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PUBLIC WELFARE SECTION
KANTO CIVIL AFFAIRS REGION
APO 500

HWS/ml

28 February 1951

MEMORANDUM FOR: Commanding Officer
Kanto Civil Affairs Region
APO 500

SUBJECT: Recommendation for Outstanding Performance Rating -
George Hoshino, GS-9, Public Welfare Adviser (Trainee)

1. It is requested that this memorandum recommending a performance rating of "Outstanding" for the above-named be reviewed and forwarded through channels to the appropriate authorities.

2. There are two inclosures with this memorandum:

- a. Job description for Mr. Hoshino.
- b. Statement of requirements for satisfactory performance.

3. Mr. Hoshino has been under the supervision of the undersigned since 10 August 1950, at which time he was transferred from the Public Welfare Section of Kinki Civil Affairs Region. Mr. Hoshino's efficiency rating at the time of transfer was "Excellent."

4. Mr. Hoshino came into the section at a time when several public welfare advisers had terminated. Personnel changes and the reduction of staff created immediate problems of administration within the section. The undersigned had taken over the section two weeks prior to Mr. Hoshino's assignment and was faced with the problem of reorganizing the section and familiarizing himself with his new assignment and responsibilities. It was, therefore, necessary that immediate action be taken to continue work with programs started by those public welfare advisers who had recently left the section. It was also necessary to plan long-range projects that would include coverage of present program requirements as set forth in existing operational directives.

5. Following a conference with Mr. Hoshino immediately after his assignment, an understanding was reached concerning his area of responsibility and the nature and extent of his work. Mr. Hoshino's previous experience as a prefectural team welfare officer and later as a public welfare adviser in the Welfare Section of a regional Civil Affairs

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operation equipped him for the assignment in Kanto Region. He was already familiar with Japanese governmental organization, welfare legislation, and Japanese social, economic, and governmental conditions. His knowledge of public welfare organization in the large cities in Kinki Region was felt to be extremely valuable and could be applied in Kanto Region. It was, therefore, unnecessary to devote a great deal of time in orienting Mr. Hoshino to his new responsibilities and the Japanese programs, but merely to outline his broad responsibilities within the section and the general procedures of this headquarters. His experience and ability enabled him with very brief examination and study of certain material already accumulated in the section to judge accurately the level of development in public welfare offices at the various governmental levels in Kanto Region. It was not necessary for him to make exhaustive studies which would have required several months in exploring programs in Kanto Region.

6. In conference with Mr. Hoshino, it was determined that all of his time would be devoted primarily to public assistance programs, and at the same time, it was recognized that coverage of the public assistance programs would relate to child welfare, institutional programs, and private agency activities. It was also decided that his responsibilities could best be carried out by operating on a project basis. In other words, specific objectives were pre-determined. These projects included the following:

a. The Kanto Medium-Sized City Welfare Council: It was determined that Mr. Hoshino would organize and plan and carry out his work on this project by pulling together all cities in Kanto Region classified as "medium-sized." The project on the Kanto Medium-Sized City Welfare Council would include the following activities:

- (1) Surveillance of public welfare operations in the medium-sized cities.
- (2) Analysis and study of those findings for the following purposes:
 - (a) To determine whether or not public welfare administration at the city level is in conformance with current directives and regulations.
 - (b) To determine whether or not the present methods of operation insure that program services are available to those persons for whom they are intended.
 - (c) If it is determined that program administration and operation is inadequate, to devise within the limits of existing laws and regulations, methods to improve or to change local administration in such a manner that services are improved and that the occurrence of disease

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and unrest caused by need, is prevented.

- (d) If city welfare administration is determined to be inadequate, make plans and recommendations for bringing about the desired changes.
- (e) To determine methods and means of carrying out plans devised.

Mr. Hoshino successfully accomplished the project outlined above. It was impossible to set deadlines for the accomplishment of the project listed above. Mr. Hoshino's success in carrying out this project cannot be finally determined at this time because the events and developments growing out of the project are continuing. The accomplishment of the project involved working with welfare officials in 17 different cities. Mr. Hoshino made individual visits to each city, at which time the programs were reviewed. Following the reviews, analyses were made, weaknesses and inadequacies were studied, ways and means of correcting inadequacies were then devised. At this point Mr. Hoshino decided that the job of correcting program deficiencies in each of the 17 cities was about the same. In other words, all of the cities had common problems. He, therefore, worked with the Japanese welfare officials in forming a council known as the Kanto Medium-Sized City Welfare Council. Three meetings of this council have been held. Meetings were conducted by the Japanese welfare officials themselves who, with Mr. Hoshino's assistance, were able to carry full responsibility for the meetings and to not only plan, but to actually reorganize their operations. The Medium-Sized City Council has set down the pattern of organization and operation for medium-sized cities and has established general principles that may be used in any welfare office in Japan. This has been accomplished within the limits of existing laws and regulations, even though Ministry of Welfare-prefectural welfare department instructions for guidance of city administration have not been all that was desired. The Council has reached agreement concerning the best administrative structure for their cities; they have determined the proper division of responsibilities within the welfare section; they have set up personnel classifications and standards, procedures, forms, and office plans. The outstanding factor in this project is that it has been accomplished by the Japanese welfare officials themselves who, with Mr. Hoshino's technical guidance, have been able to carry full responsibility for their own action. It is, therefore, certain that the reorganization is not a temporary one. Japanese governmental programs have traditionally been planned by the central government and imposed by directive upon lower levels of government who had little, if any, participation in making recommendations for programs they would be required to administer. In the development of the Kanto Medium-Sized City Welfare Council, there has been little participation on the part of the Ministry of Welfare; however, prefectural welfare departments are becoming increasingly aware of the fact that the experience of the city people is invaluable in planning programs, as well as in carrying them out.

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b. Manuals of Public Assistance: It was recognized by Mr. Hoshino that it would be necessary to accumulate and to consolidate and to formalize all the information concerning reorganization in the medium-sized cities. Therefore, at his suggestion the Kanto Medium-Sized City Welfare Council has undertaken to write a manual which will include all of those factors which concern reorganization of the city welfare sections. Several cities have already completed manuals, but recognized that they are incomplete. This resulted in pooling of their efforts and the establishment of a manual that would meet the needs of all of the cities. Theoretically, the manuals should have been developed by the Ministry of Welfare or prefectural welfare departments. However, the needed manuals were not forthcoming, thus necessitating local action. This has actually created a spirit of competition, and there are now signs that prefectural welfare departments, as well as the Ministry of Welfare, are ready to move ahead and assume responsibilities which are rightfully theirs. It is the opinion of the undersigned that manuals of operation would not be in existence were it not for Mr. Hoshino's development of the Kanto Medium-Sized City Welfare Council.

c. Reorganization of Yokohama City Welfare Administration: The problem of reorganizing public welfare administration in large cities, such as Yokohama, was much more difficult than in the medium-sized cities. This is primarily because of the over-all city method of administration which involves the wards. Welfare programs in Yokohama City were carried on under the ten separate ward chiefs. Analysis and study revealed that this method of administration is expensive and inefficient. It was decided that public welfare programs could best be administered by a centralized city welfare bureau. City legislation did not permit such an organization; however, through Mr. Hoshino's efforts and his work with the officials concerned, it was possible to point out that efficiency could be established and that money could be saved through a central welfare program. The Yokohama City Assembly passed the necessary legislation. The entire project of reorganization in Yokohama City has been extremely well documented by Mr. Hoshino and has been submitted to higher headquarters in a special report.

d. Public Welfare Statistics and Reports and the Compilation Thereof: Effective 1 January 1951, the Ministry of Welfare completely revised statistical reporting forms that affected every city, town, and village welfare office in Japan. This revision of forms presented numerous problems for the city, town, and village offices. Mr. Hoshino became aware of the fact that this problem needed to be given attention if statistics were to have any meaning or were to have any validity. Clerical administrative processes in the welfare offices had been cumbersome and inefficient. Recognizing that there is a need for clarification and simplification in this area, Mr. Hoshino worked with Japanese welfare officials in the establishment of a centralized section within each city welfare office and set up a project to handle statistics and the compilation thereof. The ~~Machinery~~ ~~shortening of the council's~~ ~~was~~ ~~already~~ ~~established~~ ~~in the form of the Kanto Medium-Sized City Welfare Council.~~ Before bringing the problem

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were held in major cities, in order to secure complete knowledge of the problem and to determine how it was being handled at the present time. It was found that certain personnel (case workers) had so much responsibility and spent so much time on statistics and reports that they were unable to perform other more important duties. With Mr. Hoshino's suggestions, certain cities and certain areas within Tokyo-To were able to devise methods of relieving the case worker of statistical responsibility and for moving the statistical function into another section. The experience of Tokyo-To and other large cities was then presented and discussed at a meeting of the Kanto Medium-Sized City Welfare Council where unanimous approval on the new system of statistical reporting was made.

7. Mr. Hoshino's performance has been far beyond requirements laid down for surveillance and technical guidance. It has set a completely new pattern for Japanese welfare programs in Kanto Region. Furthermore, the bases for future development and continued growth are established. His studies and reports are accurate and significant. They contain much more than the kind of information that is found in routine surveillance reports and inspection reports. All of the information contained in these reports is available in special reports, memoranda for the record submitted to the undersigned, and in summaries presented in the Annex B-2 (Monthly Activities Reports).

2 Incl
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Pub Welf Adv
Job Descrip - Pub Welf Adv

ROBERT W. STEMPLS
Chief
Public Welfare Section

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DEPARTMENT OF THE ARMY JOB DESCRIPTION FIELD SERVICE			
1. INSTALLATION GHQ, SCAP, APO 500		2. JOB NO. 929	
3. TITLE Public Welfare Advisor		4. PAY CATEGORY Class Act GS-102	5. OCC. CODE 6. GRADE
7. EVALUATION APPROVAL <small>Grade and title of this job have been fixed in accordance with Department of the Army official policy and grade level standards.</small>		Barbara Kirodjan <small>(SIGNATURE)</small>	April 6, 1950 <small>(DATE)</small>
8. CITATION TO APPLICABLE STANDARD AND ITS DATE OF ISSUANCE C S C Specifications for Social Administration Series dated June, 1947			
9. JOB CONTROLS, DUTIES, AND CONDITIONS OF WORK <small>(Indicate percent of time for each duty, where pertinent)</small>			
<u>JOB CONTROLS</u>			
<p>Under the general direction of the Chief, Public Welfare Section, as to basic assignments, implementation of policy or program directives and assistance by means of discussions, participation in work planning, and concurrence of proposed action plans.</p> <p>End products of work are subject to review and approval prior to submission to higher authority; however field operations are independently planned and conducted within established policy and procedural limitations. Regular work is evaluated in terms of accomplishment, effectiveness of results obtained.</p> <p>Regulatory control consists of operational directives from Civil Affairs Section, regional procedure or other instructions as issued.</p>			
<u>MAJOR DUTIES</u>			
<p>Incumbent is charged with responsibility for surveillance, technical guidance, reporting, evaluation of functional programs such as social insurance, public assistance or child welfare, disaster relief, private agencies, institutional programs, or for broad studies covering phases of operation such as organization as applied to all the above programs. Assignments may be confined to subject matter areas or may be generalized to cover any phase of the total program, including private agency programs such as Japanese Red Cross, LARA, Community Chest, etc. A sound knowledge of current Japanese legislation and SCAP operational directives governing public welfare programs, an understanding of Japanese social, political and economic conditions and a knowledge of Japanese governmental organization structure and responsibilities is essential.</p> <p>1. Plans and conducts field visits for the purpose of contacting prefectural and local welfare officials or other individuals concerned with assigned or related subject matter areas. Conducts administrative reviews of organization, proposed program plans, personnel assignments, procedure and other phases of operations of public and private welfare organizations, child welfare centers, insurance sections, institutions, relief organizations, etc. Assists prefectural officials in developing sound plans for their own independent conduct of administrative reviews at lower levels to insure conformance to basic welfare concepts and principles, to obtain maximum benefits from available services and to meet the needs of individuals. Evaluates adequacy of methods, resources utilized, soundness of financial expenditure distribution. Checks for compliance with</p>			

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JOB CONTROLS, DUTIES, AND CONDITIONS OF WORK—CONTINUED

directives from the Ministry covering reorganization and procedures. Interprets and clarifies the intent and meaning thereof to insure uniform application. Suggests plans for purpose of training the Japanese to carry out sound future program.

2. Investigates facilities, office administration procedures, maintenance of records, assignment and training of paid personnel, referral and admittance practices, etc. Makes recommendations such as consolidation and simplification of records and case reports, improved operating techniques and organizational structure. Assists with planning and development of pilot or model centers, prepares and delivers lectures on all or any aspect of social work, renders guidance as to in-service training or education programs, stimulates recognition of problems, need for mutual interest program activity. Checks for violations of procedures, excess or wasted expenditure of funds, variance in methods and techniques or lack of understanding of the true purpose and concept of legislation.

3. Through above regular work processes supplemented by observation and analysis of collected information, statistics and special reports, etc., evaluates the strength and weakness of existing programs in the various areas. Determines major problems requiring immediate or concentrated attention and assistance. Requests additional reports or information as required. Adapts basic principles of social work administration to conditions or peculiarities, develops and distributes practical example material for use as guides. Assists in standardizing and simplifying collection and utilization of statistics, records, etc. Conducts follow up contacts, observation inspections, etc. to determine degree of progress, accomplishment of plans, etc.

4. Responsible for coordinating assigned work with other Civil Affairs programs such as Public Health, Legal and Government, Labor. Discusses mutual interest programs, proposed plans, problems. Furnishes information obtained during course of regular field work of interest to other programs. Based on a working knowledge of other fields of work, the objectives, status and priority thereof, assists the Japanese with regular problems or secures sufficient information for referral to proper sources.

5. Prepares detailed and comprehensive reports of field activities covering administrative reviews, conferences, findings, recommendations made and other information of value for reference or informational use. Also compiles material covering assigned work areas for inclusion in the Monthly Activity Report for

10. CERTIFICATION

ORGANIZATIONAL LOCATION:

I HEREBY CERTIFY THAT THIS STATEMENT ACCURATELY AND COMPLETELY DESCRIBES WORK PERFORMED IN ONE OR MORE POSITIONS IN THE ABOVE ORGANIZATION SEGMENT:

(SIGNATURE OF ANALYST)

(SIGNATURE OF APPROVING SUPERVISOR)

11. REAUDIT CERTIFICATION

DATE					
SUPERVISOR'S APPROVAL					
ANALYST'S APPROVAL					

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submission to Civil Affairs Section or special reports as required, and as may be indicated during progress of work. Selects information of interest and value for submission to higher authority, formulates conclusions and recommendations pertinent to trends, reasons for delay in accomplishment of SCAP programs, needs for changes in legislation, etc. Such work is subject to review and concurrence of supervisor and the Region Chief.

May perform other incidental duties as assigned.

PUBLIC WELFARE SECTION
KANTO CIVIL AFFAIRS REGION
APO 500

RWS/ml

28 February 1951

MEMORANDUM FOR: Record

SUBJECT: Statement of Requirements for Satisfactory Performance -
Public Welfare Adviser

1. Welfare adviser will be responsible to the section chief for general direction, basic assignments, review of end products of work, and approval prior to submission to Civil Affairs Section, SCAP.
2. Welfare adviser will be charged with responsibility for surveillance, technical guidance, reporting, evaluation of the administrative organization in the Japanese public welfare programs in the ten prefectures under the jurisdiction of Kanto Civil Affairs Region. Emphasis will be in the public assistance program, but will include those aspects of child welfare, institutional programs, social insurances, and private agencies as they relate to the general administrative organization of the Japanese governmental welfare program. Organization will include prefectural, district, and city, town, and village level operation.
3. Welfare adviser will be required to familiarize himself with pertinent Japanese legislation, SCAP directives governing the welfare programs, Japanese governmental structure and operations, and Japanese social, political, and financial conditions as they relate to the areas of responsibility assigned.
4. Adviser will be required to plan and conduct field trips, administrative reviews, and conferences for the purpose of accomplishing the responsibility assigned. This shall include inquiries into the organization, proposed plans of Japanese officials, personnel assignments, procedures, and operating methods of the offices. He will assist prefectural and city officials to develop plans for local welfare offices. He will evaluate adequacy of methods, resources utilized, soundness of financial expenditure, and compliance with Ministry of Welfare directives, or agreement with sound social welfare practice.
5. Adviser will be required to prepare and submit to the chief reports of all field trips, conferences, and reviews. Reports will include summary of findings, evaluation, and recommendations. At least two reviews per month will be in such form as to comply with the provisions of Operational Directive No. 7, Civil Affairs Section, GHQ, SCAP, 1950. Each month adviser will be required to submit to the chief a summary of activities engaged in during the preceding month for incorporation into the monthly Annex B-2 to the Civil Affairs Activities Report. This summary will be in draft form and will include the general area of administrative organization. Findings of

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reviews or field trips, evaluations, and special projects will be discussed. Programs such as public assistance, child welfare, administrative services, social insurances, will be discussed as they relate to the general organizational field. As requested by the chief, special reports or memoranda will be prepared on specific subjects for submission to higher headquarters or for use in discussions with Japanese welfare officials.

6. In terms of quality, the adviser must conduct trips and reviews in such manner as to secure sufficient information to enable the section chief to evaluate and make recommendations to Japanese officials for improvement, and to keep informed of developments in the Japanese welfare programs as are dictated by the instructions of the Welfare Ministry and recommendations of this headquarters. Formal reviews in accordance with Operational Directive No. 7, Civil Affairs Section, SCAP, 1950, will be in draft form, but in final content. Special reports requested by the chief will be similarly in draft form, but final content.

7. In terms of quantity, the adviser will be expected to conduct a minimum of two reviews a month to fulfill the requirements of Operational Directive No. 7, Civil Affairs Section, SCAP, 1950. Additional conferences, field trips, and reviews will be conducted as deemed necessary by the adviser to fulfill the assigned responsibility of surveillance and technical assistance.

8. Adviser will be required to use his own methods of work and contact with Japanese officials subject to the general concurrence of section chief. He will be expected to plan and to submit to the section chief suggested areas of emphasis as deemed necessary, and to report on progress on development of programs.

9. Adviser will be permitted to make decisions on organizational and operational matters within welfare offices when requested by Japanese officials within the limits of present Japanese legislation and instructions. On matters involving national policy and change in laws and regulations, section chief must be consulted. Recommendations to the Japanese officials will be within established laws and regulations. Recommendations which conflict with established laws and regulations will be made to the section chief for discussion with higher headquarters. In this connection, therefore, adviser must acquaint himself thoroughly with established legislation.

* ^{INCUMBENT} 10. Adviser will be required to maintain a respectable appearance before Japanese officials and the section staff and to conduct himself in such manner as to secure their respect, and in no circumstances to antagonize Japanese officials by an authoritative attitude, harsh criticism, or display of anger. Japanese officials will, at all times, be treated courteously, and ~~adviser~~ will endeavor to secure their cooperation in making recommendations. Japanese welfare officials must be allowed to present their problems and interests freely and ~~adviser~~ must be willing to offer leadership and advice on those problems.

ROBERT W. STEMPLE
Chief

SUBJECT: Recommendation for Rating of Outstanding for George Hoshino, GS-9, Welfare Advisor, Kanto Civil Affairs Region.

THRU: Chief, Kanto Civil Affairs Region.

TO: Civilian Awards Committee, GHQ, SCAP.

1. In accordance with Paragraph 4-4, Civilian Personnel and Payroll Letter No. 17-50, Department of the Army, Civilian Personnel Division, dated 15 December 1950, Mr. George Hoshino, GS-9, Welfare Advisor of the Public Welfare Section, Kanto Civil Affairs Region, is recommended for the ^{Person} rating of "outstanding".

2. Mr. Hoshino was transferred from a similar position with the Kinki Civil Affairs Region, 10 August 1950, and is being rated for the period beginning with date of assignment with this headquarters.

3. Mr. Hoshino's experience on a prefectural team and in a region which includes major cities, had equipped him for the assignment in Kanto Region, ~~an organization~~. He was familiar with the Japanese governmental organization, and the welfare legislation, Japanese social, economic, and governmental conditions. Extremely valuable was his knowledge of major city organization in the public welfare programs in his work in Tokyo To, Yokohama City, and the surrounding medium sized cities of Kanto Region. It was not necessary therefore to orient him to his responsibilities and the Japanese programs, but merely to outline his broad responsibilities within the section, and the general procedures of this headquarters. His experience and ability, enabled him with very brief examination and study of the material already accumulated by preceding advisors, to judge ~~with considerable~~ ^{accurately} precision, the level of development in Kanto region welfare offices, ~~and to accept the work of those who had preceded him.~~ It was not necessary for him to spend

inclusion

Generally speaking, one case is
the ill adjustment of office business or
the other is the inclusion of home visit.

Other details ~~are given~~ would be
explain by another person.

months exploring the program in Kanto Region.

4. Much of the success Mr. Hoshino has had in ~~working~~ ^{working} with the Japanese officials in encouraging them to move ahead in face of traditional opposition to change and in a new field, lies in his ability to so organize and lead individual cities within a group, ~~so that the group progresses, at the same time carrying along the individuals with it. (The progress therefore represents, not the imposition of the~~ This necessitates the ability to recognize strengths and utilize them for leadership to the group, at the same time to recognize weaknesses and utilize the pressure of the group to overcome these weaknesses. ~~The progress made therefore, is not merely the imposition of American systems and methods by a civil affairs officer upon the Japanese, but the result of Japanese officials working together in a group on common problems, and reaching agreement. This~~ ^{Hoshino's} methods ~~in dealing with these conferences~~ contrast with the usual practice of a lecture by a civil affairs officer. Instead, he has exploited the strengths of individual ^{officials} to give leadership to the group, at the same time using the weight of the group to ~~overcome~~ ^{and reluctant} overcome the weaknesses. ~~This~~ This requires extensive preparatory work with individual officials, but ~~at the same time~~ ^{the Japanese officials} ~~are prepared~~ to present their problems, discuss them, and arrive at conclusions ~~with~~ with a minimum of participation by civil affairs. The progress made therefore, is not the imposition of American systems and methods ~~upon~~ by a civil affairs officer upon the Japanese, but the result of Japanese officials themselves working ^{together in} in a group on common problems. They can be regarded as permanent contributions to Japanese social welfare.

#2

if the reports made by city.

~~with~~
~~city~~
~~reports~~

As for the ~~contents~~ of Office Business, there are lots of omissions of the contents ~~reported~~ ^{if any} because of the ~~stuff~~ ^{under the classification}.

If I tell you the details, for instance, the course of protection are ~~not~~ hardly reported on the Ugo-daicho. The approval foundation for income is not clear. Especially income

of a day-laborer or a side work should be ~~investigated~~ more often, but most of them have not ^{been} investigated. As the decision of ~~it~~ ^{this is out of question,}

is done by the standard, ~~what is the~~ but they must consider the case which is not ~~increased~~ yet ¥500 for laborers under

the regulation. The documents which forms are already filed, should be filled up & understood by any person without any explain of the participants.

From the application to the decision, the term is ~~not~~ well adjusted, and the representation of the reports to the city is also well adjusted.

5. ~~Mr. Hoshino was the first to propose the plan to~~ Traditionally Japanese governmental programs have been planned at the central government and imposed by directive upon lower levels of government for enforcement. In the ^{new social} field of welfare however, there has been little experience on the Ministry level, and on the prefectural level. Legislation instituted on the guidance of SCAP while providing basic policy, is lacking in the ~~implementing~~ instructions for implementation. Field supervision from Ministry and prefecture has been practically nil. ~~on the other hand,~~

It would be expected that the leadership in the new welfare programs should come from the Ministry and prefectural departments. Mr. Hoshino was the first to propose that this be reversed, ^{and} that the cities who are charged with enforcement of legislation, be encouraged to work out their own plans of organization and operation, and that through this process, competitive pressure be brought to bear against prefectural ~~and~~ departments and the Ministry. This necessitated the forming of the cities into ~~an~~ organized groups, capable of working out plans, and strong enough to move ahead in a new field and (in the face at times) of prefectural and Ministry opposition.

6. Mr. Hoshino first proposed and later formed the groupings within Kanto region, viz, Tokyo ^{To}, ~~which is a distinct~~ Yokohama City, the medium sized cities, the small cities, and the town and village areas. Tokyo To is treated separately as a distinct unit. Yokohama groups with the other five big cities of Japan and since Mr. Hoshino had worked in the Kinki area with the ~~other~~ three big cities there, he was able to influence Yokohama to move along with them and indirectly, ~~xxx~~ through Yokohama, to influence the other cities. The 17 medium sized cities were formed into the Kanto

medium sized city welfare council. ~~These activities~~ Emphasis was placed

on these first three strategic groups - the small cities were expected to

follow their leadership, and ~~that~~ within the town and village

areas, it was proposed that welfare districts be established, ~~the organization~~

~~of which~~ the pattern of organization of which would be governed by the *principles*

~~that~~ laid down in the medium sized cities. Though these groups has come

the pattern of organization now established in the Japanese welfare

offices.

7. Mr. Hoshino proposed that he be permitted to operated on a functional

project basis in his assigned *area* of responsibility. ~~His suggested projects~~

~~are these strategic and are all of basic importance.~~ *Unusually outstanding*

to his ability to select those projects of strategic and basic importance,

~~his methods of plan~~ *his* approach and methods of accomplishment, and his

ability to accurately forecast the rate of progress, ~~and thus~~ to predict the

probable course of development to the conclusion. In all his projects,

his diagnoses and predictions have been born out. ~~His~~ *His* work

on a project basis has enabled him to ~~select~~ select those

projects in areas of strategic importance, ~~and~~ set down plans for

accomplishment, and to mobilize the resources of the Japanese officials

toward that objective without being shunted aside on ~~irrelevant~~ or

minor tangents. His accomplishment therefore are ~~complete~~ *significant,* and *complete*

~~permanent, and are listed:~~ *Among his projects are:*

A. The medium sized city council has set down the pattern of organization

and operation for medium sized cities and general principles for any welfare office. *in Japan.* This

in spite of the absence of any Ministry or prefectural instruction *for guidance*

of city administrators.

(2) Remove such non-welfare functions as rent control and construction which are in one division of the present Welfare Subsection.

(3) Remove the handling of ship company's claims for insurance damages from Welfare operations.

(4) Plan for the removal of private agency activities such as Red Cross and Community Chest working offices from the functions assigned to the public welfare officials.

(5) Organize the Welfare Section so that it has two subsections one of which is a protection that is, case work Subsection in which at least five case workers carry integrated case loads based on geographical areas, and in which there is Intake Interviewer. The other Subsection should be concerned with general affairs, that is statistics, and accounts etc.

d. The office layout should provide for private interviewing space for each case worker and for on intake interviewer. This can be done by separating case workers' desks from one another by screens. The applicants and clients should have a waiting room so that they need not stand until seen.

e. The City Welfare Bureau should begin preparing a manual of operations which would include:

(1) Job descriptions of all personnel particularly at the operating level.

(2) All forms and how they are to be used and routed.

(3) Basic principles in investigation and case work practice.

(4) Office procedures, including use of master index file, case worker control cards, visiting schedules, etc.

f. Various violations of laws, Welfare Ministry instructions, and regulations which were pointed out:

(1) Violation of Sha Otsu Hatsu #39 - dated 27 February 1948 - Community Chest Campaign:

(a) Article 1 - Public officials will not be responsible for collection, accounting, safeguarding or distribution of funds. In Naka-Ku, one official spends 80% of his time on such matters and maintains such accounts and records and receives funds collected.

The council has ~~set~~ down the structure, division of responsibilities, personnel classifications and standards, procedures, forms, and office plans.

B. The council Through his efforts and ~~the~~ *the* of the five big city council, ~~group~~, Yokohama has completely reorganized its welfare program to remove responsibility for administration from the ten wards chiefs to ~~the~~ a single centrally directed administration within the Welfare bureau.

C. The developments in the big ~~cities~~ and the medium ~~sized~~ cities have set standards for organization and operation that are being extended to smaller cities. *of Kanto Region* In Tokyo To, the influence has been so great as to cause ~~establishment~~ *of*

d. In Tokyo To, ~~the~~ *the* complicated by a controversy between ward chiefs and the ~~To~~ bureau, the developments in the big cities and medium ~~sized~~ cities has forced adoption of *similar* basic operational procedures. Further it has so focused attention on the division of responsibility between To bureau chief and ward chiefs ~~that~~ and all the inherent weaknesses of that organization ~~at~~ that it is inevitable that the program ~~in~~ *in* will be reorganized following the pattern of the five big cities, either by direction of the governor, or through national legislation.

e. Manuals of procedures have been badly needed to fill in ~~procedural~~ content, yet prefectural departments because of lack of experience or ~~willingness~~, have been unable or unwilling to compile them for the guidance of city, town, village workers. Standardized records are needed. The work of the two councils has brought them into the area of ~~form~~ procedures and forms and has ~~forced the prefectural departments either to lose their~~ ~~leader~~ threatened their traditional authoritative position and challenged their leadership. *of prefectural welfare departments.* This competitive pressure has finally brought prefectural

s. The records on medical and maternity cards issued must also show whether the cards issued were actually used. Because of this omission, the office only has an estimate on the number of such cases actually receiving treatment each month.

t. Delivery of funeral aid allowance should be more prompt. It has been taking 4 days to issue this and in the meantime client must pay funeral costs out of his Livelihood aid grant.

u. Monthly reports to Prefecture are submitted promptly (by 15th of month to city welfare bureau). Reports are good except on medical expenses due, as the office has no records as to whether all the medical cards issued were used.

v. Staff members are well informed of laws and regulations. A copy of each as received is circulated and all the staff has access to these files.

w. It was not possible to check on the adequacy of handling appeals and rejections because no summary or disposition on findings were recorded.

x. No inspection was made on finances because, the city welfare bureau handles this. The prefecture plans to inspect this aspect when they inspect the city accounts.

4. The prefecture made spot check homevisits on 8 cases, four of whom were at home and interviewed at the time of visit. The findings revealed:

a. On one case they found that the office had not made any change in the grant despite changes in family members and income.

b. In another case they found an "old woman" receiving Public Assistance as a single family unit despite the fact that she was living with her daughter and latter's husband who had 10,000 yen per month from employment and was also receiving a dependents' allowance for the "old woman."

c. In another case they found the recipient had applied for Funeral Aid at the home of the Minsei-iin on 4th of April and no action was taken by Minsei-iin on the case. As a result the client had to use his livelihood grant for this purpose.

d. The four case workers (Nakane, Iwazaki, Nagura and Hirai) made 54 home visits last month. At this rate it would take 8 months to visit all cases. Most of cases were not visited since Dec. 49 Miss Hirasawa, social investigator, was not included in above because she only handle, the investigations of new applications.

departments together and the basic principles for manuals have been set down. ~~and in May~~ final matters will be agreed upon and the manuals developed by each prefecture on a uniform basis. This program was undertaken by the cities and the prefectures in the face of opposition from the Welfare Ministry.

f. The organizational developments have settled once and for all the controversy of voluntary versus the paid worker in the public welfare programs. The setting of personnel ~~classifications~~ ^{the classification of} and job positions and the acquisition of personnel and ^{their} training leaves no room for the voluntary worker in the public programs. This makes obsolete ~~the~~ national laws such as the ~~Minseiwonin~~ Welfare Commissioner Law and those provision of other national laws providing for voluntary workers in national programs. ~~It~~ and eventually ~~will~~ bring about their rescission. This ~~is~~ represents a complete turnabout in the concept of social welfare in Japan which formerly was based in the voluntary welfare commissioner or minseiin, and lays the foundation for future ~~development~~ growth and development of a corps of professionally educated and trained career social workers in Japan.

9. Clerical-administrative processes in ~~Japan~~ the welfare offices have ~~been~~ been cumbersome and inefficient. Recognizing that there was a need for clarification and simplification, in ~~the~~ ^{during the development of} ~~the~~ ^{organization,} Mr. Hoshino worked toward the establishment of centralized general affairs sections in all offices and ~~later~~ and a later project was to set down specific operational methods. Specifically in compilation of reports, ~~the~~ ^{reports} project ~~set down~~ developed a statistics compilation system that was to relieve all case workers and other officials from clerical-statistical work and ~~its~~ centralization.

5. Findings and recommendations of prefectural Child Welfare Section administrative review.

a. Considers the assignment of 2 persons, Mr. Yamanouchi and Miss Hosoi, on Child Welfare matters as adequate. Both are considered as qualified as the former is a Waseda University graduate and the latter is high school graduate.

b. The Welfare sub section is considered responsible for handling investigations of Child Welfare cases under Article 23 and 24 of the Law but they have not handled any to date. (Article 23 - Admission to Boshiryo, Art. 24 - Nursery care) These investigations are being done by the Child Welfare official and Minsei-iin.

c. The Child Welfare official attached to the Ward is in close liaison with the office as he spends 3 days per week here. On other days he can be reached by telephone through the Yokosuka Child Welfare Center (he lives in Yokosuka) or at his home if necessary.

d. There are 82 Jido-iin in the Ward. They are active only when requested. They do nothing on their own. The statistics of the 82 Jido-iin revealed they during March handled one case under Art. 24 and 2 case under Art 27 and gave 4 consultations. He thinks the Jido-iin are not active enough. The Welfare Bureau requested the Jido-iin to submit a report on their case handling for Jan. to Mar. by 31 April. Only 5 Jido-iin out of the 82 submitted any report.

e. The Ward has no Child Welfare record on each Child Welfare case of the area. A record on each should be in Welfare Sub section.

f. Under the revised Child Welfare Law the Jido-iin should submit Child Welfare cards on their cases. None have done so.

g. He recommends a Child Welfare Council for the area.

h. The Jido-iin Council is meeting when the Minsei-iin Council meets - on 20th of each month. The problems discussed at the last meeting were -

(1) Establishment of Playgrounds for children. Have 1 in Naka-ku and have applications for 30 more.

(2) Child Welfare Library - 16 lending libraries were established in each home of Standing district Jido-iin a total of 700 books were secured and paid for out of community chest funds allocated to the Naka Welfare Works Association, a branch of city Welfare Works Association.

i. No teacher, PTA members, or police have been invited to Jido-iin Council meetings.

775 013

such work into

directed of policy from above and the blind obedience to such authority regardless of whether it is meeting the public need.

a single statistical unit which handles all statistics uniformly and efficiently. The project was developed in pilot offices, and through the ~~area~~ councils, extended throughout Kanto region.

7. The development of the councils has brought to the welfare program, an awareness of the need for ~~with~~ the participation of local administrators in planning national policy and legislation. ~~With~~ Prefectural officials are ~~with~~ completely inexperienced in welfare and ~~this has caused~~ City workers are becoming increasingly critical of prefectural and Ministry leadership.

This will serve to ~~force~~ prefectural departments to secure better welfare officials and to revise present personnel practices to permit vertical promotion of capable city ~~with~~ welfare workers into prefectural departments and the Ministry.

It is a shocking example to Japanese that real progress can come from public servants at the operating level who interpret the needs of the public to policy levels instead of the imposition, by

79. Mr. Hoshino's performance has been far beyond the requirements laid down for surveillance and technical assistance. It has set a complete pattern ~~or~~ for the Japanese welfare program, ~~which normally should have come~~ *and the basis from which the future developments should continue to grow* ~~about through the leadership~~ all without ~~excessive~~ *excessive* participation ~~and~~ which would stamp them as personal projects and which might become merely temporary impositions.

8. His studies and reports are accurate and significant. They are far ~~beyond~~ *more than* the routine surveillance report/because they are geared to ~~assist~~ the specific project upon which he was engaged. They are therefore invaluable in forming policy ~~and making recommendations~~ *and usable in future programs*. His summarizations of completed projects are ~~of~~ *examples* of clarity and completeness, ~~and~~ for example the "Study of Reorganization of Yokohama City welfare Program and Establishment of Public Welfare Security Offices".

Stemple

j. The Naka office has under the CW law -

- (1) 10 families (29 members) in Boshiryos.
- (2) 23 children (21 families) in Nurseries

k. In addition the following cases are pending in office:

- (1) 27 children who should be placed in nurseries.
- (2) 34 children who need institutionalized care because of feeble-minded men, deformities and etc.,

l. Case records on cases received since April are more adequate. But necessary case records are not clear on their eligibility for free or part pay. Cases with income over the Welfare Ministry Minimum standard should be considered for acceptance.

m. In the Runbinien nursery he found one of the nurses had her child placed in the nursery under the CW law for free care. This case is being investigated further by the Prefecture.

n. Investigations of legal supporters ability to pay is not complete.

o. In case a child is encharged from an institution a note is sent only to institution - it should also be sent to parent or guordion.

p. The determination of cost of care to Child Welfare institutions is done by the Prefecture. Payments to institutions are made by the Ward in accordance with the correct rates and are paid our regularly by the Revenue officer.

q. Reports on the number of inmates and nursery lunches in child welfare institution are submitted accurately and promptly.

r. The Ward is regularly circulating laws, regulations and instructions among institutions.

s. There is no system on handling appeals and rejections under the Child welfare Law. One women appealed for admission to a Boshiryos but was rejected because her income was considered sufficient for her to live in private quarter (the standard used for determining eligibility is not more than 150% of the Welfare Ministry minimum livelihood aid standards under DSL. This is a verbal understanding).

t. There is no program for prevention of Juvenile delinquency in the Ward - there are about 26 young vagrants wandering Ward for which something should be done.

775 013

MEMORANDUM : FOR RECORD
 SUBJECT : STATEMENT OF REQUIREMENTS FOR
 SATISFACTORY PERFORMANCE -
 PUBLIC WELFARE ADVISOR

~~Performance Requirements: For George Hoshino, GS-9, Welfare Advisor (Trainee),~~

~~Public Welfare Section, Kanto Civil Affairs Region.~~

~~Supervisor:~~

~~Robert W. Stemple, GS-12, Chief, Public Welfare
 Section, Kanto Civil Affairs Region.~~

~~Job Description:~~

~~No. 929, Public Welfare Advisor, GHO, SCAP.~~

- (1) Welfare advisor will be responsible to the section chief for general direction, basic assignments, review of end products of work and approval prior to submission to Civil Affairs, Section, SCAP.
- (2) Welfare advisor will be charged with responsibility for surveillance, technical guidance, reporting, evaluation of the administrative organization in the Japanese public welfare programs in the ten prefectures under the jurisdiction of Kanto Civil Affairs Region. Emphasis will be in the public assistance program, but will include those aspects of child welfare, institutional programs, social insurances, and private agencies as they relate to the general administrative organization of the Japanese governmental welfare program. Organization will include prefectural, district, and city, town, and village level operation.
- (3) Welfare advisor will be required to familiarize himself with pertinent Japanese legislation, SCAP directives governing the welfare programs, Japanese governmental structure and operations, and Japanese social, political, and financial conditions as they relate to the areas of responsibility assigned.
- (4) Advisor will be required to plan and conduct field trips, administrative reviews, and conferences for the purpose of accomplishing the responsibility assigned. This shall include inquiries into the organization, proposed plans of Japanese officials, personnel assignments, procedures, and operating methods of the offices. He will assist prefectural and city officials to develop

Roman
in the
Investigation
under
DLSC

Terry

James G. Thompson

先月 廿日 市庁 衛生局 衛生局 衛生局

実施状況を調査し、市庁衛生局衛生局衛生局

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plans for local welfare offices. He will evaluate adequacy of methods, resources utilized, soundness of financial expenditure, and compliance with Ministry of Welfare directives or ^{agreement with} sound social welfare practice.

(5) Advisor will be required to prepare and submit to the chief, reports of all field trips, conferences, reviews. Reports will include summary of findings, evaluation, and recommendations. At least two reviews per month will be in such form as to comply with the provisions of Operational Directive No. 7, Civil Affairs Section, GHQ, SCAP. ¹⁹⁵⁰ Each month, advisor will be required to submit to the chief, a summary of activities engaged in during the preceding month for incorporation into the monthly Annex B-2 to the Civil Affairs Activities Report. This summary will be in draft form and will include the general area of administrative organization. Findings of reviews of field trips, evaluations, and ~~discussions~~ special projects will be discussed. Programs such as public assistance, child welfare, administrative services, social insurances, will be discussed as they relate to the general organizational field. As requested by the chief, special reports or memorandums will be prepared on specific subjects for submittal to higher headquarters or for use in discussions with Japanese welfare officials.

(6) In terms of quality, the advisor must conduct trips and reviews in such manner as to secure sufficient information to enable the ~~section~~ chief to evaluate and make recommendations to Japanese officials for improvement, and to keep informed of developments in the Japanese welfare programs as are dictated by the instructions of the Welfare Ministry and recommendations of this headquarters. Formal reviews in accordance with Operational Directive No. 7 Civil Affairs Section, SCAP, ¹⁹⁵⁰ will be in draft form but in finished content. Special reports requested by the chief, will be similarly in draft

form, but final content.

(7) In terms of quantity, the advisor will be expected to conduct a minimum of two reviews a month to fulfill the requirements of Operational Directive, No. 7 Civil Affairs Section, SCAP, 1950. Additional conferences, field trips, and reviews will be conducted as deemed necessary by the advisor to fulfill the assigned responsibility of surveillance and technical assistance. in the

(8) Advisor will be ~~allowed~~ ^{REQUIRED} to use his own methods of work and contact ~~with~~ Japanese officials ^{subject to the general} ~~provided that prior concurrence is secured from~~ of section chief. He will be expected to plan and to submit to the section chief, ^{suggested} areas of emphasis as deemed necessary, and to report on progress on development of programs.

(9) Advisor will be permitted to make decisions on organizational and operational matters within welfare offices when requested by Japanese officials within the limits of present Japanese legislation and instructions. On matters involving national policy and change in laws and regulations, section chief must be consulted. Recommendations to the Japanese officials will be within established laws and regulations. Recommendations ~~outside established laws and regulations~~ which conflict with established laws and regulations will be made to the section chief for discussion with higher headquarters. In this connection, therefore, advisor must acquaint himself thoroughly with ~~legislation~~ established legislation.

(10) Advisor will be required to maintain a respectable appearance before Japanese officials and the section staff and to conduct himself in such manner ⁱⁿ as to secure the respect and in no circumstance, to antagonize Japanese officials by an authoritative attitude, harsh criticism, or ^{display of} anger. Japanese officials

#3

Payment of aid expenses supposed to be paid on 14 or 15, but it is better to prepay regularly according to the new law.

For the actual inspection, as most of houses ~~are~~ have not been re-investigated the change of income of family member are not reported but still ^{the} recipient are helped the same amount even if ~~the~~ ~~they~~ ~~changed~~ ~~in~~ ~~family~~. For instance, condition of the recipients changed in many. Another case which that, the old ~~was~~ women living with her daughters whose husband receives the family allowance ^{and} ^{he} is under the Aid. ^{is} ^a ^{legal} ^{supporter}

Those was one or this;
 only 54 case of
 Home visits have been done by 2 members of Minnie Jimusto during March, so ~~it~~ only one home visit in 428 house would be done for 8 months if ~~only~~ 2 members continue to visit the house. This is the shape of the first organization.

will at all times, be treated courteously and advisor will endeavor to secure their cooperation in making recommendations. Japanese welfare officials ~~should~~^{MUST} be allowed to present their problems and interests freely and advisor must be willing to offer leadership and advise on those problems.

~~Advisor will be provided for with an interpreter and will be responsible for:~~

~~R. W. Stemple~~

~~Chief, Welfare Section~~

ROBERT W. STEMPLÉ
PUBLIC WELFARE ADVISOR (SUPER)

Translation (T. Nakayama)

Kamakura

7324

May 13, 1950

#1

~~Commence~~ ^{Criticism} on Investigation of Daily Life
Security Law

Let me criticize about the summary which I surveyed on the actual status of Daily Life Security Law, according to the purport under the investigation of enforcing the Daily Life Security Law in the city, town, & village.

Being establishing for occupants, Minsei Jimusho should be placed at the side and the other side ^{at} of the tunnel of Yamate, ~~not~~ ^{instead of} at the end of this city.

From December 1 in last year as Minsei Jimusho avoid to ^{directly} touch the Daily Life Security Law, ^{only} Gokko-shins do. For that reason, it is better to gather all staffs in the office as the investigators to handle ^{these} cases in the Ward Office directly, than to locate two officers in the Ward Office, and it is ² for better to place investigators as the specialists.

ATTACHMENT NO. 3
SUGGESTED OUTLINE FOR DISCUSSION
OF CFR 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.

3. DETERMINING PERFORMANCE REQUIREMENTS. Performance 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:

- (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 strength 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 reassigning 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. The 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 that 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

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 position is an entrance rating of "Satisfactory" assigned by their 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

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:

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

2. The achievement of positive constructive results.

3. The performance is typical of the period under consideration.

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

5. 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.

b. The civilian boards 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, orient 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 51.

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.

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 of 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 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.

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.

ATTACHMENT NO. 4

file

(Suggested)

NOTICE TO CIVILIAN EMPLOYEESOFFICIAL 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.

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.

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7. OFFICIAL PERFORMANCE RATINGS. All employees other than those mentioned in Items 5 and 6, above will be given an official performance ratings 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.

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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 with his assigned work and the requirements established for his position.

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

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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.

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 Committee (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 take 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 on "unsatisfactory" rating.

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

ATTACHMENT NO. 3

SUGGESTED OUTLINE FOR DISCUSSION

OF CFR 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.

3. DETERMINING PERFORMANCE REQUIREMENTS. Performance 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:

- (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 out 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 strength 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 reassigning 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. The 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 that 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

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 position 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

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 performance 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.

b. The civilian affairs 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, orient 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 51.

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.

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 re-assigned, 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 of 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 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.

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.

ATTACHMENT NO. 4

(Suggested)

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Personnel

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