

~~ADMINISTRATIVE - INTERNAL USE ONLY~~(b) (2)
(b) (3)**Date:** 03/18/2002**Category:** 20 - Human Resources**OPR:** HR**Title:** AR 20-16 EVALUATION BOARD AND PANEL PROCESS**REVISION SUMMARY:** 18 March 2002 (0615)

This regulation supersedes HR 20-16, dated 17 May 1985.

HR 20-16 incorporates FR 20-16 and is redesignated *AR 20-16. This regulation is revised to update organizational titles; and incorporates policy that was previously found in AN 20-16-7, "Change in Factors Used by Evaluation Panels" and AN 20-16-8, "HROC Notice 3 - Interim Changes to the Evaluation Process." Policy formerly contained in HR 20-16, Attachments 3 & 4 is no longer valid and are hereby rescinded. This revision also reflects the Agency's organizational restructuring that resulted from the D/CIA's decision, effective 4 June 2001 to abolish the Directorate of Administration, and establish the Mission Support Offices.

FR 20-16, HR 20-16, Attachments 3 & 4, AN 20-16-7, and AN 20-16-8 are hereby rescinded.

*This redesignation is part of an ongoing conversion to one set of Agency regulations for both headquarters and the field.

Boldfaced text in this regulation indicates revisions .

This regulation was written by the Policy Team, Human Resources Strategy & Planning Staff, at HRM Policy@DA.

16. EVALUATION BOARD AND PANEL PROCESS

SYNOPSIS. This regulation provides policy guidance for Agency evaluation boards and panels. It describes the composition and responsibilities of the boards and panels, as well as their procedures.

- a. **AUTHORITY.** The authority for the policy prescribed by this regulation is derived from the CIA Act of 1949, as amended.
- b. **GENERAL.** The provisions of this regulation apply to the evaluation of **most Agency** employees. However, Career Service or Subgroup Heads may either maintain a formal panel system for evaluating GS-06 and below employees, or delegate the responsibility to

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supervisors and managers.

c. POLICY

- (1) **Agency evaluation boards and panels** are designed to facilitate selection decisions involving employee assignments, advancement, and retention. These systems include evaluations of all factors pertinent to the selection decision. Evaluations performed by Career Service boards and panels are integral parts of the Agency's **human resource** management process and will be based **on the factors contained in Appendix A**. Evaluation of employees assists managers in determining the employee's value to the Agency; promotion and other career actions, such as appropriate work assignments and training; and, if required, adverse actions such as downgrading or termination of employment under AR 20-27.
- (2) Boards and panels are used as the evaluating mechanism to provide an informed and objective assessment of each employee and to eliminate the potential for arbitrary personnel decisions. **Career Services or Subgroups will evaluate all employees at least annually and, at a minimum, will identify those employees recommended for promotion and low performers. Low performers are employees who have significant performance problems compared to other employees in the same grade and career discipline, as applicable.** The intended result of board and/or panel meetings is the development of all employees and promotion of the most qualified employees.
- (3) **Career Services will identify and counsel employees whose present and future assignment opportunities are limited because of insufficient skills, assignment preference, past on-the-job experience, and so forth. Career Services will also make counseling and feedback on evaluations—including strengths, weaknesses, and developmental needs—available to all employees.**
- (4) **Although not required, Career Services or Subgroups may use evaluation categories, numerical rankings, quintile placements, or other groupings when evaluating employees. Each Career Service or Subgroup will communicate to its employees which evaluation mechanism it will use. (See Appendix B for definitions.)**
- (5) **Career Service boards and panels will identify to the Head of their Career Service employees who, in the board or panel's judgment, have significant performance problems compared to other employees in the same grade and career discipline, as applicable. Career Services will notify employees in writing of observed performance deficiencies. When performance deficiencies are sustained, documented, and may result in adverse action, the Career Service will notify Special Activities Staff, Office of Security. Administrative action taken by the Career Service may include counseling or reassignment or recommendations for downgrading or termination (see AR 20-27).**

d. COMPOSITION OF EVALUATION BOARDS AND PANELS

- (1) **Evaluation boards and panels will have a minimum of three members and, in**

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conformance with the Agency's Affirmative Employment Plan, must include female and minority representatives.

- (2) Members will be at least one grade senior to employees being evaluated; however, Heads of Career Services and Subgroups are encouraged to appoint individuals who are two grades senior to those being evaluated.
- (3) Boards and panels will be broadly based, encompassing employees from the largest number of disciplines feasible, so that members will have some knowledge of the work performed by the individuals being evaluated.
- (4) Membership will be by personal appointment by the Head of the Career Service or Subgroup.
- (5) If security conditions permit, Heads of Career Services and Subgroups **should** make available to Career Service **or Subgroup** members a listing of board and panel members.

e. RESPONSIBILITIES OF BOARDS AND PANELS

- (1) Boards and panels will:
 - (a) Review all Career Service or Career Service Subgroup employees in the same grade at least annually and, where appropriate, review by career discipline within the same grade.
 - (b) Evaluate each employee to determine the value of that employee to the Agency.
 - (c) Evaluate **eligible** employees for promotion.
 - (d) On the basis of paragraphs e(1)(a), (b), and (c) above, make recommendations for promotions and, where appropriate, for assignments, senior officer development, training, and career counseling.
- (2) Boards and panels will identify and recommend administrative action for employees whose performance is unsatisfactory or whose value to the Agency is marginal.
- (3) Boards and panels will propose improvements in the Agency's or the Career Services' policies and procedures for evaluating performances.

f. BRIEFING MATERIALS AND DOCUMENTS FOR EVALUATION OF PERFORMANCE

- (1) Boards and panels:
 - (a) Will review the personnel files of all employees in the grade under review except where the Head of the Career Service involved has determined that the particular Subgroup involved is sufficiently small or that all of the members of the career board or panel personally know each employee being evaluated and are familiar with that employee's work. The authority to make this determination may not be delegated by the Head of the Career Service. In any case where such a determination is made, review of the personnel files will not be mandatory, but those files must be available for review by the Subgroup boards or panels. Included in the material to be reviewed

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or available for review will be the employee's current Performance Appraisal Report (PAR).

- (b) Should consider the totality of the employee's experience, performance history, or other factors affecting his or her performance. Emphasis should be on the employee's recent performance and the early work record should be viewed in relation to this later performance.
 - (c) Should recognize the employee's right to rebut or otherwise comment on any material in his or her file or any material developed by the boards or panels related to the performance or position of the employee and should give appropriate consideration to such comments.
 - (d) Should consider miscellaneous documentation in an employee's file, such as commendatory letters or letters of reprimand, with other evidence of the employee's performance.
 - (e) Should call to the attention of the Head of the Career Service or Subgroup any significant period of an employee's recent service which is not covered by the PAR's or memoranda in the file.
 - (f) Should contact the appropriate component for additional details when the PAR indicates that the employee was involved in operational activities too sensitive to be described in the PAR.
- (2) Board and panel members will be disqualified at their own request, or by the direction of the Head of the Career Service or Subgroup, in those cases where it is determined that a member cannot evaluate objectively an individual.

g. BOARD AND PANEL PROCEDURES

- (1) Specific board and panel procedures will be developed by each Career Service or Subgroup, coordinated with the **Chief Human Resources Officer**, and published by **each** Career Service. Procedures will be reviewed annually by the individual Career Service or Subgroup and amended as required.
- (2) Heads of Career Services and Subgroups will instruct members of boards and panels to preserve the confidential character of the personnel records they use and to not reveal to any unauthorized persons information concerning the deliberations, findings, evaluations, or recommendations of their board and panel. The formal, written report of the findings of boards and panels, which is prepared for the use of the Career Service or Subgroup Head, is of transient value as it pertains to comparisons among members of a particular group and to specific criteria at a given time. It will not be recorded in the employee's official file, but will be maintained in the records of the board or panel for at least 3 years.
- (3) The head of a Career Service will ensure that worksheets have been developed for use by panels under his or her jurisdiction, except that worksheets shall not be required for those career boards or panels of a particular Subgroup which the Head of Career Service has determined is sufficiently small or where all members of the board or panel

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personally know and are familiar with the work of each employee being evaluated. The authority to make such determinations may not be delegated by the Head of the Career Service. Where worksheets are required, those that record the final board and panel decisions on each employee as reported in the formal, written report of the findings will not be available to succeeding boards and panels but must be available to the official responsible for responding to inquiries from employees concerning their standing in the Career Service and for counseling employees. Such worksheets as are required and that support the board and panel decisions should be retained for a period of time sufficient to accommodate counseling of, and inquiries from, both headquarters and field employees. Any board and panel worksheets which may have been required and which concern employees **identified as low performers** will be retained for at least 3 years. Further, with respect to **employees identified as low performers**, if worksheets are not required because the Subgroup has been determined by the Head of the Career Service to fall within the exception noted, each career board or panel in such a subgroup shall be required to write a memorandum **that supports identifying the employee as a low performer**. This memorandum should be retained for 3 years and shall be available to the responsible official for responding to inquiries from employees concerning their standing in the Subgroup and for counseling employees. Worksheet forms or other notes of individual panelists are considered informal records which need not be retained.

h. EVALUATION AND PROMOTION

- (1) Boards and panels will be guided by the quantity and quality of the employee's performance and demonstrated capability to assume greater responsibility. The general evaluation factors listed in **Appendix A** can be expanded or combined by Heads of Career Services to designate performance criteria which are specific to the Career Service. When established by the individual Career Services, these specific factors will be coordinated by the Head of the Career Service with the **Chief Human Resources Officer**, published as supplementary guidance to appropriate Career Service evaluation boards and panels, and made available to all Career Service employees.
- (2) Heads of Career Services will ensure that there are time-in-grade guidelines for eligibility for promotion to the next grade. (Note that time-in-grade is a guideline, but not a rigid requirement. It should not be the overriding factor in any promotion decision.) Time-in-grade guidelines may vary within a Career Service to accommodate differences in career disciplines. Career Service time-in-grade guidelines will be coordinated with the **Chief Human Resources Officer**.
- (3) Heads of Career Services and Subgroups will make evaluation boards and panels aware of their responsibilities in meeting the goals and objectives of the Agency-approved **Affirmative Employment Plan**. In evaluating an employee's performance, evaluation boards and panels will comply with all applicable Federal laws and Agency policies designed to prevent discrimination on the basis of race, color, religion, sex, national origin, age, or handicap.

i. APPROVAL OF FINDINGS

- (1) Board and panel evaluations are advisory. **Board and panel results** will be approved

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for:

- (a) Selected SIS-3's, SIS-4's, and above, by the Director of the Central Intelligence Agency(D/CIA) or the Deputy Director of the Central Intelligence Agency(DD/CIA).
 - (b) GS-15's through remaining SIS-3's, by the Head of the Career Service.
 - (c) **IS-03** and above secretarial personnel, by the deputy to the Head of the Career Service.
 - (d) GS-14's and below (except as addressed in paragraph (c) above), by the Head of the **Career Service Subgroup** or, as appropriate, the Deputy Director for Operations (DDO).
- (2) The **Chief Human Resources Officer** is responsible for reviewing all promotion requests and approving promotion actions that conform to the provisions of Agency regulations. The officials listed below are responsible for approving promotion requests:
- (a) The D/CIA and the DD/CIA, to and within the SIS.
 - (b) The Head of the Career Service, to GS-15.
 - (c) The deputy to the Head of the Career Service, to **IS-03** and above secretarial personnel.
 - (d) The Head of the **Career Service Subgroup** or, as appropriate, the DDO, to GS-14 and below (except as addressed in paragraph (c) above).
- (3) There may be instances when the approving officer does not accept fully the advice of a board or panel. In these instances, the approving officer will inform the board or panel of the reasons unless the approving officer determines the reasons are of such a sensitive nature that they should not be revealed. Exceptions to board or panel recommendations on promotions to GS-15 and below must be approved by the Head of the Career Service concerned, who will inform the **Chief Human Resources Officer** in writing of all exceptions.

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APPENDIX A

FACTORS TO BE USED BY EVALUATION PANELS

1. GENERAL

Evaluation factors provide a common language and a frame of reference for members of panels tasked with evaluating a group of employees. They enable panel members to evaluate each employee's performance in light of both job requirements and Career Service expectations. Employees should have the opportunity to know, at the beginning of their evaluation cycle, how their performance will be evaluated at the end of the cycle.

2. EVALUATION FACTORS FOR NONMANAGERS

- a. Expertise. An assessment of the degree to which an employee possesses substantive knowledge appropriate for the job the employee has been hired to do and the degree to which the employee is able to apply this knowledge to effective on-the-job performance.
- b. On-the-Job Performance. An assessment of the quality of an employee's performance, as measured against job standards jointly developed by the manager and employee at the beginning of the evaluation cycle.
- c. Communications Skills. The degree to which an employee (within the parameters of the job for which he or she is being evaluated) effectively conveys information with clarity and comprehension when speaking or writing and effectively listens when others are conveying information.
- d. Initiative. The degree to which an employee recognizes an opportunity to exceed job requirements (or identifies a new more effective way to do business), develops innovative but practical action plans for taking advantage of the opportunity, and implements his or her plan while continuing to provide effective customer service and maintain work unit efficiency.
- e. Judgment. The degree to which an employee evaluates available information and makes timely and effective decisions.
- f. Productivity. The degree to which an employee's work product meets the standards of accuracy, quality, completeness, and timeliness jointly established by the employee and manager at the beginning of the evaluation period.
- g. Self-Development. The degree to which an employee is attuned to changing mission requirements, assesses his or her ability to meet those changing needs, and positions himself or herself for the future by initiating training, assignments, or other types of professional growth opportunities.
- h. Versatility. The degree to which an employee demonstrates the willingness and ability to respond to and support changes in the Agency, working conditions, and work assignments.

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- i. Interpersonal Relationships. The degree to which an employee establishes and maintains effective working relationships.
- j. Leadership. The degree to which an employee exhibits behaviors and attitudes which influence, inspire, and set a positive example for others.

3. EVALUATION FACTORS FOR MANAGERS

- a. Expertise. An assessment of the degree to which a manager possesses knowledge of management principles and practices appropriate for the job he or she has been hired to do, and the degree to which the manager is able to apply this knowledge to effective on-the-job performance. A Career Service may choose to augment the evaluation of management expertise with an evaluation of substantive expertise, if substantive knowledge is required to perform successfully in the managerial job.
- b. On-the-Job Performance. An assessment of the quality of a manager's performance, as measured against job standards jointly developed by the manager and his or her superiors at the beginning of the evaluation cycle.
- c. Planning and Organization. The degree to which a manager plans, schedules, organizes resources, and ensures accuracy, timeliness, and quality. This is also a measure of the degree to which a manager makes maximum use of subordinates by identifying production deficiencies and developing new procedures, methods, or technologies which facilitate effectiveness.
- d. Development and Evaluation of Subordinate Employees. The degree to which a manager involves subordinates in the performance planning process, accurately assesses strengths and developmental needs of employees, gives timely, specific feedback and helpful coaching, provides challenging assignments and opportunities for development, and prepares written evaluations which are timely and accurate.
- e. Valuing and Managing Diversity. The degree to which a manager views differences as assets, and utilizes these differences to accomplish organizational goals by identifying the balance between developing shared organizational values and valuing diversity, and challenging assumptions that limit opportunities.
- f. Communications Skills. The degree to which a manager effectively conveys information with clarity and comprehension when speaking or writing and effectively listens when others are conveying information.
- g. Initiative. The degree to which a manager, either personally or through the encouragement of subordinate employees, recognizes opportunities to exceed job requirements (or identifies new, more effective ways to do business through use of Total Quality Management practices), develops innovative but practical action plans for taking advantage of opportunities, and implements changes while continuing to provide effective customer service and maintain work unit efficiency.
- h. Judgment. The degree to which a manager evaluates available information and makes timely and effective decisions.
- i. Productivity. The degree to which a manager's work unit meets the standards of accuracy,

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quality, completeness, and timeliness that have been established in consultation with senior management in the component and communicated to the employees in the work unit.

- j. Self-Development. The degree to which a manager is attuned to changing management practices and mission requirements, assesses his or her ability to meet those changing needs, and positions himself or herself for the future by initiating training, assignments, or other types of professional growth opportunities.
- k. Versatility. The degree to which a manager demonstrates the willingness and ability to respond to and champion change in the Agency, as well as changes in working conditions and work assignments.
- l. Not used.
- m. Interpersonal Relationships. The degree to which a manager establishes and maintains effective working relationships at all levels.
- n. Leadership. The degree to which a manager exhibits behaviors and attitudes which influence, inspire, and set a positive example for those in the work unit.

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Appendix B

RANKING MECHANISMS

Numerical Rankings. Placement of evaluated employees in a rank order listing of one through n.

Quintile Placement. Distribution of evaluated employees among five equally sized segments.

Comparative Evaluation Categories. Placement of evaluated employees in one of the following four comparative evaluation categories.

Category I. Employees whose performance record and personal attributes indicate a high degree of potential for continued excellent performance and rapid career growth in positions of increasing responsibility. They have experience, knowledge, and talents which presently are clearly exceptional in comparison with their peers.

Category II. Employees whose performance record and personal attributes indicate potential for continued high quality performance and above average career growth in positions of greater responsibility. They have experience, knowledge, and talents presently above those of most of their peers.

Category III. Employees whose performance record and personal attributes are fully satisfactory and who are making a valuable contribution to the Agency's mission. However, to date, they either lack the experience for or have not clearly indicated the potential for assignment to positions of a higher level of responsibility.

Category IV. Employees whose performance record and personal attributes reflect a specific deficiency in, or an inability to meet, important aspects of work requirements which limits their value in their current assignment or career track. Employees in this group may have potential for career growth in other career fields, but their deficiencies are such as to interfere with or preclude improved performance in their current assignment or career track. (These employees must be advised of placement in this group. Counseling, remedial training, reassignment, downgrading, or termination are indicated.)

Other Groupings. Placement of evaluated employees in other groupings, such as top xx percent, low xx percent, etc.

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