities and increasing Agency-wide utilization
for certain occupational families would call for the
establishment of new career services or subgroups along
occupational lines. There is, in fact, precedent for
the concept. Within the Directorate of Administration,

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offices are organized by career affiliation and occupational function. The Office of Personnel is an example. The Office has line responsibility for managing the Agency's personnel program. It also supports operating components by assigning OP careerists to components to assist line managers in administering component personnel programs. In those instances where OP careerists are rotated to an operating component career affiliation remains with OP but in day-to-day personnel administration matters they are under the direction of component management. The system has worked not only with personnel officers, but also with logistics, finance and general support officers.

2. Whether or not the concept of a Career Service subgroup is feasible for occupational families other than those involved in administration is open to question. Data Processing is certainly a logical candidate for an occupational career subgroup (perhaps through expansion of the existing ODP subgroup). This possibility has been studied several times by Agency management. Yet all such studies, including the most recent one completed in December 1978, were unable to

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satisfy the vested interests of various career
services whose chiefs argued against diminished manage-
ment control of the Data Processing personnel assigned
to their components.

3.   Further review of the concept of a Data
Processing sub-career group has in the NAPA Project
Group's mind now been overshadowed by senior manage-
ment's recent decision to launch a year-long Information
Handling Study. This latter study, which began on
7 May 1979, has stated in its action plan that ". . .
if warranted, the plan will be accompanied by recommenda-
ations for changes in management systems and organiza-
tional structure." (Emphasis added.) It is possible
that these recommendations could include bringing
together all information handling occupational groups
such as data processing along with records management
and others into a single career service. In any case,
the conclusions of this study will likely have impact
on the management of personnel involved in information
handling.

4.   In addition to Data Processing, the second
occupational family specifically identified by NAPA
as having significant representation in more than
one career service is Intelligence Processing and
Production. The requirements for an employee in this

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occupational family are not, in the Project Group's view, generally interchangeable between most career services; e.g., a reports officer in the D Service with an analyst in the I Service or an editor in the R Service with either of the foregoing. There may be, however, a need for a system to facilitate more rotational tours for employees in this occupation who would benefit and desire such tours, and this subject is addressed in a separate paper.

5.   Secretaries and Clericals comprise the third occupational family identified by NAPA as being widely dispersed throughout the Agency and thereby, by implication, having their careers "blunted" by inability to compete for all senior secretarial vacancies. The perceptions of secretaries and clericals themselves is certainly that there would be greater opportunities for advancement if competition for senior jobs was on an Agency-wide basis either through a special career service or mandatory vacancy notice system opening up all secretarial/clerical jobs GS-08 and above. This perception is borne out to a degree by the following chart which gives total numbers of secretarial positions (GS-08 and above) by grade and career service. By comparing these figures, it is

evident that the D Career Service has the largest
number of GS-08 and GS-09 secretarial positions
while the E Career Service has the largest number of
GS-10 and above positions. While some senior secretaries
are known to be occupying positions of lower rank than
their present grade, the chart, nevertheless, gives a
reasonably accurate picture of the spread of senior
secretarial jobs across the Agency. However, without
also knowing the frequency of turnovers in senior jobs
it is impossible to tell to what degree an individual
secretary's advancement opportunities would actually
increase with Agency-wide competition for senior jobs.
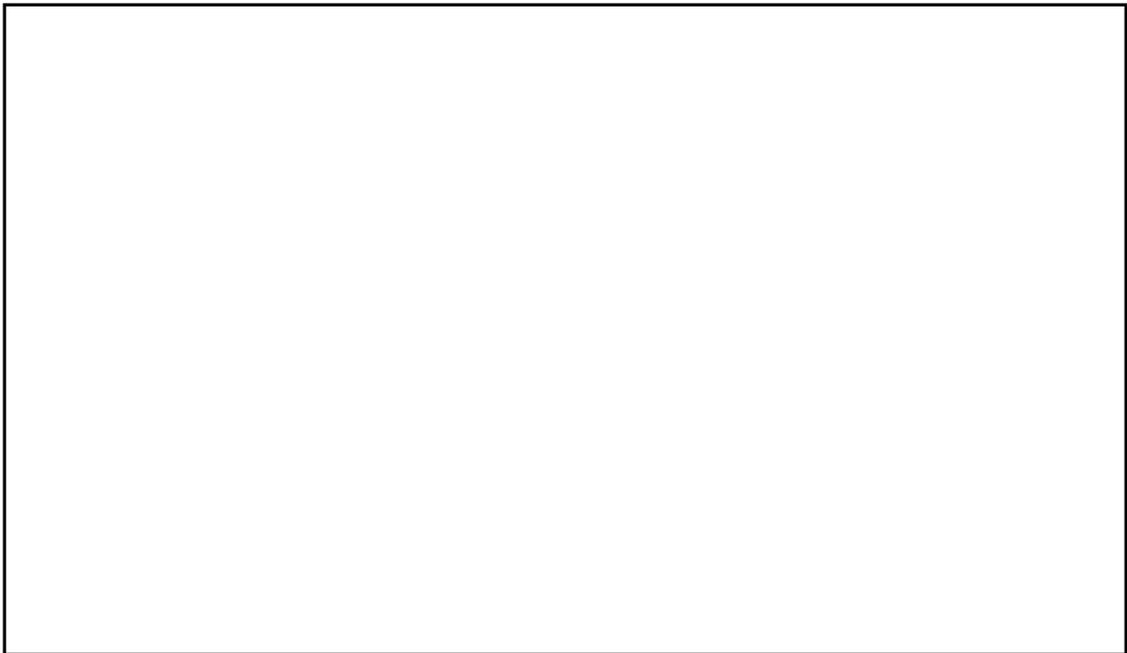
25X1

6.   The option implied by NAPA of establishing
a career subgroup for secretaries and clericals has
also been raised periodically by both management
and employees with no concrete solution. The concept
of centralized administration has so far not been
implemented for a variety of reasons tied to the
realities of the supervisor/secretary/component
relationship, plus the major problem of managing
under one umbrella a relatively large group of
employees spread throughout the Agency with no
assurance of positive gain to either management
and/or employees. The Project Group concluded
that if a career subgroup were to be established,
the most logical place to put administration
of the subgroup would be in the DA. In our view,
this would be unwise for two major reasons. First,
a larger staff at the DDA level to administer the
career needs (assignment, evaluation, counseling,
etc.) of this group would be required. Secondly,
the size of the DA overall would increase if
senior secretaries and clericals (GS-08 and above)
occupied positions under the control of that
Directorate and this larger staffing complement
could require continuing justification to OMB.

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IV. Conclusions.

A.   The Agency career service system has been
viewed by both management and employees as not providing
the fullest advancement opportunity for, and full Agency
utilization of, employees in certain occupational families,
especially data processing personnel and senior secretaries
and clericals.

B.   To be effective, an inter-directorate personnel
management system, such as a board, must have authority for
(one or both) assignment and promotion.

C.   Past proposals for inter-directorate systems to
facilitate cross-directorate career development have
floundered because they run counter to the Agency tenet
of decentralized personnel management.

D.   Establishment of new career services or subgroups
is not a feasible option at this time for:

       °Data processors because such a decision
        should consider findings of the Information
        Handling Study which will not be available
        for several months;

       °Senior secretaries and clericals because of
        the major administrative resource cost of
        grouping all together in the DA (the only
        logical directorate) with no assurance of

net gain for these employees. There are
also problems arising from breaking up
the normal affinity between secretary,
supervisor, and component; and,

° Intelligence processors and production
analysts because of the general dis-
similarity between functions in career
services.

V.   Recommendations.

A.   Withhold decision regarding personnel management
of Data Processing occupational family until completion in
mid-1980 of the Information Handling Study.

The above recommendation is ( ) approved ( ) disapproved.

B.   Do not establish an Agency-wide senior secretarial/
clerical subgroup or board, but continue the present system
of Senior Secretarial Panels in each Career Service.

The above recommendation is ( ) approved ( ) disapproved.

C.   Direct the Career Services and Subgroups to advertise
Agency wide all senior secretary/clerical vacancies GS-08 and
above, with the caveat that a career service may not declare

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a secretarial/clerical job (GS-08 or above) vacant when
it has an unassigned qualified employee of equivalent grade.
Applicants will be reviewed and ranked by the Senior
Secretary Panel of the Career Service with the vacancy.

The above recommendation is ( ) approved ( ) disapproved.

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Deputy Director of Central Intelligence   Date

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ROTATIONAL ASSIGNMENT POLICY

I.   NAPA Comments.

A.   "The attitude of top management toward the value
of rotational assignment is clear . . . (but) Directorate
publications do not stress rotation." (NAPA, Executive
Summary, p. IX.)

B.   "While breadth of experience is deemed important
by the DCI/DDCI, all career services have not reflected this
in their publications." (NAPA, The Present System, p. 80.)

C.   "There has been a great deal of activity in terms
of rotational assignments . . .". (NAPA, The Present System,
p. 83.)

II. Discussion.

A.   Problem Identification.

1.   The NAPA Team makes no specific recommendations
regarding rotational assignments, nor does its report
focus on this topic in any one place. There are comments
and recommendations for improvement on managerial
development, general career development, vacancy notices,
mobility, rewards for breadth of experience, etc., but

the NAPA Project Group is uncertain if the Team was attempting to focus on development of potential candidates for management positions, enhancement of overall skills of employees in general and thus greater chance for promotion, or increased flexibility for assignment of the work force.

2.   The Project Group has concluded that NAPA, in addressing rotational assignments in a variety of ways, was inferring that the Agency should clarify rotational assignment policy.

B.   Types and Purpose of Rotations.

1.   In addressing NAPA's concern, the Project Group has identified skill development and supervisory/ managerial development as the two primary purposes for rotational assignments.*

2.   Skill Development involves assignment to another component for an agreed period of time upon the conclusion of which the employee--who in most instances would be at the journeyman level--usually returns to the parent component. It may also involve rotation of

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*A third purpose for rotational tours is executive development. The Project Group has excluded this category because it is being considered by the Senior Intelligence Service Support Staff. We note that this Staff also will consider the feeder group to the SIS.

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several employees within a component or bilateral
exchanges between components. The purpose of such
assignments usually is to enhance development of
specialized skills, broaden employee perspectives of
other activities related to these skills, or utilization
of certain skills to meet immediate needs of the organi-
zation. The Project Group especially emphasizes skill
development because current personnel practices, as
noted in a June 1979 DCI MAG study, "appear to encourage
individuals to seek management careers rather than
strive for excellence within their career specialities.
This trend may eventually undermine one of the major
strengths of the Agency: the high degree of functional
expertise within our cadre of journeymen employees."
Skill development assignments can come about by planning
at the Office/Division level, Career Service Panel
action, negotiation between components, special requests
by a component, vacancy notices or individual initiative.

　　　3.　Supervisory/Managerial Development involves
the sequential assignment of officers with perceived
management potential initially to provide supervisory/
managerial experience (and testing) within the com-
ponent and subsequently elsewhere in the office, Directorate,
and in a few instances cross-Directorate to obtain

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breadth of experience and increasing managerial responsibility. Such assignments generally are developed by the component chief with inputs in some instances by the PDP mechanism and Career Service Panels.

C. Historical Perspective.

1. Top management over the past seven years has been encouraging greater use of rotational assignments to obtain more breadth of experience and as a result such movement within Directorates and across Directorate lines has been increasing. Implementation of the PDP, APP, wider use of vacancy notices for rotational tours, increased attention by component managers, MAG recommendations, and greater personal initiative by employees all have contributed to this increase. In the professional ranks for FY 1978, for example, over [   ] employees were on rotation to a position outside their Career Service. On intra-Directorate movement, there were over [   ] employees on rotation.

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2. The foregoing, however, does not shed light on how much rotation is necessary or desirable, but it does reflect that such movement is taking place within the Agency. The volume of rotational assignments may

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be adequate, but it has been argued that too much
of it may occur on an ad hoc basis for a variety of
administrative and personal reasons other than de-
velopmental. As has been noted in earlier personnel
studies, there is developmental dividend in such move-
ment in that employees are gaining wider experience,
but perhaps until recently, it has tended in some
instances to be a by-product of the process rather than
the result of long-range planning.

3. If there has been insufficient planning or
action to bring about programmed assignments and in-
creased breadth of employee experience, this can be
partially attributable to the policy guidance pro-
vided in Headquarters Regulations and the Directorates'
Personnel Handbooks. [   ] for example,   25X1
merely says Heads of Career Services will "Establish
policy to facilitate inter-Career Service transfers and
rotational tours." The Personnel Objectives portion of
this Regulation makes no statement regarding rotational
assignment or its encouragement as a goal to meet
employee and/or organizational needs. [   ]   25X1
[   ] notes that promotion is based on an as-
sessment that the employee is qualified to undertake

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higher level responsibility. Under elements to be considered in making this assessment, however, no specific mention is made of rotational tours or breadth of experience as value factors.

4. The Directorates' Personnel Handbooks, except for the DCI Area, all provide policy statements that recognize the value of rotational assignments and transfers. They are essentially passive, non-goal oriented statements, however, that do not identify rotations and breadth of experience--especially cross-Directorate--as valuable objectives for both employees and managment.

5. Although policy guidlines do not stress the importance of rotational assignments, there is--as recognized by NAPA--a significant degree of rotational assignments in the Agency today. A controlling factor on the number of such assignments, however, is the need for each component to maintain its continuity of substantive expertise. The demonstrated professional competence of each component depends in large measure on the depth of experience and specialized knowledge it has in each substantive area. Excessive turnover would tend to weaken this asset.

III. Conclusions.

 A. There is no clear Agency policy statement defining the purpose and goals of rotational assignments and the value of breadth of experience to the Agency and its employees.

 B. Directorates' policy statements in their Personnel Handbooks encourage but do not stress rotations. They also do not provide specific policy statements on Agency or Directorate objectives for rotational assignments or the value of breadth of experience.

 C. The primary purposes of rotational assignments are development of functional skills and supervisors/ managers. A related purpose is to reduce barriers between Career Services and foster teamwork.

 D. Rotational tours have been increasing in recent years, but maintenance of an office's continuity of sub-stantive expertise and the availability of genuinely mean-ingful tours are controlling factors on the number of rotational assignments.

IV. Recommendations.

 A. Have the Director of Personnel rewrite Head-quarters [   ] to provide a basic policy statement that stresses the importance of rotational assignments in meeting an Agency objective of obtaining maximum development

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of employee substantive and managerial skills and breadth of related experience.

The above recommendation is ( ) approved ( ) disapproved.

B.   Have the Deputy Directors revise Career Service Handbooks to stress the Agency objective of Recommendation A and include a policy statement on the value of rotational assignments as they relate to the Directorate, the Agency, and the individual. Also to be included, however, is a statement that the necessity for continuity of substantive expertise is a controlling factor on rotational assignments.

The above recommendation is ( ) approved ( ) disapproved.

_____   _____
Deputy Director of Central Intelligence   Date

COMPETITIVE EVALUATION PANELS

I. <u>NAPA Recommendation</u>.

" . . . <u>simplify the present system of evaluating employees</u> <u>who are trainees</u> below the journeyman level through greater dependence upon supervisory evaluations and minimum dependence upon panel rankings." (NAPA, Conclusions, p. 102.)

" . . . <u>it is recommended that the costs of administering the</u> <u>personnel system be examined</u>; specifically . . . the man years devoted to panels . . ." (NAPA, Conclusions, p. 118.)

II. <u>NAPA Comments</u>.

A. "Three hundred and ten (310) boards and panels are in operation in the Agency today." (NAPA, The Present System, p. 40.)

B. "An important consideration which is not treated in any of the regulations on the subject is the difference between promotion of a trainee up to the 'journeyman' level and promotion to positions above the 'journey-man' level." (NAPA, The Present System, p. 43.)

C. The staff costs of administering personnel managment in the CIA are high compared to other Federal agencies. The costs arise, in part, from . . . and the number of man years devoted to panel operations. (NAPA, Executive Summary, pp. III and IV.)

D. "The recent directive requiring supervisory compliance with panel recommendations for promotion has caused concern among many line managers." (NAPA, Executive Summary, pp. V and VI.)

III. <u>Project Group Findings</u>.

A. Under the "journeyman" concept, a specific grade is designated

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as representing the full performance level expected of the non-supervisory employees, be they professionals, technicals or clericals.* Associated with the concept is the establishment of job standards, and the acceptance that the decision to promote is to be based on the <u>performance</u> of the individual <u>against</u> those <u>standards,</u> not on competitive evaluation of performance and potential factors; the responsibility for that judgment of performance against standards will rest with the line managers. Adoption of this concept:

      1. permits the return to line management of the authority and responsibility for promotion to journeyman, thus recognizing a basic personnel management principle noted by NAPA - "line officers must be held accountable for the management and performance of their people;"

      2. reduces promotion panel costs significantly, by eliminating those grades which cover a majority of the Agency population; and,

      3. enhances the policy of competitive promotion by applying it at the supervisory and senior non-supervisory levels--the situation which demands competition due to the large number of candidates for a limited number of positions.

    B. Competitive evaluation panels should continue for those who have reached the journeyman level (since the first line supervisors will come from this group) and for supervisory and non-supervisory senior personnel; panels for those below the journeyman level should be discontinued.

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*This varies according to components. For example in the Office of Communications the professional journeyman level is at Grade 9; in most NFAC offices it is at the GS-13 level.

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IV. Conclusions.

A. The competitive evaluation program (and panels) should be limited to recommending promotions to supervisory and senior non-supervisory positions; such recommendations should be based on competitive evaluations of per-formance and potential measurements.

B. Promotions to other positions (up to and including the journey-man level) should be based on performance against job standards as evaluated by the line managers. Components must also "live with" their Career Service Grade Authorization (CSGA).

V. Recommendations.

A. Approve the concept of a journeyman level grade and establish job standards related to it.

The above recommendation is ( ) approved   ( ) disapproved.

B. Provide line managers the authority to promote individuals to the level of journeyman, based on performance against job standards. The level of this approval and the type of review authority (particularly the impact upon the Career Service Grade Authorization) for these promotions are to be established in each Directorate.

The above recommendation is ( ) approved   ( ) disapproved.

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C. Eliminate competitive evaluation/promotion panels for those grades below journeyman level.*

The above recommendation is ( ) approved ( ) disapproved.

D. Reaffirm competitive evaluation as a policy for supervisory and senior non-supervisory positions; retain competitive evaluation/promotion panels to recommend promotions at these levels based on assessment of performance and potential.

The above recommendation is ( ) approved ( ) disapproved.

Deputy Director of Central Intelligence   Date

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*The Project Group estimates that this recommendation would reduce the total number of panels by 45 or about 15% of the current total. In addition, there are at least 30 other panels that consider employees in grades 7 through 14; these panels would sit less frequently thereby reducing substantially the number of manhours devoted to panel operations.

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DECISION-MAKING ROLE OF PANELS

I. <u>NAPA Recommendations</u>.

" ° Limit the decision-making role of panels.

° The level of approval for exceptions to promotion panel recommendations be at the Directorate or independent office level through GS-15 and at the DDCI level for SPS or GS-16 and above.

° For every exception made, the official responsible for recommending the exception should record the reasons for the exception with the Office of Personnel to enable an evaluation of all exceptions by organization, grade, etc. An annual report on those data should be made to the DCI/DDCI." (NAPA, Conclusions, p. 102.)

II. <u>NAPA Comments</u>.

A. "The personnel system should be based upon a common policy frame-work, flexible enough to permit decentralized personnel management and to meet the diverse needs of the components." (NAPA, Conclusions, p. 86.)

B. "Ease the current restrictions on supervisory modification of promotion panel judgments. Monitor the incidence of such actions." (NAPA, Executive Summary, p. XIV.)

C. "On 18 May 1978, the DDCI issued an instruction which stated that selected officials must 'follow rankings and recommendations for promotion made by an evaluation panel; exceptions can only be made by the Director.' This action has caused concern among many line managers." (NAPA, The Present System, p. 45.)

D. "There should be maximum line management involvement in personnel management." (NAPA, Conclusions, p. 86.)

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III. <u>Discussion</u>.

A. Prior to 1978, Career Service and Subgroup panels were required to perform annually a comparative evaluation of all professional employees. This evaluation was to be advisory in nature. Although not required, it was the practice in many Subgroups and in the DO as a whole to extend panel responsibility to promotion review and recommendations, and some panels also evaluated clerical and secretarial employees. In 1978, a policy decision was reached to require all Career Services to use the panel system to determine promotion rankings at each grade level. In addition, panel promotion recommendations could only be changed by the DCI, thus changing the panel role from advisory to decision-making. Also Career Services were required to determine and meet annual promotion goals at each grade level. In the same time frame the panel evaluation system in all Career Services was expanded to include secretarial/clerical employees.

B. The NAPA Team found fault with the extent of decision-making responsibility given to panels, and the Project Group agrees with the NAPA recommendation to limit this role. The Team's reasons are very germane. They are quoted below:

1. "This action (i.e., decision-making authority) makes the panel the selection official; not the line manager. This action weakens the role of the line manager."

2. "The panel is not responsible for the employee's performance. The manager is. There is no way to hold a panel accountable for its actions."

3. "Some panels do a good job; others do not."

4. "Panels may not have information or the perspective on employees that a manager has. It is, at time, difficult to relate that information

which may be of a personal or confidential nature, and perspective to the panel."

   5. "Managers might choose to accept the panel's recommendations even when they have grave reservations rather than take the case to the Director and ask for an exception." (NAPA, The Present System, p. 45.)

  C. The concept of using panels to determine promotions is defensible as the panel system provides, particularly at the supervisory and above level, for broader comparative evaluations and helps to reduce employee perceived bias. The Project Group feels, however, that it cannot defend the panel system in other than an advisory role. The manager is ultimately responsible for all the resources that contribute to meeting the goal of the organization. This officer should, therefore, have the authority to make final decisions regarding these resources. Promotion is one of the decisions that should be reserved to a manager.

  D. While accepting that managers should have the final decision-making authority, the Project Group does feel that when managers do not accept the advice of panels, they should make the reasons for their non-acceptance of matter of record.* By requiring non-acceptance to be a matter of record, panel members will know the reasons why their recommendation was not accepted, the possibility of rumor will be put to bed, and whimsical choice will be avoided.

IV. Conclusions.

  A. The role of Career Service and Subgroup panels should be advisory.

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*The SIS Support Staff is reviewing the SIS promotion recommendation process.

B. Exceptions to panel recommendations should be a matter of record.

V. Recommendations.

A. Establish the role of panels as advisory to the Heads of Career
Service and Subgroups.

The above recommendation is ( ) approved ( ) disapproved.

B. Require exceptions to panel promotion recommendations through
GS-15 be fully documented as to the reasons, approved at the Directorate
or Independent Office level, reported to the panel concerned, and sub--
mitted to the Director of Personnel. The Director of Personnel is to
annually submit an analysis of these exceptions to the DCI/DDCI.

The above recommendation is ( ) approved ( ) disapproved.

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Deputy Director of Central Intelligence   Date

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EVALUATION PANEL FUNCTIONS

I. <u>NAPA Recommendations</u>.

    A. "Clearly differentiate between evaluation for performance and potential and indicate how each of these evaluation will be used." (NAPA, Conclusions, p. 100.)

    B. "Reduce the detail in ranking by categories to only that necessary for decision-making." (NAPA, Conclusions, p. 102.)

II. <u>NAPA Comments</u>.

    A. "The personnel system should be based upon a common policy framework, flexible enough to permit decentralized personnel management and to meet the diverse needs of the components." (NAPA, Conclusions, p. 86.)

    B. "There is confusion between 'performance' and 'potential' in the use of the CIA descriptors - High Potential, May Develop High Potential, Valuable Contribution,' etc." (NAPA, Executive Summary, p. V.)

    C. "Some comparative evaluations of employees are excessively definitive in that they purport to rank every employee in specific relationship to every other employee. (That is, every individual in a group of 100 is assigned a position between 1 and 100)." (NAPA Executive Summary, pp. V & VI.)

III. <u>Discussion</u>.

    A. Normally within the Agency, <u>performance</u> is defined as the <u>attainment level reached</u> in discharging assigned responsibilities while <u>potential</u> is defined as the assessment of the individual's <u>readiness to assume</u> higher levels of responsibility. In assessing potential, the evaluation of performance is a factor in the deliberations. Thus, performance and potential are interrelated.

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B. In reviewing functions performed by Agency evaluation panels, it was found that panels review all employees for value to the service and for promotion eligibility. Some panels have expanded this review to include a review for training, rotational assignments, and special recognition rewards (i.e., QSI's, monetary awards, etc.). These additional reviews are, however, outgrowths of the two regulatory requirements [ ] 25X1

25X1 [ ] to perform comparative evaluations and to evaluate to determine promotion rankings by grade.

C. To assist in the comparative evaluation of employees, a Task Force composed of representatives from each of the Career Services was formed in 1975 to develop a series of descriptors (Attachment). These are categories (highest potential, may develop high potential, valuable contribution, limited potential and substandard) into which employees are grouped for identification by the evaluation process. From the beginning, however, there was difficulty with the substantive content of the descriptors (e.g., they confuse potential and performance), the significant degree of overlapping between the categories and the connotations in the category headings which have been upsetting to some employees and panel members. In addition, the descriptors have been inconsistently applied among career services.

D. What is the need for the descriptors? Do they aid in evaluating performance? Do they aid in assessing potential? Panels are concerned with two functions: one, recommending within established goals, which employees should be promoted; and two, identifying those employees with high potential for career growth into positions of increasingly greater responsibility. The new Performance Appraisal Report System (PAR) provides

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the basic performance evaluation documentation. In evaluating for potential, panels have available for comparative review, each employee's personal history (including experience and education), work performance record and the supervisor's assessment of potential. The present descriptors do not appear to aid in completing either of these functions.

C. Additionally, if panels are to evaluate for promotion eligibility (and, accordingly, make recommendations on who should be promoted) and assess employees to identify those with highest potential, it does not seem necessary to rank numerically every employee in specific relationship to every other employee as is done in some career services. Promotion goals are provided panels. The panel would be recommending those within the career grouping who, in the panel's judgment, are most deserving of promotion. The panel would also only be identifying one group of employees, those with highest potential. The remainder would be those without highest potential; further subcategorization appears superfluous. The PAR and the supervisor's assessment are available to identify substandard performers.

D. A NAPA Project Group paper recommends providing line managers the authority to promote individuals to the level of journeyman based on performance evaluation. If approved, this recommendation will modify the present need for panels below the journeyman level as promotion to the journeyman level will be based upon the employee meeting established job standards. In addition, another NAPA Project Group paper recommends that panels be advisory to line managers.

IV. Conclusions.

A. Evaluation of performance contributes to assessing potential.

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Performance can be more definitively measured as it is the attainment level reached in discharging assigned responsibilities. Potential is, however, a judgmental assessment of the individual's readiness to assume higher levels of responsibility.

B. Panels have two functions. One is recommending, within established goals, which employees within a career grouping should be promoted. The second is to identify those employees with high potential for career growth into positions of increasingly greater responsibility.

C. Descriptors presently in use do not aid in completing either of a panels basic functions.

D. Ranking every employee in specific relationship to every other employee also does not aid a panel in performing its basic tasks.

V. Recommendations.

A. Instruct the Heads of Career Services to revise Career Service Handbooks and guidance to Career Service and Subgroup panels to distinguish, if not already done, between evaluation for performance--that is the attainment level reached in discharging assigned responsibilities--and for potential--assessing the individual's readiness to assume higher levels of responsibility--while recognizing that performance must be evaluated while assessing potential.

The above recommendation is ( ) approved ( ) disapproved.

B. Approve the two basic functions of all Career Service and Subgroup panels as:

-evaluating employees to recommend, within established goals,

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which employees within a career grouping should be promoted; and,

-identifying those employees with high potential for career growth into positions of increasingly greater responsibility.

The above recommendation is ( ) approved ( ) disapproved.

C. No longer require Career Service and Subgroup panels to use descriptors.

The above recommendation is ( ) approved ( ) disapproved.

D. Have Heads of Career Services and Subgroups whose panels numerically rank all employees in specific relationship to all other employees review the need to perform this function.

The above recommendation is ( ) approved ( ) disapproved.

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Descriptors for Comparative Evaluation Groupings

Comparative evaluation rankings will be based specifically on performance, potential, and value to the functioning of the particular Career Service or Career Sub-Group involved. The comparative evaluation of employees will be considered in determining appropriate work assignments and career actions such as promotion, training, rotational assignments, counseling, and, if required, adverse actions such as downgrading or separation.

Evaluation systems serve multiple purposes which cannot be accomplished by competitive ranking alone but in which such rankings play an important role. Thus, the determination of employees to be promoted stems from consideration of comparative ranking, performance, the response made to letters of instruction, and the demonstration of capabilities to handle responsibilities to be undertaken.

The Agency has affirmed its adherence to a merit system for personnel actions; therefore, the underlying principle for comparative evaluation must be the relative merit or value of an employee on the basis of performance and manifestation of potential.

HIGHEST POTENTIAL (HP)

Employees whose experience, qualifications and excellent performance in assignments and training indicate that they have the highest potential for advancement. Career actions should utilize and further develop this potential.

MAY DEVELOP HIGH POTENTIAL (MD)

Employees whose qualifications and performance clearly are above average and who give indication that they later may demonstrate high potential for greater responsibility. Career actions (assignment, training, experience on the job) should enhance their skills and develop this potential.

VALUABLE CONTRIBUTION (VC)

Employees whose performance is good and who generally are realizing their potential. This category will include some employees who may be capable of performing at a higher level of responsibility and some who may not. Among those who may not are employees who are making a vital contribution to the functioning of their office (above average or satisfactory performance) and would continue to do so either in their present or a rotational assignment. Career management for employees in this grouping should provide sufficient opportunities for work satisfaction, improvement of skills, and personal growth at current levels of responsibility so that those who may have future potential have an opportunity to demonstrate it.

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LIMITED POTENTIAL (LP)

Employees whose overall performance is adequate but who have some characteristic affecting knowledge or performance such that their potential is judged to be limited. Their career planning and counseling should consider whether there are measures which reasonably can be taken to assist them in overcoming such deficiencies, whether their talents can be utilized better in some other function or office, or whether they should be encouraged to seek career opportunities elsewhere.

SUBSTANDARD (SS)

Employees whose performance and potential are substandard in comparison with others of the same grade and occupational category. Requisite administrative actions may include, dependent on the procedures of the Career Service, notification, counseling, training and/or reassignment. Employees in this grouping are subject to down/grading or separation under the procedures specified by Agency regulations and the Career Service. In a surplus situation, employees so evaluated would have low priority for retention.

UNIFORM PRECEPTS FOR PANELS

I. NAPA Recommendation.

   " Provide uniform precepts for promotion panels." (NAPA, Conclusions, p. 101.)

II. NAPA Comments.

   A. "The personnel system should be based upon a common policy frame-work, flexible enough to permit decentralized personnel management and to meet the diverse needs of the components." (NAPA, Conclusions, p. 86.)

   B. "There are a variety of differences in panel composition and methods of operation." (NAPA, The Present System. p. 43.)

   C. "Adopt a number of specific suggestions for improving and standardizing the functions of promotion panels." (NAPA, Executive Summary, p. XIV.)

III. Discussion.

   A. As all components within the Agency are not homogeneous in their structure or functional roles, it follows that Career Service and Subgroup panels which normally follow component organizational lines are also not homogeneous in structure. As an example, panel coverage normally depends on the size of the component and the distribution and mix of personnel within that component. Also, some panels are responsible for personnel by grade, some are organized by functional specialities, and some have com-bination coverages. And, membership in the panels varies either by incum-bents of designated positions or by individual appointment of employees selected for their particular contributions. In addition, panels within

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the DO, the Senior Secretarial/Clerical Panels and the Career Service Boards function on a Career Service basis while in the rest of the Agency, panels function on a Subgroup basis.

B. As the structure of panels is not homogeneous Agency wide, it is difficult to have uniform Agency wide guidance governing the structure and operating methods of panels. However, NAPA properly identified a need for some common guidance, various MAG's have addressed this subject. and senior management has identified it as an item of concern. The Project Group confirmed NAPA's observation that panels within Career Services and Subgroups vary in operation and procedure. Examples are the variation in the number of members, types of material given for use, duration of membership, identification and definition of rating factors, etc. Granted, there may be appropriate reasons for this variety; it appears, however, that some guidance can be developed for uniform application within a particular Career Service.

C. The most complete treatise on uniform guidelines for panels was prepared by the DCI MAG. The NAPA Team generally supports the conclusions and recommendations of this paper and summarized the major elements of it in their report (attached).

IV. Conclusions.

A. Although Career Service and Subgroup panels are not--for just reason--homogeneous, there are a number of precepts that can be developed for uniform application to those panels which consider employees in like work either at the Career Service or Subgroup level.

B. The attached provides some valid elements for Head of Career

Services and Subgroups to use in developing uniform guidance to and

precepts for their panels.

V. Recommendation.

    Have the Heads of Career Services develop, using the attachment

as a guide for their Career Service, uniform guidance to and precepts

for panel operations. This guidance is to be published in Career Service

Handbooks.

The above recommendation is ( ) approved ( ) disapproved.

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Extract from "The CIA Personnel Management System", prepared by
The National Academy of Public Administration, March 15, 1979.

(a) Firsthand knowledge of those being evaluated must be adequately represented in a panel.

(b) For accountability sake, line management representation on the panel must be achieved.

(c) Types of data acceptable for panel consideration must be identified and "benchmarked."

(d) Cut-off dates for exclusion of data must be defined.

(e) Duration of membership on a panel must be specified.

(f) Size of panel required for optimum reliability must be specified.

(g) Factors included in the ratings must be identified and defined in unambiguous terms.

(h) Weights to be assigned the factors must be identified by line management responsible for the position according to position requirements.

(i) Specific steps to be followed in panel operations must be defined.

(j) Limits must be specified for the amount of "work" assigned to a panel.

(k) A staff component with Agency-wide scope should monitor the system, e.g., the EAG with support from the Office of Personnel.

(l) A tutorial program in the fundamentals of panel purposes and procedures should be instituted.

LABELING POSITIONS AS PROFESSIONAL AND CLERICAL

I.   NAPA Comment.

"There is a stigma attached to such labeling" (Ed., professional, clerical, or technical) "and agencies such as Labor and Census are avoiding this categorization in all their data gathering and reporting activities. The EEO Advisory Group believes the Agency should follow a similar course of action." (NAPA, the Present System pp. 75-76.)

II.   Discussion.

A.   The NAPA Report holds the view that a stigma is attached to the designation or "labeling" of each position in the Agency as professional, clerical or technical, the implication being that clerical and technical tasks are viewed as "non-professional." Preliminary to addressing this matter, however, one item of accuracy must be noted about the NAPA Report. Neither the Labor Department nor Census Bureau has abandoned the use of labeling and both continue the use of standard Civil Service job breakdown for statistical reporting purposes. Rather, in communication other than statistical reporting, a concerted effort is made to substitute the word "support" for clerical wherever this substitution will not confuse the issue at hand.

B.   This notation aside, the division of jobs into basic position categories such as professional, technical and clerical has a variety of applications, as spelled out in a memorandum on this subject prepared by D/OEEO at the direction of the DDCI. These are:

° Labels facilitate CIA communication with and reporting to other government agencies and OMB about personnel related matters and are useful for compensatory monitoring under the Fair Labor Standards Act.

° Labels serve as an aid to Agency recruiters in terms of clarifying Agency jobs and desired qualifications to potential applicants who are generally familiar with the Civil Service job classification system.

° Labels facilitate the development, implementation, monitoring and evaluation of the Annual Personnel Plan, Personnel Development Plan, Equal Employment Opportunity Plan and other personnel related tools employed by management.

° Labels are used as a means of defining the goal of Upward Mobility, i.e., movement from dead-ended clerical or technical positions to open opportunity professional positions. The "non-professional" labels identify those eligible to participate in Upward Mobility programs.

III. Conclusions.

A.   Division of jobs into basic position categories is necessary for statistical and other reporting purposes.

B.   Basic job titles could be changed in order to eliminate the word "clerical" but this would be purely cosmetic as long as we retain the "professional" designator.

C.   No substitute for "professional" is apparent that would not overly complicate and confuse present applications of the three categories.

D.   The terms professional, technical and clerical have specific meanings as defined in the Agency Handbook of Position Title and Occupational Codes that relate to the complexity of the job, not to the professional manner in which employees perform.

E.   The problem as presented by the NAPA Report is an attitudinal one and action should be taken to promote a better understanding of the use of labels for employees.

IV. Recommendations.

A.   Maintain the basic position categories of clerical, technical and professional.

The above recommendation is ( ) approved ( ) disapproved.

B.   Charge the Director of Training to include a segment in appropriate OTR courses (such as orientation and

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management courses) that addresses the three basic job
categories into which all employees are placed, why this is
done, and what it means. The presentation should stress no
implication of lesser status for "non-professional," and
that clericals do perform in a professional manner, etc.
The message to be stressed is that Agency managers should
not recognize category distinctions in the treatment of
their employees and where possible should discourage the use
of such category labels in referring to individuals.

The above recommendation is ( ) approved ( ) disapproved.

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Deputy Director of Central Intelligence   Date

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FLOW-THROUGH POLICY

I.   NAPA Recommendation.

"Clarify the intent and implications of a "flow-through"
policy by:

      °identifying the group or groups to be covered;

      °determining through modeling, the impact of
various concepts of 'flow-through' on the groups
involved; . . .". (NAPA, Conclusions, pp. 99-100.)

II. NAPA Comments.

A.   "Other than for the obvious purpose of dismissing
individual employees who do not meet performance or suitability
standards, the separation authority has served as a tool to
reduce levels of employment in the Agency or components there
of and to maintain a young and vigorous work force. The latter
objective has been referred to as 'flow-through' . . ." (emphasis
added) (NAPA, The Present System, p. 48.)

B.   "Flow-through is not a workable concept for many Agency
managers. These managers argue that a 'young and vigorous' work
force is not a necessity in many parts of the Agency and that,
even in those components where it is highly desirable, there are
circumstances which require exceptions." (NAPA Executive Summary,
p. VI.)

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III. Discussion.

A. What would be the intent of an Agency flow-through policy? Generally, when flow-through* is mentioned, the implied intent is to maintain a "young and vigorous" work force. Not only does this implied intent have litigious overtones, but as observed in the NAPA Report, it has little acceptance among the managers of the Agency. Its most serious fault, however, is that it defies the definition necessary to practical use. What is the age distribution, by grade level, by job category which would constitute a "young and vigorous" work force? Today? Tomorrow?

B. Would the intent be to rid the Agency of marginal or substandard performers? The establishment of a flow-through policy to achieve this objective appears redundant, since there is a system already in existence under the Performance Appraisal Report program.

C. Would the intent be to provide more promotional opportunities than normally occur as a result of "headroom" and attrition (deaths, resignation, and retirements)? A flow-through policy could well serve this intent, and dependent upon the design of its program, provide promotional opportunities in specific numbers, grade levels, and job categories.

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*In conversations and documents, the Project Group has found confusion with regard to the terms and concepts of flow-through. A common perception is that a flow-through policy means that the organization is committed to firing a number of employees each year. Flow-through is most often used in the context of the absence/presence of promotional headroom.

D. There are, however, options to the flow-through policy which can be applied--discontinued service, mandatory retirement at 50 years of age for CIARDS participants, recruitment controls, promotion targets, and when necessary, reductions-in-force.

IV. <u>Conclusion</u>.

Judged in the context of a broader objective, namely to recruit and maintain a productive work force, the Project Group concludes that the Agency does not need and therefore should not institute a flow-through policy. It further concludes that, <u>if line management performs the analysis of its work force, of the present and for the future, necessary for the</u> intelligent and timely exercise of the options noted, the career development and promotional opportunities needed for a productive work force can be made available.

IV. <u>Recommendations</u>.

A. The DDCI issue a policy statement which expresses the Agency's objective in regard to staffing, to include the following thoughts:

   1. The Agency's objective with regard to staffing is to maintain a productive work force while ensuring career development opportunities at all grade levels; this objective does not include a "flow-through" policy.

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2.   In support of maintaining a productive work force while ensuring career development, each Career Service Head is responsible for establishing the hiring, staffing and promotion patterns that will ensure a work force of the proper background, experience, and grade necessary to execute the responsibilities of that career service.

The above recommendation is (   ) approved (   ) disapproved.

B.   Have each Directorate establish the data requirements necessary for determining the nature of its present work force, (e.g., grade distribution, age-by-grade, time-in-grade, time-with-Agency, etc.).

The above recommendation is (   ) approved (   ) disapproved.

C.   Have Career Service Heads analyze their personnel structure by age and grade in a five-year context and develop a program for hiring, promotion, rotation, and reduction of personnel if necessary to achieve a balanced work force with developmental opportunities for each grade. The DDCI is to approve program goals annually and monitor achievements. The APP is to provide the vehicle for reporting the goals.

The above recommendation is (   ) approved (   ) disapproved.

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D.   Have the Director of Personnel develop data reduction and analysis techniques for use by the Directorates, as required to support their analyses.

The above recommendation is ( ) approved ( ) disapproved.

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PERSONNEL REDUCTIONS

I. __NAPA Recommendation__.

"A system be established for dealing with personnel reductions . . ."
(NAPA, Conclusions, pp. 99-100.)

II. __NAPA Comments__.

"The 1977 personnel reductions illustrated at least three problems
with the present system. The first is that the reduction was undertaken
without a clear picture of what the organization looked like before the
reduction and what it should look like after the reduction. The second
is that there is no system for separating people due to reductions in
personnel ceilings and the DDO had to develop an ad hoc system on the
spot to effect the reduction. The third is that the Office of Personnel
was not involved initially, but did yeoman work to place people through-
out the Agency. It did so primarily on the basis of its persuasive
ability rather than on the basis of policy and procedures." (NAPA, The
Present System, p. 50)

III. __Discussion__.

A. Under present Agency regulations [   ] an employee can
be found "excess to Agency needs", and separated, if:

    ° The component is overstrength overall or in a grade or
functional elements;

    ° There is no longer a requirement for the particular skills
or qualifications possessed by the employee; or

    ° There is a reduction or elimination of the functions of
the component, thereby requiring a reduction in staff.

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B. There is no Agency regulation, however, that describes the criteria or the process by which the reduction will be accomplished. Though the Career Services address the subject in their respective Handbooks, the statements speak to generalities, and the words suggest different criteria; two examples:

° "Office Head or Staff Head will review experience record, qualifications, and relative rankings of each employee in the lowest categories of the competitive rankings." (Underscoring supplied)

° " . . . personnel reductions will be made to the extent possible from among persons competitively ranked in the lowest three percent in performance (underscoring supplied) and with due consideration to the functions being reduced."

C. The absence of an Agency policy with regard to criteria and its application, coupled with the lack of consistency in the statements in the Career Service Handbooks, creates uncertainty and criticism beyond that normally associated with a reduction exercise. The NAPA Team reached this judgment and the Project Group agrees with it.

D. In the Project Group's opinion there should be basic ground rules for reduction exercises. On the other hand, in order to preserve for management some latitude for adjusting to the conditions of time, management should not attempt to identify in advance the specific criteria to be used for reductions and the relative weight to be applied to each.

IV. Recommendations.

A. Issue a statement with regard to the Agency's personnel reductions policy, to include the following:

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In the event of a reduction in the Agency's personnel ceiling, major shifts in programs or responsibilities which result in excess personnel, or imbalance in skills or grade levels, the Heads of the Career Services and the Director of Personnel, are jointly responsible for developing a program for separating excess personnel. The program will utilize certain basic criteria, and will be approved by the DCI. These criteria, in unranked order are:

1. Performance

2. Unique and necessary skills

3. Value to service

The specific weights of the individual elements, or the addition of other elements, will be recommended by the Heads of Career Services, and the Director of Personnel, and approved by the DCI. In the instance of a personnel reduction all employees will be provided, in a published notice, an explanation of the situation, the specific criteria to be used and their relative weights, the decision mechanism (i.e., Career Service Board, special selection panels), the details of appeal, and information on placement opportunities, both internal and external.

The above recommendation is ( ) approved ( ) disapproved.

B. Have Career Service Handbooks revised to reflect the above statement.

The above recommendation is ( ) approved ( ) disapproved.

| Deputy Director of Central Intelligence | Date |

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LOW THREE PERCENT OUT CONCEPT

I. NAPA Statement.

"The 'low three percent out' concept has not resulted directly in eliminating the least desirable personnel and is inadequate for use as a reduction-in-force mechanism." (NAPA, Executive Summary, p. VI.)

II. NAPA Comments.

A. "The three percent concept derives from the military services and is based upon assumption that on a service-wide comparison, the bottom three percent should be dispensed with if their relative rank does not improve over a two-year period. One of the difficulties with the 'three percent' concept is that it simply has not been used in CIA . . . Partial support of the fact that the three percent concept is not in use is the fact that records of the 1977 cut appear to indicate that some people were separated who should have been separated during or after initial training." (NAPA, The Present System, pp. 49-50.)

B. "The Agency should not depend upon the low 3 percent or 5 percent system to solve problems related to reductions in personnel ceilings." (NAPA, Conclusions, p. 103.)

III. Discussion.

A. The annual identification of the low three percent, when viewed as the mechanism for the selection of employees to be released in the event of a reduction in personnel ceiling, was judged inadequate by the NAPA Team. The Project Group shares that opinion because it believes that the selection of individuals for reduction should be based upon the conditions causing

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the reduction and what the organization (the Agency in total, or the smallest unit affected) decides it should be after the reduction. The comparative evaluation of individuals alone does not meet this goal. Moreover, a low ranking does not necessarily coincide with poor performance. Recognition of this latter point has led many Career Service panels to develop low three lists from those ranked in the low percent who also are placed in Limited Potential or Substandard Comparative Evaluation Groupings. The Project Group believes that identification of problem cases (i.e., poor performers) and the pursuit of solutions is the supervisor's responsibility and there are existing Agency mechanisms to handle these situations.

B. Further to above, the Project Group found ambiguities and lack of uniformity both in interpretation of the low three percent concept and in procedures for its implementation. The intent of [   ] is to focus attention on relatively poor performers (specifically those ranked in the bottom three percent) for counseling purposes first, and then if the performance is not improved after two years on consideration for "administrative action" (i.e., downgrading or separation).

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C. The five Career Services have various means of developing a low ranking as is evident from their handbooks. Generally, the Career Services place emphasis in the first instance on counseling the substandard and if that fails, then on separation. Two Career Services (the DO and NFAC) identify the ranking as a low three percent, another (the DDS&T) defines it as a low ten percent and the other two Directorates (DA and E) do not specify the percent.

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D. However, in contrast to the counseling aspect, the DDCI in a memorandum for all employees dated 7 April 1978 implies that the three percent ranking may be used to obtain promotion headroom. Specifically, in the context of a uniform promotion system, this memorandum states:

"These promotion rates will be sustained for the most part through normal attrition, but additionally it will be necessary to apply aggressively the current regulation [ ] for the identification of the bottom three percent evaluated annually. The bottom three percent is not simply determined by ranking, but also by an absolute determination of the employee's value and potential as assessed by the evaluation panels and Career Service boards . . ."

IV. Conclusions.

A. The low three percent out concept is ineffective as a separation mechanism.

B. There are ambiguities and lack of uniformity in the interpretation of the low three percent concept and its implementation throughout the Agency. This is especially relevant in regard to the use of the concept as a flow-through mechanism. If Agency management believes there is a need to sustain promotion rates through identification and separation of employees ranking in the lowest three percent then [ ] needs to be revised to clarify its purpose and to define the procedures for administering a low three percent out concept.

C. The competitive evaluation program (and panels) should not be used to identify employees ranked at the lower end of a competitive ranking. Identification of poor performers and individuals with serious problems affecting performance should be part of the PAR.

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V. <u>Recommendations</u>.

A. Eliminate the requirement to develop a low three percent

ranking.

The above recommendation is ( ) approved ( ) disapproved.

B. Publish Agency Notice explaining actions in Recommendation A.

The above recommendation is ( ) approved ( ) disapproved.

Deputy Director of Central Intelligence	Date

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AGENCY'S OBLIGATION TO EMPLOYEES

I. NAPA Recommendation.

NAPA, in addressing both the need for a system to deal with personnel reductions and in assessing the validity of the "flow-through" concept, recommended "reviewing the Agency's obligation to employees in terms of retention until eligible for retirement and/or retention in positions outside of the groups affected." (NAPA, Conclusions, p. 100.)

II. Discussion.

A. Present Agency regulations on the separation of excess personnel [   ] "if an employee is excess to the needs of a component and requests assistance for reassignment, an effort will be made first by the Career Service and then by the Office of Personnel to find suitable employment elsewhere in the Agency." In addition, [   ] the   25X1
Director of Personnel will "provide a program to assist prospective retirees in preparing for and obtaining post-retirement employment and to furnish prospective resignees with possible sources of new employment." Resignees have also included employees declared excess to needs, and the out-placement program has been extended to them.

B. A NAPA Project Group paper recommends that, in the event of a need for personnel reductions, the program be developed around certain basic criteria. In addition, the recommendation states that information on placement opportunities, both internal and external be provided employees subject to a reduction program.

C. However, there is not a defined and recorded policy statement on the Agency's obligation to employees. The policy can in part be gleaned

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from existing regulations and recommendations for new policy.

III. Conclusions.

A. A policy statement on the Agency's obligations to employees is needed, particularly on how this obligation relates when personnel reduction programs are necessary.

B. The policy statement should acknowledge the dynamic nature of the Agency's mission and functions, the ever-present possibility of an imposed reduction in the Agency's personnel ceiling and, the need for a balanced and productive work force.

IV. Recommendations.

A. Approve a policy that offers the opportunity for career employment to employees so long as the employee's performance is acceptable, the employee continues to contribute to Agency needs and there is a position available within the Agency where the employee's skills, talents, and experience can be utilized.

The above recommendation is ( ) approved ( ) disapproved.

B. If the above policy is approved, have the Director of Personnel prepare it for publication in Agency regulations.

The above recommendation is ( ) approved ( ) disapproved.

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Deputy Director of Central Intelligence   Date

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PERSONNEL MANAGEMENT EVALUATION PROGRAM

I. NAPA Recommendation.

"The system which we recommend below for the exercise of the DCI's personnel management responsibilities leaves much of the action in the hands of subordinates to whom he has delegated authority. There remains with the DCI, the need for periodic assessment of the total operation. We recommend that action be taken to:

° Involve line managers more deeply in the evaluation of the personnel management system and the manner with which it is being implemented in the organization(s) for which they are responsible through:

-providing managers with evaluation guides so that they can measure the performance of their organization in personnel management;

-having each level in the organization, starting with Divisions/ Offices and ending with the DDCI, conduct an annual review of personnel management activities for the past year and goals for the coming year with heads of each of their subordinate organizations.

° Coordinate these evaluation efforts -- this should be done by the DCI/DDCI with the assistance of the EAG and should also take into account evaluations conducted by the Office of Personnel, the Office of Training, the Inspector General, and the proposed management staff."

(NAPA, Conclusions, pp. 110-111.)

II. NAPA Comments.

"There does not appear to be a comprehensive system for evaluating personnel operations, tracking performance or enforcing compliance with policy." (NAPA, Executive Summary, p. III.) "From all of the above, it is

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apparent that there is no comprehensive coordinated evaluation system at present and no system for tracking and enforcement." (NAPA, The Present System, p. 18.)

III. Discussion.

A. Executive Order 9830, dated 9 October 1969, requires the head of each Federal Agency to review the Federal Agency's personnel programs and specify the minimum requirement for each Federal Agency's personnel management evaluation system. The rationale is that Federal Agency managers cannot fulfill their personnel management responsibilities unless they know how well personnel management activities are contributing to mission accomplishment, productivity, and overall organization effectiveness; and whether they are being carried out in compliance with law, regulation and other public policies.

B. A personnel management evaluation (PME) program is the means to accomplish this periodic assessment of personnel management effectiveness. The goal of the program is to review the programs, systems, procedures and techniques by which managers accomplish objectives through the use of people. It is not a review of personnel administration but rather a review of personnel management.

C. NAPA identifies two areas of concern with the Agency's PME program. One is that if line managers, under a decentralized personnel system, are responsible for personnel management, they should be given proper tools to perform that function; also included would be the means to perform an appropriate evaluation. The other concern is to coordinate evaluation efforts done by various components within the organizational structure.

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The NAPA Project Group agrees that these are legitimate concerns needing resolution.

D. As indicated in the NAPA Report, personnel management evaluation tools presently provided for line managers are the Annual Personnel Plan (APP) and the Personnel Development Program (PDP). NAPA also notes that personnel management evaluation activities are found in more than one organizational component of the Agency. They identify the Office of the Inspector General, the Office of Training and the Office of Personnel as performing PME efforts.

E. As tools for component use in PME, the APP and PDP must have meaning for managers, meet their needs and not require an inordinate amount of time to complete. Unfortunately, as noted in the NAPA Report, line managers cited the above as problems with the APP and PDP. The APP should permit line managers to review personnel management plans in their respective areas of responsibility, monitor patterns of progress toward their accomplishment, and evaluate the effectiveness of implementation. The basic concept is to have needs determined at the lowest line level possible, have these needs reviewed by Directorate and Senior Managers with goal setting agreements and then to provide for a review of accomplishment. The APP, however, is now burdened with additional information and data to be tracked mostly of an EEO nature. As a result, its usefulness as a basic element in personnel management becomes marginal. With re-direction, the APP can be a proper mechanism for goal setting and effectiveness monitoring. The PDP, which is executive development related, will be reviewed in conjunction with the executive development aspects of the SIS system.

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F. Outside of the Office of Personnel, the other major organizational element evaluating personnel management is the Office of the Inspector General. In component and audit surveys, the Inspector General primarily does mission performance evaluations. These surveys normally include comments and, in some instances, specific recommendations relating to personnel management. In addition, the Inspector General, in handling employee grievances, can assess in a limited way, some aspects of personnel management. Due to the nature of the Inspection and Audit reports and the confidential nature of the material they contain, distribution is normally limited. Findings and conclusions on personnel management are provided line managers but not to the Office of Personnel.

G. The Office of Training on an ad hoc basis compiles information from students on their perceptions of component's personnel management effectiveness. Usually these perceptions are gained in the Management Seminar, Advanced Intelligence Seminar, Mid-Career Course, Senior Seminar, etc. These compilations have been provided, either as a direct report or as an extract from a course report, to such senior managers as the DCI, DDCI, DDA, etc; however, a report has not been compiled in over a year. As these are not evaluation mechanisms but are reports of perceptions without explanation or evaluation, they appear to be of marginal value. These perceptions have not been provided to either the line manager or the Office of Personnel.

H. In contrast to the Inspector General who performs mission performance evaluation, the Office of Personnel as directed [   ] 25X1 will evaluate specific personnel management programs. The PME Staff of OP will, when fully operational, use surveys and audits of Career Service and

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component personnel operations to evaluate personnel management implementation, adherence to applicable law, Executive Orders and Agency regulations and policy. In addition, this staff will provide guidance, advice and assistance to line managers in improving the effectiveness of personnel management. The OP evaluation effort is augmented by the PMCD surveys of organizational components which, while heavily oriented to a review of position classification, include coverage of position management, manpower utilization and internal communications. In addition, OP analyzes data from component APPs and PDPs for DCI/DDCI use in assessing personnel management effectiveness. These evaluation efforts are provided to component managers.

IV. <u>Conclusions</u>.

A.   A comprehensive personnel management evaluation program is needed to assess the effectiveness of the Agency's personnel management program.

B.   As line managers are primarily responsible for personnel management, they should assess the effectiveness of their personnel management programs.

C.   A personnel management evaluation program, to be complete, must include all findings regarding personnel management, be they results from mission performance evaluations, specific program evaluations, or the results of employee perceptions. Thus, personnel management evaluations done by various organizational components must be available to the line manager.

D.   The Annual Personnel Plan, by redirection can provide component managers with a basic evaluation guide that will permit both personnel

management goal setting and an annual review of accomplishment. However, other tools may be necessary.

V.   Recommendations.

A.   Have the Director of Personnel, in consultation with line managers, develop evaluation tools for use by line managers in assessing the effectiveness of their personnel management programs.

The above recommendation is ( ) approved   ( ) disapproved.

B.   Require line managers to annually report on the effectiveness of their personnel management programs. This report will take into consideration findings on the effectiveness of their personnel management programs done by other components of the Agency, and the line managers review of personnel goals and accomplishments.

The above recommendation is ( ) approved   ( ) disapproved.

Deputy Director of Central Intelligence   Date

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<u>COSTS OF PERSONNEL ADMINISTRATION</u>

I. <u>NAPA Recommendation</u>.

"It is recommended that the cost of administering the personnel

system be examined; specifically

- The roles and numbers of personnel careerists
  assigned to components.

- The man years devoted to panels.

- The roles and numbers of non-careerists performing
  personnel functions in the components."

(NAPA, Conclusions, p. 118.)

II. <u>NAPA Comments</u>.

A. "<u>The costs of the present system should be reviewed and cost</u>

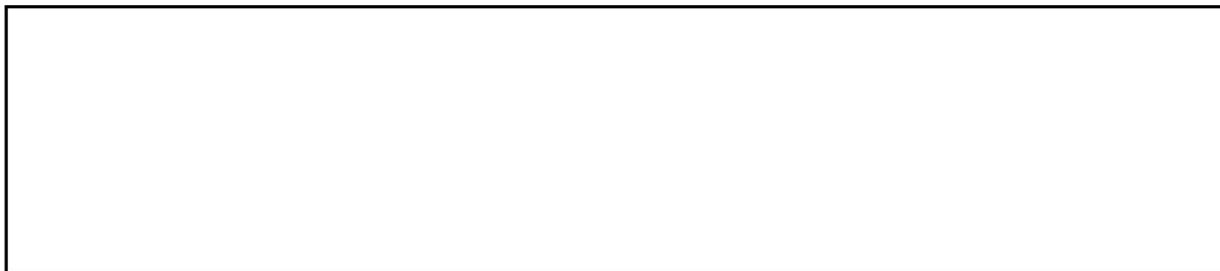<u>containment should be given a high, but not overriding priority</u>."

(NAPA, Conclusions, p. 85.)

25X1

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25X1

III. <u>Project Group Findings</u>.

A. The observation by the NAPA Team that CIA's personnel administration costs are high compared to other agencies does not lend itself to critical examination since their study does not provide the elements which constitute those costs, nor any comparative measure of effectiveness of the systems.

B. The simplicity of the approach and the "preciseness" of numbers draw us to a comparison of ratio figures (employees administering the system relative to total employment) as the means for determining whether costs are high or not. Inherent in that simplicity of approach, however, is an assumption that like things are being compared; inherent in the number is an assumption of quality. Assumptions, in this particular instance, are incorrect; we know this from the NAPA Team's own warning with regard to the ratioing, and our own efforts in a discussion with two of the NAPA Team members*, and other agencies, to define what was being compared.**

C. In the NAPA Team's review of Agency personnel costs it recommends certain areas be examined to determine if:

1. the service being provided is worth the cost; and,

2. if the service can be provided in a less costly fashion.

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*In a meeting with members of the Project Group, [   ] recalled that he had advised his colleagues against the use of the [   ] comparison, fearing that attention and action would be focused on arguments about the number and away from the message the Team wished to deliver about costs.

**A subsequent memorandum from the DDA, dated 19 October 1979, (attached) provides further evidence of the inherent problems in trying to fix a specific ratio.

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The Project Group addressed one of these areas (Panels, Tab N), and has proposed changes which would result in a sizable reduction in costs. Additional review of this area may afford other cost savings.

D. The other two recommended areas--personnel careerists assigned to components, and non-careerists performing personnel functions--need to be examined, with emphasis on the Directorate of Operations because of the number involved there. Particularly important is the need to define the roles of such personnel in order to sort out the true costs for personnel administration.

E. We believe the appropriate level of attention for this matter, which involves primarily value judgments on services needed and on effectiveness, should be the DDCI and the Directorate heads. And, as the NAPA Team advised--"cost containment should be given a high, but not overriding priority."

IV.   Recommendation.

Task each Directorate, with the guidance of the Director of Personnel, to assess personnel costs in the areas noted by the NAPA Team and report findings, with recommendations, to the DDCI.

The above recommendation is ( ) approved   ( ) disapproved.

Deputy Director of Central Intelligence   Date

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TAB Z

PERSONAL RANK ASSIGNMENTS (PRA)

I.   NAPA Observations on PRA.*

A.   In examining the concept of Personal Rank Assignments, practiced primarily in the Operations Directorate, the NAPA Team raised the question: "Should the Agency (in view of the drive to standardize practices) consider abandoning PRA for all but the DDO, or for all but DDO and those portions of other Director- ates which have significant overseas billets or continue the present system?" (NAPA, The Present System, p. 35.) The Team rejected a two system approach primarily because they felt the flexibility provided by PRAs should be available to all Agency components, not just to those oriented overseas. The NAPA Report specifically noted: "The Agency currently has the best of both worlds and if flexibility to adjust the system to the needs of diverse parts creates some untidiness or ambiguity, this can be dealt with as problems arise and is preferable to systemic symmetry for its own sake." (NAPA, Conclusions, p. 88.) The Project Group endorses this conclusion.

*In its Report the NAPA Team grouped together as Personal Rank Assignments both employees in positions higher than their grade and employees in positions lower than their grade. The latter category is what the Agency defines as PRA. This NAPA misconception caused problems for the Project Group in relating the Team's comments with the Agency definition of the term.

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B.   In the course of its favorable comments on PRA, how-
ever, the NAPA Team noted that "discussion with current and
former leaders as well as managers and employees revealed some
confusion about policy and practices." (NAPA, The Present
System, p. 4) This paper addresses that observation.

II. Discussion.

A.   NAPA did not elaborate on what constituted the
"confusion" over PRA. The Project Group reviewed the relevant
Headquarters Regulation [   ] and concluded it is an
easily understood policy statement reflecting the basic concept
that PRAs are temporary in nature. It clearly presents limita-
tion (initially two years), allowances for necessary flexibility
in unusual circumstances, written justification by the Operating
Official, concurrence of the Head of the Career Service and
approval authority of the Director of Personnel. Additionally,
each of the Directorate Personnel Handbooks adequately addresses
PRAs, although those for NFAC and DDA do not speak to Personal
Rank Assignments per se. If there is confusion over "practices,"
the Project Group presumes it probably involves rationalization
of the concept that PRAs are temporary with those PRAs of un-
usually long duration--i.e., those approximating five years or
longer. One can argue that any PRA exceeding two years is of
unusually long duration and is contrary to the intent of [   ]
[   ] The Project Group disagrees, noting that the Regulation
makes special emphasis on the five-year period.

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B.   Statistics on [   ]current Personal Rank Assignments
were examined to determine the magnitude of PRAs of 5-years and
more.   They number only 14:   9 of about five years, 2 of six
years, and 3 of seven years.   Of this 14, DDO has 8; DDS&T, 4;
DDA, 1; and NFAC, 1.   Although there may be a question as to why
such PRAs have been continued, their insignificant number would
suggest they involve "unusual circumstances."   Moreover, these
and all other PRAs are monitored on a continuing basis by the
Director of Personnel.   Monthly reports are sent to the Director-
ates listing the "Not to Exceed" dates for each PRAed employee.
Thus, there is a constant reminder to component management that
discourages inattention regarding follow-up action on such
cases.

III. Conclusions.

A.   Personal Rank Assignments generally are being utilized
in accordance with[   ]and a mechanism independent of the
Career Services is provided to monitor such practice and to
approve/disapprove all extensions.

B.   The total number of PRAs is small relative to the
Agency population, and the number of PRAs of long duration is
insignificant.

IV.   Recommendations.

A.   Retain the present concept of Personal Rank Assign-
ments with monitoring by the Director of Personnel.

The above recommendation is ( ) approved ( ) disapproved.

B.   Have the Director, NFAC, and the Director of Admini-
stration clearly label coverage of Personal Rank Assignments in
their Career Service Handbooks so as to provide Agency-wide
consistency among handbooks and for easy identification by
employees.

The above recommendation is ( ) approved ( ) disapproved.

_____   _____
Deputy Director of Central Intelligence   Date

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