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CLASSIFICATION

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Revisions: (1) [redacted] dated 9 October 1974
(2) [redacted] dated 30 April 1974

1. GENERAL

This Regulation states policy and procedures which apply to the promotion of employees (staff employees and staff agents) in grades GS-14 and below. It does not apply to the promotion of employees compensated in accordance with Wage Administration Schedules.

2. POLICY

- a. The Agency (bills of organization) will be staffed by the assignment of qualified personnel to the positions in which they are most needed, with due consideration given to preferences of employees. To maintain authorized staffing levels for Agency positions, qualified employees will be advanced on the basis of competitive evaluation of their performance, qualifications, length of service, acceptance of Career Staff obligations, and value to the Agency. Promotions and recruitment will be controlled so that the composition of Agency personnel by grade level and occupational fields will not exceed the authorized staffing.
- b. In general, each Career Service will comprise the competitive area for promotion for members of that Service. However, the Head of a Career Service may establish separate areas of competition within the Service when necessary due to substantial differences in occupational or functional lines of work performed by its personnel.

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- a. Competitive evaluation of employees in grades GS-7 through GS-14 for promotion will be accomplished through the establishment and use by heads of Career Services of Competitive Evaluation Panels in each Career Service. Final recommendations of promotions will be advisory to the Head of the Career Service, who will make final recommendations to the Director of Personnel. Final consideration will not be required in the administration of promotions of personnel in grades GS-6 and below, but the basic principle of competitive promotion will be followed insofar as practicable.
- b. Personnel in the zone of consideration will be considered for promotion by the Head of their Career Service at least once each year.
- c. Promotions will be of one grade increments except where double grade stages have been established for progression within the grade range GS-5 through GS-11.
- d. Normally, individuals will be promoted to positions which correspond in grade to their grade after promotion. However, they may be promoted to positions higher in grade than their grade after promotion, when necessary; or they may be promoted under competitive evaluation procedures to a position lower in grade than their grade after promotion when it is necessary in the best interests of the Agency that they be retained in or assigned to such a position on a personnel rank assignment status. A personnel rank assignment will not be authorized if the action would result in the grade structure of personnel in the Career Service exceeding the grade structure of positions which the Career Service staffs (Career Service Staffing Authorization) in the Competitive Area concerned.

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3. DEFINITIONS

4. Personal Rank Assignment - An assignment in which the grade of an employee is authorized to exceed the grade of the position enumerated. Personal rank assignments are approved by the Director of Personnel upon certification by the Head of the employee's Career Service and Operating Official concerned that they are necessary in the best interests of the Agency for one or more of the following reasons:

- (1) To enable an employee competitively promoted to complete a specific tour or assignment in a position of grade lower than his grade after promotion.
- (2) An employee is the only qualified individual available for assignment to a position which must be filled immediately.
- (3) The employee possesses such unusual background, contacts, or qualifications for a particular position that his assignment to that position is essential to an Agency program.
- (4) An employee's service record and qualifications clearly predict satisfactory performance in a position of his grade, and staffing plans provide for the filling of such a position in the near future, but no appropriate assignment of proper grade is currently available.
- (5) To permit an employee to obtain specific experience essential to the planned future utilization of his services.

Personal rank assignments will be for a specified maximum period of time, as agreed to by the Director of Personnel, Head of the Career Service, and Operating Official concerned.

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10. Career Service Staffing Authorization (CSEA) - The number of positions by grade levels and occupations which a Career Service is responsible for staffing. In the absence of designation of 1/0 positions according to Career Service jurisdiction, the Career Service Staffing Authorization will be approximated by tabulating the grades of all positions encountered by members of the Career Service in each Competitive Area and adjusting to provide for vacant positions to be filled during the period.
11. Senior Supervisors - For purposes of this Regulation, the term Senior Supervisors will be used to designate the heads of the operating sections in which employees under consideration for promotion are located. Senior Supervisors generally will be Division and Staff Chiefs in IS-1 and IS/3; Chiefs of Area Divisions and Senior Staffs in IS/2; or comparable officials as agreed to by Head of the Career Service and the Deputy Director concerned.

12. RESPONSIBILITIES

12. Supervisors

Supervisors at all levels are responsible for evaluating the merit for promotion of employees under their jurisdiction and for making recommendations to the Heads of appropriate Career Services, through normal channels, concerning the promotion of such employees according to the provisions of this Regulation.

13. HEAD OF CAREER SERVICE

The Head of each Career Service is responsible for:

- (1) Recommending promotions to the Director of Personnel based upon competitive evaluation of employees' merit for promotion in relation

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- c. A common criticism of promotion panel systems is that they tend to make employees reluctant to take initiative, but instead employees may be inclined to conform entirely to prevailing opinion. Since this tendency would jeopardize the merit system and the effectiveness of the Agency Staff, every effort must be made to give due credit to employees who have shown themselves capable of sound independent judgment, creative work, self-reliance and the acceptance of unusual responsibility. If the initiative of an employee has led to some difficulty, he should not be severely judged because a calculated risk did not work out if the attempted line of action was worthwhile. Similarly, Panel Members should be wary of employees who restrict their output in order to concentrate on a few work products for the purpose of receiving special commendations.
- d. Extra care should be taken to determine the merit for promotion of employees whose duties give them opportunity for comparatively little substantive output which can be readily evaluated, or whose duties and performance cannot, for security reasons, be completely documented. Similarly, employees engaged in training assignments must be given full consideration for their efforts in the light of their reported accomplishments during such training.

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to the staffing requirements for the Career Service and after the consideration of recommendations from Competitive Evaluation Panels, Career Boards, and Senior Supervisors.

- (2) Retaining Competitive Promotion Areas within the Career Service.
- (3) Establishing the number of Competitive Evaluation Panels considered necessary and defining the jurisdiction of each Panel as to grade levels and competitive areas of personnel to be evaluated.
- (4) Appointing the membership of each Competitive Evaluation Panel.
- (5) Ensuring that the composition of the membership of his Career Service by grade level and occupational fields does not exceed the staffing authorization of the Service. (CSA)

6. MONITORING OF PERSONNEL

- (1) Ensuring compliance with the regulation by continuous evaluation of the Agency's promotion program.
- (2) Reviewing all promotion requests and finally approving promotion actions which conform to the provisions of this Regulation including the approval of personnel rank assignments when required by a promotion request.
- (3) Recording and disseminating the qualification requirements of all Agency positions to be used as a basis for reviewing promotion requests.
- (4) Providing periodic listings to Heads of Career Services of personnel in the zone of consideration for promotion and periodic reports on the status of utilization of the Career Service Staffing Authorization (CSA).

5. PROMOTION REQUIREMENTS

a. Agency Experience Requirements

An employee will enter the zone of consideration for promotion when he has served in his current grade in the Agency for the period indicated below:

<u>Current Grade</u>	<u>Months of CIA Experience</u>
GS-1 through GS-6	6
GS-7 through GS-11	12
GS-12 and GS-13	18
GS-14	24

b. Qualification Requirements

An employee must be qualified to perform the duties of a higher graded position to which his promotion is recommended. If an employee is being promoted and retained in a personal rank assignment in a lower graded position, he must be qualified to perform work in the occupational category and grade level to which he is promoted. When an employee is being considered for promotion to a position for which qualification requirements are prescribed in [REDACTED], these requirements will be used as the basis for evaluating his qualifications.

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c. PROCEDURES

a. Competitive Evaluation Panels

(1) In consideration of the number of personnel to be evaluated for promotion by grade levels and Competitive Areas, the Head of each Career Service will appoint Competitive Evaluation Panels and define the grade levels of personnel and the Competitive Areas to be under the jurisdiction of each Panel.

- (1) Each Panel will consist of a minimum of three voting members of the Career Service concerned, senior in grade to employees to be evaluated and designated to serve for the period of time required to accomplish the evaluation of the groups of personnel designated. Existing Career Boards and Panels may be used as Competitive Evaluation Panels if desired by the Head of a Career Service and providing their membership meets the requirements stated above.
- (2) Competitive Evaluation Panels will utilize [REDACTED], Guide for Competitive Evaluation Panels, as an advisory guidebook in order to obtain reasonable uniformity in Panel operations within and among Career Services.
- (3) Upon completion of Competitive Evaluation for each grade level and competitive area, the Panel concerned will provide the Head of the Career Service with a listing in order of merit for promotion of the individuals recommended by the Panel for promotion.

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9. Senior Supervisors

- (1) Upon request of the Head of a Career Service, Senior Supervisors will submit for each grade level, a list of their employees in the Career Service and none of consideration whom they recommend for promotion. Whenever practical, Senior Supervisors will list the recommended employees in the order of preference for promotion. This listing will be provided to the appropriate Competitive Evaluation Panel for its use.
- (2) During intervals between Panel Evaluation of a grade level of personnel, a Senior Supervisor may submit individual promotion recommendations to the Head of the appropriate Career Service

Upon immediate promotion action is desirable to recognize outstanding ability and performance.

- (5) Senior Supervisors will submit promotion recommendations for personnel in grades GS-6 and below when their performance, qualifications, and length of service as compared with other personnel in the area concerned merit their promotion.

c. Heads of Career Services

- (1) Upon receipt of rank order listing from the Panel, Heads of Career Services will make final determinations as to employees to be recommended for promotion in the grade(s) concerned. They will insure that employees recommended for promotion are to be utilized in a position of proper grade currently or will be so utilized in the foreseeable future; and that the grade and occupational structure of personnel in the Career Service will not exceed the Career Service Staffing Authorization as a result of promotion actions recommended. Additionally, they will inform Senior Supervisors of their employees being recommended for promotion and give due consideration to a request from a Senior Supervisor as to timing of the action or that a promotion be withheld.
- (2) Heads of Career Services will initiate promotions for personnel in grades GS-6 and below in consideration of recommendations from Senior Supervisors and on the basis of performance, qualifications, and length of service of the individuals in comparison to their contemporaries.
- (3) Heads of Career Services will submit promotion recommendations to the Director of Personnel on SF-52, Request for Personnel Action, in accordance with instructions of [REDACTED]. Promotion requests

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requiring personal rank assignments will include a statement from the Operating Official, with concurrence from the Head of the Career Service concerned, of the reason for the use of this type of assignment and the probable duration.

7. IMPLEMENTATION OF THE COMPETITIVE PROMOTION PROGRAM

Heads of Career Services are authorized to implement the program in gradual stages of one grade level of personnel at a time, thereby continuing previous promotion procedures for levels of personnel on which Competitive Evaluation Panel action has not been taken. The program, however, should be fully installed by 1 January 1990.

8. EXCEPTIONS TO AGENCY EXPERIENCE REQUIREMENTS

Exceptions to the Agency Experience requirements for promotion to any grade will be approved or disapproved by the Director of Personnel upon submission of justification by the Head of a Career Service. Exceptions will be made only when it is clearly established that:

- (a) an employee was initially employed at a grade below that for which he was qualified; or
- (b) an individual is properly qualified for promotion based partly on his experience prior to his entry on duty; or
- (c) such exception is necessary to recognize and utilize an employee's outstanding ability.

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MEMORANDUM

GUIDE FOR COMPETITIVE EVALUATION PANELS

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PURPOSE

This Handbook is for the guidance of Agency personnel who are appointed by Heads of Career Services to serve on Competitive Evaluation Panels.

The information presented, however, should be of equal interest to all supervisors who will participate in the Competitive Evaluation process and who will, in the final analysis, be largely responsible for its effectiveness.

The guidelines and procedures presented are intended to be advisory in nature rather than regulatory. It is realized that variances in the composition of Career Services and the dispersion, geographically and occupationally, of their personnel will require the development by the Career Services of internal operation procedures to fit their needs. However, the use of this Handbook to set the frame^e of reference for the operations of Competitive Evaluation Panels of all Career Services will provide a desirable degree of Agency-wide uniformity in promotion administration.

Policy and Procedures on the Competitive Promotion Program are set forth in ██████████ Competitive Promotion.

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GUIDE FOR COMPETITIVE PROMOTION PANELS

1. INTRODUCTION TO THE COMPETITIVE PROMOTION SYSTEM

High esprit de corps of Agency Personnel depends to a considerable degree upon the achievement of a fair and effective promotion system which will earn and retain the respect of all members of the Agency. The Agency has adopted the competitive evaluation promotion policy with the aim of ensuring maximum equity, objectivity and impartiality in promotions. This program is based to some extent upon characteristics of the various promotion systems in the Foreign Service Corps of the Department of State, private business and the Military Services, but is specifically designed to meet Agency objectives of building and maintaining a Career Staff of high caliber. Its chief characteristics are:

A. Performance Measurement:

Appraisal of the employee's value to the Agency in terms of the quantity and quality of the work he has performed and his conduct, skills, personality, potentiality and value to the Agency. A conscientious effort is made to record, via the Biographic Profile and Fitness Report, complete, factual and objective information regarding each individual.

B. Equal Opportunity for Advancement within a Career Service:

Every employee eligible for promotion is rated (a) annually, (b) by an impartial Competitive Evaluation Panel and (c) in comparison with every other member of the same grade and occupational category within a Career Service. This system differs from usual Civil Service practice where promotion depends rigidly upon the grade of job to which the individual is assigned.

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2. Group Judgment:

The relative standing of the person rated depends on group judgment. The Fitness Report contains the opinions of individual supervisors and reviewing officers; the annual competitive rating represents the consensus of a group of experienced senior members of the employee's Career Service with respect to the employee's merit for promotion in comparison with his contemporaries. The objective is to make the promotion system genuinely free from favoritism and bias.

B. Sufficient Service in Grade to Provide a Basis for Evaluation:

The promotion system requires that personnel serve long enough in each grade to provide a basis for a thorough evaluation of their performance at the grade level. This is accomplished by establishing minimum periods of service in each grade during which personnel are not in the zone of consideration for promotion.

C. Recognition of Merit by Advancement:

In each grade, the normal practice will be to promote those who are ranked highest on the list, provided their qualifications can be utilized to advantage at the next grade level. In other words, the available promotions will go to those found by the Panels and Heads of Career Services to be the most competent and valuable to CIA.

II. THE COMPETITIVE PROMOTION PROCESS

A. Function and Composition of Competitive Evaluation Panels:

Panel Competitive Evaluation of all employees eligible for promotion on the basis of their performance, acceptance of Career Staff obligations, qualifications, and value to the Agency is the most critical element of the promotion process. The product of Panel action will consist of a list of employees ranked in order of merit for promotion for the use of the Head of the Career Service in making final

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promotion recommendations. The list will include the employees the Panel considers to merit promotion at the time of Panel action within the numerical limitation which may be prescribed by the Head of the Career Service. Panels will be comprised of a minimum of three members of the Career Service concerned, senior in grade to employees being evaluated, and appointed by the Head of the Career Service to serve for the period required to evaluate all eligible employees in the grade groups and competitive area(s) assigned.

B. Information and Tools used by Panels in Evaluating Employees:

1. Listing of all personnel in the zone of consideration for promotion in the grade level to be evaluated.
2. Listing of personnel recommended for promotion (in order of preference whenever practical) by Senior Supervisors.
3. An indication of the number of personnel to be on the final rank order list may be provided the Panel by the Head of the Career Service if he desires. The Head of the Career Service preferably should not divulge the maximum number of personnel he would consider promoting based on guidelines such as past promotion practice and the status of staffing of the Career Service. Instead, he should direct a somewhat larger number of personnel to be ranked since it may be anticipated that some individuals on the rank order list may not be promoted if their qualifications and experience are such that no suitable assignment of the higher grade is available or likely to be available in the future.

4. ~~Biographic Profiles~~ Biographic Profiles (Attachment 1) or an equivalent summary of service and performance of each employee in the zone of consideration.
5. Personal interviews, whenever feasible, of employees, their supervisors, or others having knowledge of the employees being evaluated. The importance of interviews of persons in grades GS-12 and above particularly is stressed.

6. Significant Factors for Panel Consideration in Evaluating Employees:

Performance (productivity, quality, and level of job performed)

- a. One of the chief considerations in competitively evaluating employees is the performance factor - how well has the job been performed - the quality and quantity of work done. In the interest of rendering maximum equity in judging this factor, Panel Members should bear in mind the level of the job performed by employees being evaluated. Otherwise, it may happen, for example, that a high grade employee performing work of a lower level will perform exceptionally well and be rated unduly high, whereas an employee assigned to a position of higher grade may perform with only minimal acceptance and be rated too low. Thus, Fitness Reports and comparable ratings become more meaningful when considered in relation to the characteristics and level of the job performed.
- b. In addition to past and current performance, the potentiality the individual has demonstrated for the performance of more difficult and responsible duties in the future is most important. Fitness Report ratings on this factor and records of performance of assignments of higher grade level should be carefully considered.

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- c. A common criticism of promotion panel systems is that they tend to make employees reluctant to take initiative, but instead employees may be inclined to conform entirely to prevailing opinion. Since this tendency would jeopardize the merit system and the effectiveness of the Agency Staff, every effort must be made to give due credit to employees who have shown themselves capable of sound independent judgment, creative work, self-reliance and the acceptance of unusual responsibility. If the initiative of an employee has led to some difficulty, he should not be severely judged because a calculated risk did not work out if the attempted line of action was worthwhile. Similarly, Panel Members should be wary of employees who restrict their output in order to concentrate on a few work products for the purpose of receiving special commendations.
- d. Extra care should be taken to determine the merit for promotion of employees whose duties give them opportunity for comparatively little substantive output which can be readily evaluated, or whose duties and performance cannot, for security reasons, be completely documented. Similarly, employees engaged in training assignments must be given full consideration for their efforts in the light of their reported accomplishments during such training.

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e. In evaluating the performance of employees performing executive or supervisory duties, it is stressed that principal consideration should be given to the demonstration of management skills. Factors in this connection are the demonstrated abilities of an executive or supervisor to plan and organize his unit, establish sound policies, train and supervise employees, and achieve efficient operation and accomplishment of required objectives.

2. Acceptance of Career Staff Obligations

A factor which should be given considerable weight is the willingness of the employee to meet Career Staff obligations. This may be exemplified by acceptance of assignments to isolated or hardship posts, undertaking of specialized training which may lead to protracted periods of service in difficult or unpleasant areas of the world and, in general, by a demonstrated willingness to put the needs of the Agency before personal preference or convenience.

3. Value of Employee to Agency

The problem of developing and keeping the required number of qualified personnel in all lines of work is a problem with which all organizations must contend. The major objectives of the Agency Career Program include exposing Career Staff Members to a broader base of training and experience to increase their versatility and assignment potential as well as the necessity of developing other employees in highly specialized fields. In competitively evaluating employees for promotion, consideration

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should be given to the present value of the employee to the Agency, and, as best as can be determined, his potential usefulness in the future. Of pertinence to value of an employee to the Agency is a consideration of possession of scarce occupational skills and experience which are difficult to replace and which may have required arduous training or unpleasant assignments for their acquisition.

4. Length of Service

Length of service in a grade level (beyond the minimum time requirement) shall be a factor in the evaluation of an employee's record to the extent that promotion must be earned by meritorious performance over a sufficient period of time. Agency experience at lower grade levels as well as experience gained prior to entry with CIA should be evaluated on the basis of applicability to an Agency career. Notwithstanding the usual length of service requirements, it is important to keep in mind that no employee should be rated lower than his performance merits simply because of the recency of his last promotion. To do so might penalize unusual efforts and talents as well as enhance the chances for promotion of those whose principal claim is that of seniority.

5. Qualifications (Education, Experience, Training, Personal Characteristics)

The degree to which an employee exceeds the minimum standards of experience, training, and education is of pertinence to his evaluation, providing the type of experience, training and education is of

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demonstrated usefulness in connection with the employee's work and probably future utilization. Personal characteristics should similarly be evaluated in terms of the application to current and probable future assignments.

6. Other Considerations

- a. Care should be taken to ensure that individuals currently on assignments overseas or at service outside headquarters are given equal consideration for promotion and are not penalized by their non-availability for interview or the problems of current documentation of performance.
- b. In evaluating employees whose records reflect adverse reports or criticisms, care should be taken to determine whether the adverse material has been out-dated by more recent favorable performance. Giving undue weight to past reports of defects which an employee has corrected may create an unjust permanent handicap to his career. Thus, Panels must be as sensitive to records reflecting improved performance as they are to those which reflect deterioration.
- c. Panel Members' personal knowledge of an individual should not be given undue weight. However, if a Panel Member, through personal experience or otherwise, is cognizant of pertinent information not in the record, he shall make that information available to the Panel. A Panel Member should disqualify himself from ranking any candidate when he cannot objectively evaluate due to close association or strong personal feelings.

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d. Whenever competitive evaluation establishes employee's ratings as essentially equal, it is appropriate that Panel Members give added weight to consideration of age, length of qualifying experience and general background.

B. Suggested Steps in Competitive Ranking by Panels:

1. All eligible employees recommended by Senior Supervisors will be accepted by Panels for final ranking for promotion. Their records (Biographic Profile or equivalent) will be given a preliminary review.
2. Other eligible employees' records will then be reviewed by the Panel and those considered by the Panel to warrant final ranking for promotion will be included with the names of employees nominated by Senior Supervisors.
3. Interviews will be conducted of employees, their supervisors and others having knowledge of their work whenever feasible. This step is particularly desirable for consideration of employees in GS-12 and above.
4. Each Panel Member will rank all employees (preliminarily selected as above indicated) independently after completion of the review of Biographic Profiles or equivalent summary of service and performance, and the completion of Panel discussions or interviews.
5. Wide discrepancy in Panel Member rankings on any employee will be discussed and more information obtained if necessary. Thereafter, Panel Members may adjust their individual rankings.

6. The final ranking list will be computed as a composite of individual rankings with equal weight being given to each Panel Member's judgment. The individual rankings for each employee will be totalled, and the final ranking will be determined by listing the employee with the lowest total ranking points first, the employee with the second lowest total ranking points, second, etc.

EXAMPLE

Ranking Order Computation (Employees a, b, c, d, e)

Employee Ranking by Panel Members

<u>Rank</u>	<u>Panel Member 1</u>	<u>Panel Member 2</u>	<u>Panel Member 3</u>
1	a	c	a
2	c	b	b
3	e	a	c
4	b	d	e
5	d	e	d

Determination of Final Rank Order of Employees

<u>Final Ranking</u>	<u>Employees</u>	<u>Total Points</u>
1	a	5
2	c	6
3	b	8
4	e	12
5	d	14

7. If the final list exceeds the maximum number of candidates for promotion desired by the Head of the Career Service, the list will be adjusted accordingly and forwarded to the Head of the Career Service for his use.

III. SUPPORT RELAYED TO COMPETITIVE EVALUATION PANELS

1. By Office of Personnel:

The Office of Personnel will be responsible for the program of preparing accurate Biographic Profiles of personnel to be evaluated. Due to the volume of work involved, participation by Personnel Officers, Career Management Officers, and employees in this program will be necessary. Additionally, the Office of Personnel will provide clarification on promotion procedures, and furnish listings of personnel in the zone of consideration, qualification requirements for specific positions or lines of work, and position evaluation information.

2. By Career Management Officers of the Career Service:

Important responsibilities of Career Management Officers will be the provision of Secretariat support to Competitive Evaluation Panels, the obtaining of information concerning employees being evaluated before or during Panel considerations, and serving as a point of liaison between the Panel and Senior Supervisors.

3. By Personnel Officers and Administrative Officers in Operating Offices:

Personnel and Administrative Officers will be responsible for ensuring that lists of personnel recommended for promotion by Senior Supervisors are provided to the Panels and will assist Senior Supervisors in this regard. They will participate with Office of Personnel in developing Biographic Profiles or the equivalent for Panel use.