DECLASSIFIED E.O. 11652 SECTION 3 (E)(1)(2)(3) or (4)

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Miss Head

Job desc.

ATTACHMENT NO. 3

SUGGESTED OUTLINE FOR DISCUSSION

OF CPR P4

PERFORMANCE APPRAISAL

WITH SUPERVISORS

1. GENERAL PROVISIONS OF THE PERFORMANCE RATING PLAN. The performance appraisal plan approved for use within the Army Establishment provides supervisors with a major tool for use in creating an effective civilian work-force. Since this is one of the more important parts of a supervisor's job and is one element against which the supervisor will be appraised, the proper use of performance appraisals will assist the supervisor in improving his own effectiveness. The program is designed to:

a. Enable management, through appraisal of employee work performance, to estimate its productive resources (in terms of manpower) with reasonable accuracy.

b. Enable management to take such actions as will result in increased productivity and lower operating costs.

c. Help management measure the success or failure of employees and provide a means for keeping employees informed as to how well they are succeeding.

d. Enable management to identify employees who warrant special attention and provide a means for giving proper recognition to those employees.

NOTE: The major purpose of the plan is to help supervisors succeed on their jobs by enabling them more effectively to appraise employee performance, plan actions to improve performance, and plan for better utilization of employee abilities.

2. MAJOR STEPS IN THE PLAN. There are four major steps contemplated in the performance appraisal plan:

a. Determination of performance requirements for jobs.

b. Appraisal of employee performance.

c. Decision as to proper actions to assure improved performance and better utilization.

d. Official rating of employee performance.

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3. DETERMINING PERFORMANCE REQUIREMENTS. Perfirmance requirements for each job are a desirable feature of any sound management improvement plan. These requirements must be known by and understood by supervisors and employees. Performance requirements clarify the objectives of a job, provide a basis for measuring accomplishment, and assure that employees understand what is expected of them. Such requirements enable supervisors to observe and appraise employee performance with a higher degree of accuracy and to provide realistic assistance to employees in increasing productivity. In determining performance requirements, the following points should be observed:

a. A performance requirement is an understanding between an employee and his supervisor as to what the latter considers satisfactory performance on an aspect of the job.

b. Where acceptable and accepted standards of performance have been formulated, or are tacitly understood, they may constitute such an understanding. (See CPP No. 29 for a discussion of the development of exact standards.)

c. Wherever the supervisor or the employee has any uncertainty as to what is actually required by the purpose of a duty assigned, an honest attempt must be made to clarify the situation by joint effort.

d. Final decision as to job requirements is a prerogative of management.

e. Understandings may be reached by oral discussion but should be reduced to writing if there is any failure to agree.

f. Requirements will reflect what is actually necessary rather than what will "get by" on the one hand or "perfection" on the other. To a major extent, performance requirements are set by the job itself.

4. PERFORMANCE APPRAISAL.

a. Appraisal is a continuous process of observing an employee's actions and the results he achieves in relation to the performance requirements. A supervisor must observe the employee in the actual work situation and should note significant actions or accomplishments if his later appraisal is to be meaningful. In making an appraisal, the supervisor should ask himself such questions as these:

(1) Is this a fact or an opinion?

(2) If it is an opinion, can I substantiate a rating based on this opinion?

(3) What evidences do I have that the employee is exceeding, meeting, or falling below the performance requirements?

b. In making a performance appraisal, the supervisor must:

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(1) Have all the pertinent facts; such facts are obtained from personal observation, review of records, and the employee's recollections of his job performance for the entire period involved.

(2) Compare the facts of the employee's accomplishments to the performance requirements.

(3) Identify those significant aspects of the work in which the employee meets, exceeds or fails to meet the requirements.

(4) Discuss the evaluation with the employee. (Make it constructive, collaborative if possible. The goal is not to prove the employee wrong but to get him to take favorable action).

c. With the employee, the supervisor should place emphasis on:

(1) Recognition of outstanding performance in any aspect of the job.

(2) Identification of reasons for failure to meet requirements.

(3) Stimulation of a desire to improve.

5. PLANNING ACTIONS. The act of appraising an employee's work performance loses much of its value unless action is taken to bring about improvement in performance or to utilize the strengths of the employee. After an employee's work performance has been appraised, consider whether he needs training in any aspect of his job or to improve his attitude toward his work. Also consider the possibility of realigning work assignments to capitalize more fully on the strong points of each employee and to avoid his weak points. Supervisors can secure assistance in the planning phase from the employee utilization representatives assigned to their organizations. Other actions which should be based on appraisal of employee performance are recommendations for reassignments, promotions and changes to lower grade. These proposals should be discussed with the utilization representatives and with higher level supervisors.

6. PERFORMANCE RATINGS. The Army Establishment performance appraisal plan meets all the requirements of the Performance Rating Act of 1950 and has been approved by the U.S. Civil Service Commission. This plan provides for three adjective ratings, viz., "Outstanding," "Satisfactory," and "Unsatisfactory." As required by the performance rating law, the uniform efficiency rating system will cease to operate as of the close of business, 28 December 1950. All current efficiency ratings, with the exception of "Unsatisfactory" are canceled as of the date. On 29 December 1950, former efficiency ratings of "Good" or better will be converted to interim performance ratings of "Satisfactory." Efficiency ratings of "Fair" are canceled, but no performance rating will be assigned until the performance of the employee has been appraised. Ratings of "Unsatisfactory" will be continued as

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performance ratings of "Unsatisfactory," and a warning letter stating specifically in what particulars the employee is failing, what he must do to meet the requirements of his positions and stating the requirements of the positions must be given to each employee who is not doing acceptable work. Such warning letters must establish a period of at least ninety days in which the employee will be given assistance in improving his performance. A new warning letter will be issued to those employees who had received warning notices which did not provide for at least a 90 day warning period under the efficiency rating system.

7. THE RATING PROCESS.

a. The first rating any employee receives in any positions is an entrance rating of "Satisfactory" assigned by the personnel office.

b. Six months later a performance rating will be made by the supervisor based on a performance appraisal.

c. Annually thereafter, on the anniversary date, a new performance rating will be made (unless a new entrance rating is necessitated meanwhile).

d. Each employee will have an official rating on record at all times (exception, see paragraph 6 above).

e. As far as the supervisor is concerned, the rating process is very simple provided the employee's performance has been correctly evaluated.

f. The following factors illustrate aspects of work that might be used in rating if they apply to a particular part of the job:

(1) Quality of work.

(2) Quantity of work.

(3) Adaptability.

(4) Working relationships.

(5) Leadership.

(6) Ability to solve problems.

g. A rating of "Outstanding" will be given when there is evidence that performance in all aspects of the job exceeds normal requirements to a degree that warrants special commendation.

h. A rating of "Unsatisfactory" will be given when there is evidence that, in spite of a written warning (stating the requirements and what is necessary to meet them) and a fair opportunity to improve, the employee's performance continues to be inadequate in one or more significant aspects of the job to an extent that continued assignment is undesirable. Before recommending an employee for a rating of "Unsatisfactory," decide whether you need the employee's strong points badly enough to put up with his weak points. This is especially true at this time when full ability

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is becoming harder to find. We should keep in mind, however, that during periods of reduction in force we may have difficulty in removing the employee who is barely "Satisfactory".

i. A rating of "Satisfactory" will be given when an employee's work performance meets requirements or is expected to come up to them. That is whenever a rating of "Outstanding" or "Unsatisfactory" is not warranted.

j. A significant aspect of a job is one in which failure cannot be condoned--which will make or break the job.

8. RATING PROCEDURES.

a. When a supervisor has evidence that an employee meets the criteria for an "Outstanding" rating, he will:

(1) Submit a memorandum request through channels to his division chief for review, and submission to the awards or other designated committee if warranted.

(2) Attach to each request:

- The current job description.

- A statement of requirements for satisfactory performance.

- A statement showing the specific performance during the rating period which exceeded requirements sufficiently to meet the following criteria:

-- Performance in all aspects of the work assigned exceeds normal performance to such an extent that each would be considered worthy of special commendation.

-- The achievement of positive constructive results.

-- The perofrmance is typical of the period under consideration.

-- The performance represents actual accomplishments rather than simple extra effort, such as overtime work.

- Specific evidence to show that the above criteria were met, such as production records, commendations or evidence of unusual results achieved.

(3) The supervisor, also, must be ready to appear in person before the committee and justify his request.

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b. The civilian awards or other designated committee will investigate the facts and submit a report approving or disapproving the rating.

c. When a supervisor is convinced that an employee's performance is sufficiently inadequate and he has really tried to train, counsel and talk things over with the employee, he will:

(1) Give to the employee a warning letter specifically stating performance requirement(s) which were not met, the nature of the failure, what is needed to meet the requirement(s) and that a rating of "Unsatisfactory" will be given if performance is not improved. (This letter will be issued three to six months in advance of an official rating.)

(2) Furnish reasonable opportunity and assistance for improvement of the employee's performance.

(3) If desired improvement does not materialize, prepare a memorandum requesting approval of an "Unsatisfactory" rating, attach a brief statement of the situation and copies of the warning letter, and forward through channels to his division chief.

NOTE: Before issuing a warning letter, it is advisable to talk things over with the employee in an effort to secure the desired improvement before issuing a formal warning. As soon as you decide that the employee is not capable of meeting the requirements, seek adjustment through other types of actions other than the granting of an "Unsatisfactory" efficiency rating. For example, it may be possible to reassign the employee to a job for which he is better suited or to remove him for inefficiency in accordance with CPR S1.

d. The division chief will notify the employee, the supervisor, and the civilian personnel office of his decision in writing.

e. No forms are used in the rating process.

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f. The official performance rating will be maintained on Service Record Card, WD AGO form 76a. After the initial ratings have been posted on the Service Record Card, new postings will be made only when the adjective rating changes. All ratings will be entered on the Employee Record Card, WD AGO Form 80 or 80a.

g. Employees receiving ratings of "Unsatisfactory" will be reassigned, changed to lower grade or removed as soon as possible after the rating is assigned and after requirements for notices of adverse action are satisfied.

9. REVIEWS AND APPEALS OF RATINGS.

a. In order to insure equitable performance ratings, an employee may request reappraisal through either of two channels:

(1) Locally, within the Army Establishment by written petition to the commanding officer for action by:

- The civilian awards or other designated committee if the rating is "Satisfactory."

- The grievance committee if the rating is "Unsatisfactory."

(2) To a performance rating board of review under direction of the appropriate office of the U.S. Civil Service Commission.

b. A "Satisfactory" rating may be processed through either channel but not both; an "Unsatisfactory" rating will be considered by the board of review only if it has first been considered by the local grievance committee.

c. An employee may waive his right to an oral hearing. However, this does not preclude a hearing if the committee desires to hold one.

10. TRANSITION PROCEDURES.

a. On 29 December 1950, supervisors will deliver a warning letter to each employee whose performance is unacceptable.

b. Employees who enter upon new jobs after 28 December 1950 will be advised on performance requirements by their supervisors at the earliest opportunity and in any event, within thirty days. Performance requirements will be clarified through discussions with present employees at the earliest possible date, but before 31 March 1951.

c. All employees assigned to a job for the first time will be given an entrance rating of "Satisfactory" by the personnel office on the Notification of Action. SF 50. New employees will be briefed on the

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performance appraisal plan as a part of general orientation. Six months later they will be given an official performance rating based on an appraisal of their work.

d. During the interim period, from 29 December 1950 to 31 March 1951, and at any time thereafter, employees who are unsatisfactory may be reassigned, changed to lower grade, or removed under Parts 8, 9, and 22 of the Civil Service regulations.

e. On and after 29 December 1950, each employee's performance will be appraised for rating purposes as of the last day of the twelfth calendar month following the last official efficiency rating or performance rating. (unless an entrance rating has intervened to change the anniversary date.)

f. As of 31 March 1951, all interim ratings will be confirmed or changed on the basis of a performance appraisal covering the interim period. This appraisal is necessary to assure that no employee who was assigned a presumptive performance rating of "Satisfactory" is being penalized by such rating and to determine which official performance rating adjective to assign employees who had formerly had efficiency ratings of "Fair" and to those who had been given warning letters.

NOTE: Supervisors are advised to refer to the full text of the CPR P4 on performance appraisal for more detailed explanation of the provisions of the rating plan. The services of the Civilian Personnel Office are available for further interpretation.

11. EMPLOYEE RESPONSIBILITIES. Under the performance appraisal plan employees are expected to discharge the following responsibilities:

a. To assist in setting or in requesting clarification of performance requirements in any instance in which they are uncertain as to what is required.

b. To ask for clarification of any assignment that is not clear.

c. To inform their supervisors as soon as they find that they are unable to meet a requirement after putting forth their best efforts to meet it.

d. To assure that their performance meets the requirements for their job and to achieve improvements as needs indicate.

e. To observe normal rules of conduct and such additional rules as may be established.

f. To observe ways in which performance of their work can be improved and to call such ways to the attention of their supervisors for possible inclusion in their work assignments.

g. In case of an appeal, to justify how his performance was better than indicated by the rating.

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12. SUMMARY. The performance appraisal plan, which has been adopted for use in the Army Establishment, attempts to provide supervisors with a means of increasing their own effectiveness by giving them a sound basis for improving employee productivity and by assisting them to utilize their employees effectively. An important factor of the plan is the identification of broad performance requirements for each job which are understood and accepted by supervisors and employees alike. Such standards make it easier for the employees to perform in an acceptable manner and make it possible for supervisors to evaluate employee effectiveness more fairly. Based on the appraisal of the employee performance, supervisors are better able to plan personnel development actions such as training, reassignments and duty changes. Also, management should be enabled to estimate better the effectiveness of its manpower as a result of the appraisals made under this plan. To be effective, however, the appraisals must be carried on continuously and must be based on observation, production records, and other facts relating to employee performance. The whole plan will be ineffective, however, unless the actions indicated by the appraisals are well planned and well executed.

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ATTACHMENT NO. 4

(Suggested)

NOTICE TO CIVILIAN EMPLOYEES

OFFICIAL PERFORMANCE RATINGS

A new plan has been adopted for appraising the work performance of Army Establishment civilian employees. This plan meets all the requirements of the Performance Rating Act of 1950 (PL 873, 81st Congress) and has been approved by the U. S. Civil Service Commission. The new appraisal plan replaces the efficiency rating system. Under this plan, emphasis is placed on evaluating work accomplishment and on taking actions indicated by the appraisal to help employees improve their performance and to help supervisors improve the utilization of employee abilities. Periodically, as a result of performance appraisals, each employee will be given an adjective rating. Such ratings will be entered on each employee's Service Record Card to indicate how well the employee has met the requirements of his job, not how his work compares with others. Important provisions of this plan follow.

1. EFFICIENCY RATINGS CANCELLED. Efficiency ratings made before close of business 28 December 1950 will not be used as a basis for personnel actions after that date except that ratings of "unsatisfactory" will be considered as "unsatisfactory" under the new plan, and requirements for the removal of such employees from their present jobs will be met. This does not necessarily mean separation from the service.

2. NEW RATINGS. After 28 December 1950 there will be only three performance ratings:

Outstanding - when all aspects of the employee's performance are sufficiently superior to merit special commendation.

Satisfactory - when performance in general meets the requirements of the job and neither exceeds the requirements enough to warrant a rating of "outstanding" nor falls short of them enough to warrant a rating of unsatisfactory.

Unsatisfactory - when it is determined that an employee has failed to meet the performance requirements of his job after reasonable opportunity to do so to an extent that his retention in the job is undesirable.

3. INTERIM RATINGS. All employees with current efficiency ratings of good or better will be assigned an interim performance ratings of "satisfactory" as of 29 December 1950. Such interim ratings will remain in effect until regular appraisals and ratings are made, which will in no case be later than 31 March 1951.

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4. PENALTY EFFICIENCY RATINGS. All current efficiency ratings of "fair" will be cancelled and no official performance rating given until 31 March 1951 (unless an anniversary rating intervenes). All current efficiency ratings of "unsatisfactory" will be continued (see Item 1 above).

5. ANNIVERSARY RATINGS. Employees whose last official efficiency rating occurred between 28 December 1949 and 31 March 1950 will be given an official performance rating as of the anniversary of the efficiency rating.

6. ENTRANCE RATINGS. Employees assigned to a job for the first time will be given an entrance rating of "satisfactory" on the Notification of Personnel Action, SF 50. Six months later they will be given an official performance rating.

7. OFFICIAL PERFORMANCE RATINGS. All employees other than those mentioned in Items 5 and 6 above will be given an official performance rating as of 31 March 1951 and annually thereafter on the proper anniversary date of the last official rating.

8. EMPLOYEE RESPONSIBILITY. Each employee will be responsible for:

a. Requesting clarification from his supervisor of performance requirements in any instance in which he is uncertain as to what is requested.

b. Requesting clarification of any assignment that is not clear.

c. Informing his supervisor as soon as he finds that he is unable to meet a requirement after his best effort to meet it.

d. Making his best effort to learn his work and improve his performance within his assigned work and the requirements established for his position.

e. Observing normal rules of conduct and such additional rules as may be established.

f. Observing ways in which performance of his work can be improved and calling such ways to the attention of his supervisor for possible inclusion in his assigned work.

g. Being ready to prove his points when he files an appeal.

9. SUPERVISOR RESPONSIBILITY. Supervisors will use every reasonable means, such as training, orientation, discussion, and demonstration to assist employees to meet or exceed the requirements of their assignments and will keep employees currently informed as to how well they are meeting requirements.

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10. REVIEWS AND APPEALS.

a. Satisfactory Ratings.

Any employee who has evidenced in all aspects of his work that his official performance rating of "satisfactory" is in error may request one review of the action. The review may be either by the Civilian Awards Committee through a written request within 30 days of the date of the unacceptable rating; or he may file a similar request in triplicate with the Chairman, Performance Rating Board of Review in the appropriate office of the U. S. Civil Service Commission. Only one review of a rating of "satisfactory" may be requested. The decision of the review authority selected is final.

b. Unsatisfactory Ratings.

Similarly, any employee who has evidence that his official performance rating of "unsatisfactory" is in error may request a review by the local Grievance Commitee (30 days limit); if not satisfied with the decision, he may (within 30 days) appeal to the Performance Rating Board of Review mentioned above. Request for review of a rating of "unsatisfactory" must be filed initially with the local Grievance Committee.

11. PERSONNEL OFFICE SERVICES. Employees may make use of the services of the Civilian Personnel Office in all appeals or requests for review. Reference should be made to the local grievance procedure if appealing an "unsatisfactory" rating.

Supervisors will provide additional information about the performance rating system on request or secure clarification from the Civilian Personnel Office.

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Job Description
Japanese Youth Specialists

1. Job Controls

Works under the direct supervision of the assistant civil education officer in charge of youth affairs, as directed by the civil education officer. Work is reviewed by study of verbal and written reports and by a continuing evaluation of results obtained. Weekly activity reports will be submitted to regions.

2. Major Duties

Assists civil education personnel in the implementation of that part of Operational Directive No. 2, CAS, GHQ, SCAP, 10 March 1950, which deals with "Youth Associations," paragraph 2f, (1-11), with the exception of par. 2f (2), which deals with political ideologies.

3. Specific Duties

a. Close liaison with officials of the Japanese Youth Associations (Seinen-dan), local and prefectural.

b. Liaison with all public and private agencies which are interested in the welfare of youth, such as the social education section of departments of education, parent-teacher associations, citizens public hall advisory committees, teachers' associations, Boy Scout and Girl Scout councils, and religious groups.

c. Constant contact with youth leaders and youth groups to assist them in the preparation of interest-programs.

d. Preparation of suggested interest-programs to be distributed to youth leaders and youth groups after approval by the civil education officer.

e. Promotion of local adult youth committees and/or councils.

f. Assistance to youth in securing meeting places.

g. Development of plans for financing youth activities.

h. Maintenance of regularly scheduled office hours.

i. Submission of periodic and special reports to the civil education officer as required.

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4. Job Limitations

a. The youth specialist will:

(1) Confine his activities strictly to assisting the Japanese in developing only those youth programs approved by Civil Affairs Section, GHQ, SCAP.

(2) Issue no orders to Japanese individuals or organizations, either in the name of the specialists of Civil Affairs, or of the Occupation.

(3) Give no advice to Japanese individuals or organizations, either in the name of the specialist, of Civil Affairs, or of the Occupation which may be interpreted as directive in nature.

b. The youth specialist will initiate no programs and promulgate no policies without prior approval of the civil education officer.

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