USAF LINE OFFICER PERCEPTIONS
OF THE OFFICER EVALUATION SYSTEM

THESIS

Christopher B. Hale
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DEPARTMENT OF THE AIR FORCE
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OF THE OFFICER EVALUATION SYSTEM

THESIS

Presented to the Faculty of the School of Systems and Logistics
of the Air Force Institute of Technology
Air University
In Partial Fulfillment of the
Requirements for the Degree of
Master of Science in Logistics Management

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Abstract

The revised Officer Evaluation System (OES) is designed to provide accurate performance feedback to subordinates, mission-oriented performance appraisals, and decentralized promotion recommendations. This study was designed to gauge officer acceptance of the new system.

The major objectives of this research were to 1) determine if the OES is perceived by officers to be better than the previous Officer Effectiveness Report (OER) system in identifying and selecting the best qualified officers for promotion, 2) find out if ratees were receiving constructive feedback in accordance with Air Force guidelines, and 3) determine if there were significant differences in perceptions of key subgroups within the sample population.

To compare the OES and OER system, data were analyzed from a 1987 study of the OER system and from the current study. In addition, responses in the current study compared the two systems. To evaluate feedback, ratees were asked specific questions about their latest formal feedback session. Responses from members of key subgroups were analyzed to ascertain the existence of important response-group differences.

The results indicate that officers favor the new OES over the old OER system. They believe the OES is better at identifying varying levels of job performance resulting in the selection of the best qualified for promotion. However, they did not believe they had an equal chance of receiving a "Definitely Promote" recommendation regardless of the organization to which they were assigned. A majority of officers agreed they were receiving feedback in accordance with organizational policy. No evidence of sex or racial bias was found. Company grade officers felt more favorable toward formal feedback and decentralized promotion recommendations than field grade officers. Nonrated officers favored the new OES more than rated officers and felt more strongly about its ability to identify and select the best qualified.
I. Introduction

The Air Force has just completed its seventh revision of the Officer Evaluation System (OES), effective 1 August 1988. For an Air Force officer this represents a shift in the process by which officers are selected for promotion. Now officers will be evaluated based on their job performance, what they have accomplished, instead of their performance potential, what they may be capable of accomplishing.

The idea is simple, get back to basics. Stress job performance above all else. Let the officer know periodically how well he or she is doing, evaluate the officer's performance, and when it's time, send a clear message to the promotion board whether or not he or she should be promoted.

Background

The Officer Evaluation System is an integral part of the Officer Professional Development (OPD) Program. As outlined in AF Pamphlet 36-30, the three objectives of the OPD program are:
First, professional development must increase the officer’s qualification and ability to perform his or her duties, now and in the near term. Formal training and discussions with supervisors provide a foundation for building this competence. However, the most important contributor is likely to be the officer’s experiences in day-to-day duties. Second, professional development involves preparing officers for future leadership challenges. Professional Military Education (PME) and most other education assists this effort, but, again, the key to growth in leadership and professionalism is experience in appropriate leadership positions. The third objective of professional development, simply stated, is to ensure the people who are best qualified are advanced in grade and responsibility. This is where the officer evaluation system fits in. (Department of the Air Force, 1988b, p. 2)

Ensuring that the people who are “best qualified are advanced in grade and responsibility” involves more than just accurate appraisals. As explained by General Larry D Welch, Chief of Staff of the Air Force, there are three intended purposes of the OES:

These purposes are, first, to provide meaningful feedback on how the officer is measuring up to expectations and advise on how to better meet growth goals that go with those expectations. Secondly, to provide a reliable, long-term cumulative record of the officer’s performance and the officer’s potential based upon that performance. And finally, to provide the promotion board with the soundest possible advice on the officer’s promotion potential, again, based on the officer’s performance. (Department of the Air Force, 1988a, p. 1)

One of the difficulties of the previous Officer Evaluation System was that a single form, the Officer Effectiveness Report (OER), was used to accomplish all three purposes (Department of the Air Force, 1988b). This created a dilemma for the supervisor, who in trying to be completely candid in documenting his subordinate’s performance on paper, ran the risk of hurting the subordinate’s chances for
promotion simply because his "word pictures" might not be competitive with other officers in the same grade.

Word pictures were not the only aspects of the OER that were inflated. Top-block ratings for all but a small percentage of Air Force officers became the norm. In order to stand out, officers pursued jobs in which general officer endorsements were assured, often moving to higher headquarters assignments with a minimum of field experience. However, endorsement levels also became inflated with "more captains eligible for major in the promotion zone receiving general officer endorsements than could be selected for promotion" (Department of the Air Force, 1988b, p. 3).

Rating inflation caused problems for both the promotion boards and the ratee. The promotion boards, in an effort to discern the "best from the rest," relied heavily on the writing skills of the rater and on secondary considerations such as professional military education and advanced degree programs. As a result, at the same time junior officers were trying to build up depth of experience in their particular field, they were simultaneously burdened with additional "square-filling" activities designed to keep them competitive for promotion. It was common for junior officers to be working on both professional military education by correspondence and a master's degree during the first few years of commissioned service. And at the first opportunity, these officers "sought staff billets before their experience
warranted it" (Batezel, 1988, p. 22).

Junior officers were attempting to leap-frog through their professional development path. Because of the pressures of rating inflation and "square filling," they were seeking breadth of experience without first establishing depth of experience. "The new OES, summed up by General Welch, 'seeks to put the sequence right again and restore common sense to officer ratings and promotions'" (Batezel, 1988, p. 22).

The new OES is quite different from its predecessor, the OER. The OES features a three-part system designed to accommodate the three purposes of the OES. They are (a) meaningful feedback to the officer, (b) a reliable, long-term record of performance, and (c) sound advice to the promotion board on the officer's promotion potential.

To introduce the OES to all Air Force officers, the Manpower & Personnel Center (MPC) at Randolph AFB, Texas sent a briefing team to all Air Force bases in April and May of 1988. The purpose of these briefings was to introduce the new system to all officers at the same time. For officers that were unable to attend the briefings, MPC produced a videotape introduced by General Welch covering the same topics as the briefing. Media coverage prior to the briefings included articles in the Air Force Times and Airman magazine.

Subsequently, the Air Force distributed two Air Force pamphlets dealing with the OES. Air Force Pamphlet 36-30, OES, Your Guide
To The Revised Officer Evaluation System, briefly described the Officer Professional Development Program, the reasons for the revised OES, and the three OES forms. The pamphlet also answered questions that the typical officer might ask about the OES. This was superceded several months later by a more comprehensive guide to the OES, Air Force Pamphlet 36-6, USAF Officer's Guide to the Officer Evaluation System. This more recent pamphlet discusses the mechanics of the three OES forms in greater detail, instructs raters on the proper method of conducting feedback sessions, and discusses the common problems when forming comments. These problems include:

the tendency to be too general rather than providing specific behavioral examples, making comments abstract rather than concrete, using buzzwords and superlatives, or providing comments only on duty performance factors while ignoring officership factors. (Department of the Air Force, 1988c, p. 12)

The Manpower & Personnel Center also produced a second video tape which is designed to demonstrate the feedback concepts outlined in the most recent pamphlet. The combination of briefings, news articles, pamphlets, and video tapes is designed to disseminate as much information about the revised Officer Evaluation System to as many officers as possible.
Research in the Private Sector

Performance Appraisal Methods

The first quantitative appraisal system was introduced to the general psychological community by D.G. Paterson in 1922 (Landy & Farr, 1980). It was the first use of a graphic rating scale and was characterized by two things: (a) The rater was freed from qualitative judgments, and (b) the rater was able to make as fine a discrimination as desired (Landy & Farr, 1980).

Behaviorally anchored rating scales (BARS). No major breakthroughs in performance assessment occurred until 1963 when Smith and Kendall introduced a new type of rating method that became known as behaviorally anchored rating scales (BARS, Smith & Kendall, 1963). BARS differed from traditional graphic rating scales because the scale anchors contained examples of actual behavior rather than trait labels or numerical values (Landy & Farr, 1980). Unfortunately, this technique resulted in only marginal improvement over graphic scales. BARS also proved to be more expensive to develop. Both graphic scales and BARS had individuals rated on a continuum from unsatisfactory to excellent. Research indicated both techniques were susceptible to bias from leniency error (Schwab, Heneman, & DeCotiis, 1975).

Forced-choice rating systems. To combat leniency, forced-choice
rating systems were developed. They require the rater to choose from among a set of alternative descriptors (normally four items) a subset that best characterizes the ratee (Landy & Farr, 1980). A rating score is derived from the sum of the relative weights of the descriptors chosen. This method produces a slight decrease in leniency error, but like the BARS system, the modest improvements did not offset the additional expense of instrument development.

**Forced distribution.** A less expensive alternative for decreasing leniency error was the forced distribution method. Forced distribution asks the rater to allocate fixed proportions of his or her subordinates to rating categories representing a complete range of performance levels. Typically, these distributions are designed to approximate a normal distribution with the bulk of the employees classified toward the center of the distribution and diminishing proportions allocated to the extreme ends of the curve. There is frequently resistance to this technique. Raters often object to the rigidity of the system, e.g., they **must** classify a fixed proportion of their subordinates into the lowest rating category (Landy, 1989). This may be particularly frustrating for the rater who is pleased with all of his or her subordinates but is forced to place a percentage of them in the "poor" category (Saal & Knight, 1988). Even if rater resistance to forced distribution approaches may be overcome, questions of their validity across heterogeneous groups remain. For example, average
performance in an elite group may not be the same as average performance in a less stellar group.

**Rater Training**

Changing the method or format of the appraisal has not been the only front in the battle against leniency error. Rater-training strategies, like rater-error training (RET) and rater-accuracy training (RAT), have been shown to decrease leniency and halo error in a number of studies (Bernadin, 1978; Bernadin & Walter, 1977; Borman, 1975; Ivanevich, 1979; Latham, Wexley, & Pursell, 1979). However, one of the assumptions in rater training was that reducing psychometric errors would increase performance rating accuracy, an assumption that has been questioned by more recent research (Bernadin & Pence, 1980; Bernadin & Buckley, 1981; McIntyre, Smith, & Hassett, 1984; Murphy & Balzer, 1989). In two of these studies, the rater training programs resulted in the learning of new response sets, not necessarily more accurate ones (Bernadin & Pence, 1980; Bernadin & Buckley, 1981). A meta-analysis of 10 studies comparing rater error to rater accuracy revealed that the average error-accuracy correlation was very near zero (Murphy & Balzer, 1989). A decrease in rater error did not necessarily result in a corresponding increase in rater accuracy. In fact, the results of this study were more consistent with the hypothesis that rater errors contribute to
accuracy than with the hypothesis that they detract from accuracy" (Murphy & Balzer, 1989, p. 622). In light of these findings, one could argue that rater-training programs should reduce their concentration on rater-error training and focus on training raters not only to rate fairly but to observe accurately. This approach should lead to increased accuracy in the performance-appraisal process (Bernadin & Pence, 1981).

**Performance Feedback**

Although "formal feedback systems are not often made part of organizational policy" (Cascio, 1987, p. 101), for information about job performance to be effective in motivating employees there "must be a formal feedback system," and it "must be incorporated into the appraisal system from the very beginning" (Landy, 1989, p. 162). Effective performance appraisal systems often begin with an initial face-to-face meeting between supervisor and subordinate to discuss acceptable levels of job performance. The frequency of follow-on feedback sessions should take into account the level of employee performance. For poor performers, coaching should be done more often; for others, the frequency of feedback sessions should not be less than one year (Cederblom, 1982). Supervisors should be encouraged to take notes during the rating period so their evaluations will reflect performance over the entire period, not just from recent events.
(Wehrenberg, 1988). Employees should be encouraged to prepare for the appraisal interview. In a study at a large midwestern hospital, researchers found that employees who spent time preparing for their appraisal interviews by reviewing their own performance over the rating period were more satisfied with the review process, more motivated to improve their performance, and more likely to actually improve performance than those employees that were not prepared (Burke, Weitzel, & Weir, 1978). Raters should be active listeners and should encourage employees to participate in their feedback sessions (Cascio, 1987). When evaluating an employee, supervisors should concentrate on judging job-related behaviors not personality or mannerisms (Burke et al., 1978). Raters should be candid and specific and pay particular attention to the order in which the feedback is given. To build rapport, the supervisor may begin with positive feedback on minor issues before progressing to larger issues. Praising an employee on minor issues will put him or her at ease and lessens the psychological defense mechanisms normally activated by criticism (Stone, Gueutal, & McIntosh, 1984). Mutually agreeable goals for future performance should be set. Participation by the subordinate in setting difficult goals will lead to a higher level of acceptance and performance than setting easily achieved goals (Erez, Earley, & Hulin, 1985). Finally, a formal appraisal interview should:
merely formalize a process that should be occurring regularly anyway. Periodic tracking of progress toward goals helps keep behavior on target, provides a better understanding of the reasons behind a given level of performance, and enhances a subordinate's commitment to effective performance. (Cascio, 1987, p. 104)

**USAF Officer Appraisal Systems 1947-1988**

Military appraisal systems were not always compromised by leniency error. In 1813, Army Brig Gen Lewis Cass recorded his descriptions of the officers of the 27th Infantry Regiment with phrases like "a good man, but no officer" and "a knave despised by all" (Bass & Barret, 1972, p. 241). Over the subsequent 175 years, there has been a shift toward greater leniency in the performance ratings of all the services.

Since it became a separate service in 1947, the Air Force has conducted seven revisions of the Officer Effectiveness Report (OER). Throughout, there has been a "fundamental conflict between administrative need for differentiation" and at the same time "an institutional reluctance to identify less than outstanding performance" (Syllogistics Inc. & The Hay Group, 1988, p. I-2).

From 1947 to 1949 the Air Force used a forced-choice method inherited from the Army. Due to the nature of this system, raters did not know the results of their ratings. Rater objections led to the
implementation of a new evaluation system in 1949. This system asked the rater to evaluate certain weighted aspects of proficiency and performance. Inflation and a preoccupation with the total score instead of the individual scores doomed this system by 1952.

The third OER system lasted for eight years, and except for the controlled OER system from 1974-1978, the basic design was still in use until 1988. This instrument featured six performance factors with graduated standards on the front of the form and an overall rating and final endorsement on the back. In 1960 a 9-4 system was established with nine representing the top performance score and four representing the top promotion potential rating (Syllogistics Inc. & The Hay Group, 1988). Inflation rendered this system ineffective and resulted in the controlled OER system in 1974.

The controlled OER was by far the most unpopular OER system the Air Force ever used (Syllogistics, Inc. & The Hay Group, 1988). Under the controlled OER, 22% of all officers could receive the highest rating, 28% could receive the next highest rating, and the remaining 50% were accorded lower ratings. Top ratings were the exception rather than the rule and after four years of ratee anxiety the system was revised in 1978 (Syllogistics Inc. & The Hay Group, 1988).

For the next ten years the OER retained its scaled performance factors with narrative comments on the front side of the form and scaled promotion potential with endorsements on the back side.
Again, inflation took its toll with over 90% of all officers receiving "firewalled" (i.e., all frontside ratings at the highest level) performance ratings and 98% receiving the highest promotion potential ratings (Pontiff, 1987). For all intents and purposes, the level of endorsement (i.e., rank of endorser) became the only useful standard for measuring of an officer's promotion potential.

Officer Appraisal Systems Used By Other Military Services

U.S. Army OER

Like the Air Force, the Army had problems with rating inflation until they revised their OER system in 1979 (see sample Army OER in Appendix A). The Army OER system begins when the rater and ratee meet face-to-face to develop a duty description and set major performance objectives to be accomplished during the rating period (Syllogistics, Inc. & The Hay Group, 1988). Rater and ratee are expected to meet periodically in counseling review sessions until the final evaluation takes place. At that time, the ratee records his or her own performance, the rater evaluates it and passes it on to the senior rater. In addition, ratings on professionalism, performance, and potential for promotion are passed on to the senior rater.

The senior rater then independently rates the ratee using a "center of mass" concept commonly referred to as the "stickmen" to
decide where the ratee fits in relation to other officers of the same grade under the rater's command (see Part VII of Army OER form in Appendix A). Once completed, this form is sent to the military personnel center where the rater's rating history for officers of that rank is recorded on the form opposite the individual's rating. The purpose of this analysis is to assess the ratee relative to other officers of the same grade.

If the officer receives, for example, the highest rating, and only five percent of all officers were rated at the same level, then this officer would be viewed as having received a substantially high rating by anyone reviewing his or her record. On the other hand, if the officer receives the highest rating and fifty percent of all officers were rated at the same level, then it would be difficult for anyone reviewing this officer's record to determine exactly how well the officer had been rated.

To keep senior raters from distorting or skewing the center of mass distribution by not realistically distributing their evaluations across all levels of the rating continuum, a rater's rating history is tracked by the military personnel center. If a rater is skewing his or her rating distribution, he or she receives an official warning and is given the option of starting the tracking process over at zero. Most raters elect this option and attempt to get in line with policy on center of mass distributions. To insure that the raters comply, the rater's
rating history is entered into the rater's permanent promotion file
and is a factor when he or she comes up for promotion. This system
appears to effectively control rating inflation (Sylogistics, Inc. & The
Hay Group, 1988).

**U.S. Navy FITREP**

The current U.S. Navy Fitness Report (FITREP) has been in
existence since 1974 (see sample Navy FITREP in Appendix B). A
distinguishing feature of this appraisal technique is that there is only
one evaluator, normally the commander (Sylogistics Inc. & The Hay
Group, 1988). Before the commander writes a FITREP, the ratee has
the opportunity to submit information about his or her performance
during the rating period which may or may not be included in the
report. The ratee is evaluated on twelve performance factors, six
personal traits, given an overall performance rating, and a
promotion recommendation.

The Navy rates all officers of the same grade at the same time.
This gives the senior rater the opportunity to rank order his or her
officers based upon their mission contribution. This overall ranking
is recorded just below the ratee's individual ranking so that anyone
reviewing the ratee's record will have a better understanding of how
he or she fared relative to others of the same rank.

The report is then forwarded to the Navy Military Personnel
Command without further review. Unlike the Army and the Air Force, where every member of a promotion board views every record, each Navy promotion panel member is given a separate set of records to review. Each panel member submits his or her findings to the other panelists who then vote secretly to determine the selectees. Although rating inflation is common in the Navy, the special attention each ratee receives by the promotion board is thought to afford a more finely-grained distinction between selectees and nonselectees (Syllogistics Inc. & The Hay Group, 1988).

U.S. Marine Corps FITREP

The U.S. Marine Corps Officer Fitness Report (FITREP) was revised in 1985 (see sample Marine Corps FITREP in Appendix C). Like the Navy, these reports are submitted in batch form, with all officers of the same rank evaluated at the same time. Ratings are made on a six-point scale from unsatisfactory to outstanding. Officers are rated on seven job performance standards and fourteen personal quality traits. Officers are then rated on their "general value to the service." This rating may be compared to the distribution of ratings for all other officers. For officers rated outstanding, the senior rater must rank the ratee in comparison to others rated outstanding. For instance, a rating of 2 of 5, would classify an officer as the second best of five officers receiving an outstanding rating.
U.S. Coast Guard OER

The U.S. Coast Guard's OER is unique in that it uses a behaviorally anchored rating scale (BARS) system to rank its officers (see sample Coast Guard OER in Appendix D). In fact, the Coast Guard has developed a BARS system for each rank.

The ratings are made on a seven-point rating scale featuring four examples of behavior for each dimension. Officers are rated by the rater on five items measuring performance of duties, two measuring interpersonal relations, four measuring leadership, and three measuring communication skills. The rater then rates the officer on five personal quality traits and four items measuring the officer's ability to properly represent the Coast Guard. There is also room on the form following each section for rater comments.

The senior rater then describes the ratee's demonstrated leadership and potential and provides an overall evaluation. Again, like the Navy and the Marines, ratings are done in batch form, with all officers of the same grade rated at the same time. After the form is submitted to the personnel office, the rating distribution for all other officers of the same grade is added directly below the individual's score.
The Current USAF Officer Evaluation System (OES)

On the 1st of August, 1988 the Air Force officially replaced the OER system with the new Officer Evaluation System (OES). This change was initiated by General Larry D. Welch, Air Force Chief of Staff, who explained,

By early 1987, the outcry over square-filling had become heavy and compelling. The main complaint: job performance seemed less and less the measure of success. Instead, early completion of professional military education and rating endorsement levels were stealing the spotlight. We need to restore the focus on job performance and renew officer trust in the evaluation system. (Department of the Air Force, 1988b, p. 19)

To accomplish this, he commissioned three groups to explore alternatives to the old system. From the private sector, Syllogistics, Inc. & The Hay Group conducted an independent appraisal of the current system and made recommendations for improvement.

Syllogistics, Inc. & the Hay Group interviewed a dozen senior Air Force personnel experts and conducted group discussions with nine focus groups composed of six to eight officers each. There was a strong belief among the officers interviewed that, because of the screening processes an officer goes through, the result is an elite corps well above the "average" population. Because of this feeling, there was some resistance by raters to single officers out as below average. However, there was no resistance to identifying above
average officers or officers whose performance was so poor that they should be released from the Air Force. There was a feeling among junior officers, in particular, that individuals on promotion boards don't have time for any in-depth examination of an officer's records and, therefore, make promotion decisions based on "surface data" only. Most officers interviewed agreed that some sort of control on inflation was needed and felt the wing level was the most logical place to start. All officers agreed that training for all personnel involved in the evaluation process was necessary to prepare them for substantial changes in the method of appraisal. Junior officers expressed the strongest desire to receive feedback on their performance from their immediate supervisors. According to the study group, this situation was not unlike civilian industry where young professionals fresh from college frequently expressed a desire for an "open" atmosphere of communication between workers and managers.

Representing the Air Force, groups of students from the Air Command and Staff College and active duty and retired senior Air Force officers from Randolph Air Force Base, the home of the Air Force's Manpower & Personnel Center, studied the Air Force appraisal problem. "Specific Air Force guidance for the project was that any alternative conceptual design to the OER should: 1) focus on the officer's current job performance; 2) provide good differentiation
among officers on potential for promotion and for successfully executing higher responsibility; and 3) provide some vehicle for giving officers feedback on their performance to support career development and counseling" (Syllogistics, Inc. & The Hay Group, 1988, p. v).

All three groups concluded that to meet the specific guidelines, more than one form would be needed. The result was a system involving three procedures using three different forms.

The first element of the OES is the Performance Feedback Worksheet, a handwritten off-the-record counseling tool used by the rater to confidentially let the ratee know what is expected of him or her (see sample Performance Feedback Worksheet in Appendix E). No other copies are filed or shown to other individuals. For company grade officers these counseling sessions occur semi-annually; for field grade officers the frequency of sessions is at the discretion of the rater or the ratee.

The second component of the OES is the Officer Performance Report (see sample Officer Performance Report in Appendix F). It is much like the previous OER, except that it focuses exclusively on job performance and endorsement levels are now controlled according to the rank of the ratee. The front side of the form contains the ratee's job description, an evaluation of the impact the officer has had on the unit's mission, and ratings against six performance standards. The
back side of the form contains a narrative assessment by the rater and a second rater, along with a concur or nonconcur block for a reviewer. For lieutenant through major, the reviewer is a wing commander or equivalent (normally a colonel); for lieutenant colonels and colonels, the reviewer is the first general officer in the ratee's chain of command. Under the OES, there is now a final "reviewer" instead of final "endorser."

On the previous OER, the endorsement level, or rank of the senior endorser on a subordinate's OER, was often an indication of how much that particular officer contributed to the organization. For example, a captain who was an exceptional performer might receive a two- or three-star general officer endorsement on his or her OER, while other captains in the same unit might only receive a colonel's endorsement. Limiting the endorsement level to wing commander or equivalent for majors and below places emphasis on depth of experience in line jobs. Instructions on the form state that the rater will not consider or comment on completion of professional military education, advanced education, or family activities. These types of activities were frequently emphasized on the previous OER form.

The third element of the OES is the Promotion Recommendation Form (see sample Promotion Recommendation Form in Appendix G). It is completed 60 days prior to a promotion board meeting. The form contains a promotion recommendation made by the senior rater
of "Definitely Promote," "Promote," or "Do Not Promote This Board."
The number of "Definitely Promote" allocations is determined by
manning levels and distributed evenly throughout the major
commands. Based upon current manpower levels, 65% of all line
captains eligible for promotion to major may receive a "Definitely
Promote" recommendation. There are no restrictions on the number
of "Promote" or "Do Not Promote This Board" recommendations.
Virtually all captains receiving a "Definitely Promote"
recommendation are promoted to major while about 50% of those
captains given a "Promote" recommendation will be promoted. The
Promotion Recommendation Form also provides instructions
directing the rater to ignore professional military education or
advanced academic education in deciding on the promotion
recommendation.

Once completed, the promotion recommendations from the unit
are sent to an evaluation board at a higher headquarters whose job is
to screen the unit nominee's records for accuracy, award "Definitely
Promotes" to deserving officers in units too small to receive whole
number allocations, and to resolve any remaining allocations due to
rounded-off percentage points. Once this intermediate promotion
board has completed its selections, its recommendations are
forwarded to the Air Force's central promotion board for final
promotion decisions.
Military-Service Appraisal and Evaluation Systems

Because of budget requirements, legislative controls, and other factors, the U.S. military is burdened with an "up or out" system in which officers must either achieve promotion or leave the system before the completion of a full career. This puts stress upon the officers and the systems designed to identify the best qualified for promotion. The result is that each branch of the service has developed its own appraisal and evaluation system to meet its own unique needs.

The Air Force Officer Evaluation System is different from all other military systems in that there is no peer ranking, and it utilizes forced distribution techniques to control the number of recommendations given to officers for promotion. Inflation control for purposes of promotion is handled at the wing level or higher where "Definitely Promotes" are awarded based upon established quotas. Inflation control for the Army rests with the senior rater whose own career is at stake if he or she does not conform to established policies. For the maritime services, rating inflation control is more indirect. Because these services perform their ratings in batch form, some control is maintained.

The Army and the Air Force require formal, documented feedback. With the exception of the Coast Guard, the maritime
services do not. The Coast Guard includes a formal counseling program for its first two junior grades. Counseling in general is encouraged in the Navy and the Coast Guard but not considered important by the Marines.

**Purpose of the Thesis**

The purpose of the thesis is to gather data on the perceptions of both company and field grade line officers with regard to the current Officer Evaluation System. The measures in the study provide data on the success of the OES in bringing about productive change and on the level of acceptance of the OES by the officer corps. Acceptance is critical to the success of any appraisal system; the OES is no exception.

**Specific Problem**

Given that a change was warranted, does the new Officer Evaluation System achieve its intended objectives? More specifically, is the OES perceived to be a better tool for evaluating officer performance than the previous OER system? Does the new system accommodate more valid and discriminating assessment of officer job performance and make more fair and accurate promotion decisions?
Are raters providing constructive feedback to their subordinates?

**Thesis Objectives**

**Objective 1**

The main objective of this study was to determine if the current OES is perceived by officers to be better than the previous OER system. The OES was designed to better differentiate officer performance for the purpose of making sound promotion decisions and to enhance the level of communication between the rater and the ratee. Four hypotheses support this objective.

**Hypothesis 1a.** Officers perceive the current OES to be significantly better than the previous OER system in its ability to differentiate on the basis of job performance and identify the most qualified for promotion.

**Hypothesis 1b.** Officers perceive promotion decisions rendered under the current OES to be more fair and just than they were under the previous OER system.

**Hypothesis 1c.** Officers perceive job performance to be more fairly and accurately appraised under the current OES than it was under the previous OER system.

**Hypothesis 1d.** Officers perceive feedback under the current OES to be clearer and more timely than it was under the OER system.
Objective 2

Formal feedback is a major change for the OES. To assist raters in conducting formal feedback, the Air Force has provided guidelines in Air Force Pamphlet 36-6, USAF Officer's Guide to the Officer Evaluation System. The purpose of Objective 2 was to determine if the feedback officers are receiving from their raters is in accordance with the guidelines in the pamphlet. Hypothesis 2 states that a majority of officers agree that they are receiving feedback within the guidelines.

Objective 3

Another major change for the OES is the new emphasis on the senior rater's role in promotion decisions. The purpose of Objective 3 was to determine if ratees have more trust in their senior rater than in the central promotion board in making promotion decisions. Hypothesis 3 predicted that the majority of officers would agree that their senior rater is more qualified to make promotion decisions than the central promotion board.

Objective 4

Since promotion decisions under the OES are formulated at the unit level, Objective 4 seeks to determine if officers believe they have an equal chance of receiving a "Definitely Promote" recommendation.
regardless of the level of their unit of assignment. One possible conflict involves officers in small units. Some small units do not have enough assigned officers to receive any "Definitely Promote" allocations. These officers are referred to promotion boards at the next higher organizational level. The situation may be perceived as a disadvantage for the affected officers because the promotion board members will not have the same level of contact with these officers as they would have with officers assigned within their own unit. Hypothesis 4 postulated that a majority of officers believe they have an equal chance of receiving a "Definitely Promote" allocation regardless of the organizational level to which they are assigned.

Objective 5

OES forms are different from the previous OER forms. The new Performance Feedback Worksheet did not exist under the previous system and the Officer Performance Report is somewhat different from the previous Officer Effectiveness Report. The new Promotion Recommendation Form was not evaluated because it has had little use since the OES was implemented 13 months ago. Objective 5 was designed to determine if the two new forms are easy to complete and if they are perceived by officers to be useful for their intended purposes. Two hypotheses supported this objective.

Hypothesis 5a. A majority of officers agree that they find the
Performance Feedback Worksheet easy to complete and useful for its intended purpose.

**Hypothesis 5b.** A majority of officers agree that they find the Officer Performance Report easier to complete and a better tool for documenting performance than the previous Officer Effectiveness Report form.

**Objective 6**

With the increase in the number of forms to complete under the OES, it is important to determine if this is a matter of some concern. From a similar study conducted on the OER system (Pontiff, 1987), the amount of time filling out forms was a concern of the officers surveyed. Hypothesis 6 predicted that officers would be neither more concerned nor less concerned with the amount of time spent completing the current OES forms than they were with the time spent completing the previous OER forms.

**Objective 7**

Differences in perceptions of the OES between subgroups of the population, e.g., males versus females, may signify problems of fairness in an appraisal system that has been designed to be objective across all constituencies. The purpose of Objective 7 was to determine if any significant differences exist between subgroups in
the population. Three hypotheses supported this objective.

**Hypothesis 7a.** There is no evidence of racial bias or gender bias in the OES.

**Hypothesis 7b.** Company grade (i.e., lieutenants and captains) and field grade (i.e., majors, lieutenant colonels, and colonels) officers feel no differently about the OES.

**Hypothesis 7c.** Nonrated (i.e., officers with no aeronautical rating) and rated officers feel no differently about the OES.
II. Method

Sample and Setting

The data from this study were collected from 906 active duty Air Force line officers in the rank of second lieutenant through colonel. The distribution of respondents included 65 second lieutenants, 123 first lieutenants, 354 captains, 197 majors, 116 lieutenant colonels, and 51 colonels. The 906 respondents represented approximately 1% of the current population of 90,500 line officers.

Data collected from 981 line officers from a similar study, QER Perceptions of Field and Company Grade Line Officers, conducted by Major Glen Pontiff in 1987, were compared with identical measures incorporated into the current study to determine if there were any significant differences in officer perceptions of the two appraisal and evaluation systems. The distribution of respondents to the Pontiff study included 59 second lieutenants, 108 first lieutenants, 294 captains, 245 majors, 196 lieutenant colonels, and 79 colonels.

For both studies, officers were selected randomly from the Air Force’s Atlas database, a comprehensive personnel record system. For this study, three sets of two-digit numbers were randomly selected for each of the six officer ranks. The sets of numbers were then matched to the last two digits of the social security numbers of
all company and field grade officers with Air Force Specialty Codes (military occupations) other than 87XX through 99XX. These codes were excluded from the sample because officers in this group, such as lawyers and physicians, have a different evaluation system.

From the resulting list of officers, 1,526 officers were randomly selected. A sample size of 1,526 was based, in part, on the desired confidence/reliability of the survey results. "A confidence/reliability level of 95% ± 5% for survey results is the minimum one normally specified and desired by all professional surveying organizations" (Department of the Air Force, 1974, p. 13). Using the formula supplied by Air Force resources, it was determined that a sample size of 763 surveys would be needed to meet the 95% level. Anticipating a response rate of 50%, 1526 surveys were mailed. As Table 1 shows, sampling was stratified on the basis of percentages of officers in each rank in the population.

**Measures**

A questionnaire was mailed to each of 1,526 Air Force line officers assigned worldwide. A mailed survey was the most efficient method of gathering the data considering the size and geographic distribution of the population.

The 49-item questionnaire contained 9 demographic items.
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<th>Population</th>
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<td>112</td>
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<tr>
<td></td>
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</tbody>
</table>
9 items collecting self-reports of past and current appraisals, and 35 opinion items. The complete questionnaire may be found in Appendix H.

**Demographic items**

**Rank.** The item asked, "What is your current rank?" Response choices were 1) second lieutenant, 2) first lieutenant, 3) captain, 4) major, 5) lieutenant colonel, 6) colonel, and 7) other.

**Gender.** The officer was asked, "What is your gender?" Response choices were 1) female, and 2) male.

**Major command assigned.** The respondent was asked, "To what major command or headquarters are you currently assigned?" Response choices were 1) Air Force Logistics Command (AFLC), 2) Space Command (SPACECMD), 3) Air Force Systems Command (AFSC), 4) Air Training Command (ATC), 5) Military Airlift Command (MAC), 6) Strategic Air Command (SAC), 7) Pacific Air Force (PACAF), Tactical Air Command (TAC), and U. S. Air Forces in Europe (USAFE), 8) Headquarters U.S. Air Force (HQUSAF), and 9) Other.

**Organizational level.** The item asked, "To which organizational level are you assigned?" Response choices were 1) below MAJCOM level, 2) at MAJCOM level, and 3) above MAJCOM level. Those assigned to Air Force detachments, wings and other military
organizations that report to a major command headquarters would fall in the "below MAJCOM level" category. Officers assigned to Headquarters U.S. Air Force and some governmental agencies would fall in the "above MAJCOM level" category.

**Aeronautical rating.** The officer was asked, "What is your aeronautical rating?" Response choices were 1) no aeronautical rating, 2) navigator, 3) pilot, and 4) other aeronautical rating.

**Race.** The respondent was asked, "What is your racial or ethnic background?" Response choices were 1) American Indian, 2) Black/Black American/ Afro-American, 3) Caucasian/White (other than spanish speaking), 4) Oriental/Oriental American (Asian American, Chinese, Filipino, Japanese, Korean), 5) Spanish speaking origin (Chicano, Cuban, Latin American, Mexican), and 6) other.

**Commissioned service.** The item asked, "How many years of commissioned service have you completed?" Response choices were 1) Less than 1 year, 2) 1-5 years, 3) 6-10 years, 4) 11-15 years, 5) 16-20 years, and 6) 21 or more years.

**Total active federal military service.** The officer was asked, "How many years of total active federal military service (TAFMS) have you completed?" Responses to this item were identical to the commissioned-service item. A difference between the two items indicates the officer served on active duty prior to commissioning.
Self-Reported Appraisal Results

Front-side ratings. This item asked the respondent how he or she was rated on the ten performance factors on the front side of the last Officer Effectiveness Report received under the OER system. The officer was asked, "Did you receive well above standard (i.e., "fire-walled") ratings for all ten front-side performance factors?" Response choices were 1) Yes, 2) No, and 3) I was never evaluated under the previous OER system. This item was used to obtain a self-report measure of the respondent's last OER rating under the previous OER system.

Back-side ratings. This item asked how the officer was rated on the "evaluation of potential" on the back side of the last Officer Effectiveness Report received under the previous OER system. The officer was asked, "Did you receive all top block ratings (from rater, additional rater, and endorser) on the back-side Evaluation of Potential rating scale?" Response choices were 1) Yes, 2) No, and 3) I was not evaluated under the previous OER system. This item was also used to obtain a self-report measure of the respondent's last OER rating.

Endorsement level. The officer was asked, "What endorsement level did you receive? (use equivalent civilian rank if applicable)." Response choices were 1) colonel or below, 2) brigadier general, 3) major general, 4) lieutenant general, 5) general or higher, and
6) not evaluated under the OER system. Under the previous OER system, OER endorsement levels (i.e., rank of senior officer endorsing an officer's OER) played a central role in determining an officer's suitability for promotion in rank.

**Promotion recommendation received.** The respondent was asked, "What did you receive for your most recent promotion recommendation?" Response choices were 1) Definitely Promote, 2) Promote, 3) Do Not Promote This Board, and 4) I have not been evaluated for promotion under the new system. Officers receiving a "Definitely Promote" recommendation are virtually assured promotion to the next rank. Captains, for example, receiving a "Promote" recommendation have about a 50% chance of being promoted. This item was used to differentiate officers by the OES promotion recommendation they received.

**Promotion recommendation expected.** The item asked, "What do you expect to receive for your next promotion recommendation?" Response choices were 1) Definitely Promote, 2) Promote, 3) Do Not Promote This Board, and 4) I will not be evaluated under the new system (retiring, resigning, etc.). This item was used to differentiate officers by the promotion recommendation they expected to receive under the OES.
Opinions About OER and OES

The survey contained 35 items measuring opinions about aspects of both the previous OER system and the current OES. Each item was rated on a 7-point rating scale ranging from (1) strongly disagree to (7) strongly agree.

The first ten opinion items to be examined compared the opinions of officers responding to Pontiff’s (1987) study on the OER system to identical items referencing the OES in the current study. The ten items were extracted from Pontiff’s (1987) study. They were taken verbatim, with the exception of the necessary change in stipulating the evaluative referent (i.e., OES replaced OER).

Selecting best qualified. Pontiff (1987) asked his sample of respondents to evaluate the statement "OER forms and other documents in promotion folders permit promotion boards members to select the best qualified." Officers were being asked to evaluate the utility of documents used by promotion boards to select officers for promotion (e.g., OER, personal photo, etc.). The current survey contained a similar item referencing OES documents.

Identify performance. Pontiff (1987) used a series of five items to measure the capacity of the OER to reflect various levels of performance. Similar items were incorporated in the current survey to gauge the ability of the OES to reflect varying levels of officer duty performance. These items, as they originally appeared in the Pontiff
survey, are as follows:

1) The item "Well-Below Average Performance Identified" asked the officer's opinion about the statement, "An officer whose duty performance is well below average is easily identified under the current OER system."

2) The item "Below Average Performance Identified" asked the respondent's opinion about the statement, "An officer whose duty performance is below average is easily identified under the current OER system".

3) The item "Average Performance Identified" sought an opinion about the statement, "An officer whose duty performance is average is easily identified under the current OER system."

4) The item "Above Average Performance Identified" asked the officer's opinion about the statement, "An officer whose duty performance is above average is easily identified under the current OER system."

5) The item "Well-Above Average Performance Identified" asked the respondent's opinion about the statement, "An officer whose duty performance is well above average is easily identified under the current OER system."

Pontiff found that the majority of officers agreed the OER system was capable of identifying those officers whose duty performance was at the two extremes (well below average and well above average), but
the OERs capability degraded when attempting to identify duty performance that lay in between these two extremes.

**Time spent on OPR.** Pontiff (1987) employed three items to measure concerns about the amount of time spent completing Officer Effectiveness Reports. Similar items evaluating time spent on the OES's Officer Performance Report (OPR) were incorporated in the current study. Pontiff (1987) concluded that officers felt "the time is well spent; however, they (the officers) would dearly like to see a reduction in the noncritical 'administrivia'" (p. 15). The three items, as they appeared in the current study, are shown below.

1) The item "OPR Appearance" asked the officer to give his or her opinion on the statement, "More time is spent on OPR appearance than content."

2) The item "Time on OPR Process" sought an opinion on the statement, "Too much time is taken up by the entire OPR process (from initial draft to becoming a matter of record)."

3) The item "Value of Time on OPRs" asked the respondent to evaluate the statement, "The time needed to prepare OPRs is well worth the effort."

**Personal input into OPR.** Pontiff (1987) asked the officer's opinion of the statement, "I should have more input into my OER before it becomes a matter of record." Pontiff found mixed responses to this item, with almost half (47%) of the officers in his study
choosing the neither agree nor disagree response. A similar item referring to the OPR was embedded in the current survey.

Pairs of items were used in the current survey to gather comparable response evaluations of the OER and OES.

**OER and OES promotion fairness.** Officers in the current study were asked to evaluate the fairness of promotion decisions under the two evaluation systems.

1) The item "OER Promotion Decisions" asked the officer’s opinion about the statement, "Promotion decisions were fair and just under the previous OER system."

2) The item "OES Promotion Decisions" asked the respondent’s opinion about the statement, "Promotion decisions are fair and just under the current OES."

**OER and OES appraisal fairness.** Respondents to the current survey were asked their opinion about the fairness of performance appraisals under the two systems.

1) The item "OER Appraisal Fairness" asked the officer to evaluate the statement, "Performance was fairly and accurately appraised under the previous OER system."

2) The item "OES Appraisal Fairness" asked the respondent to evaluate the statement, "Performance is fairly and accurately appraised under the current OES."

**OER and OES feedback clarity.** In the current study, officers
were asked their opinion about the clarity and timeliness of feedback under the two systems.

1) The item "OER Clarity" asked the officer's opinion about the statement, "Under the previous OER system officers received clear and timely feedback."

2) The item "OES Clarity" asked the respondent's opinion about the statement, "Under the current OES officers receive clear and timely feedback."

**Quality of feedback.** There were ten items that examined feedback under the current system. The purpose was to determine if officers were receiving formal feedback in accordance with the guidelines established by Air Force Pamphlet 36-6, *USAF Officer's Guide to the Officer Evaluation System*. Two of the ten items evaluated perceptions of payoffs for feedback relative to the officer's job. The respondents were instructed to give their opinion on the ten items only if they had received feedback from a rater using the Performance Feedback Worksheet. About one half (i.e., 444 of 906 respondents) of the sample had received feedback.

1) The item "Specific Feedback" asked the respondent's opinion about the statement, "Specific examples of my performance were cited."

2) The item "Objective Feedback" asked the officer to evaluate the statement, "The comments concerning my performance were
3) The item "Two-Way Communication" sought an opinion on the statement, "There was two-way communication between my rater and me."

4) The item "Balanced Feedback" asked the officer to evaluate the statement, "Both my strengths and weaknesses were discussed."

5) The item "Rater Responsiveness" sought an opinion about the statement, "My rater listened to what I had to say in response to his feedback."

6) The item "Performance and Officership" asked the respondent's opinion about the statement, "The focus was on duty performance and officership."

7) The item "Scope of Feedback" asked the officer's opinion about the statement, "The examples of my behavior cited by the rater were drawn from the entire rating period, not just recent events."

8) The item "Constructive Feedback" sought an opinion about the statement, "My rater and I discussed a course of action for improved performance for my next feedback session."

9) The item "Understand Job" asked the respondent's opinion about the statement, "As a result of the latest feedback session, I have a better understanding of what is expected of me."

10) The item "Ability to do Job" asked the officer's opinion about the statement, "As a result of the latest feedback session, I will be
able to do my job better."

**Quality of PFW.** There were three items dealing with the ease of completion and value of the Performance Feedback Worksheet (PFW). Officers were told to respond to the three items only if they had provided feedback as a rater using the worksheet.

1) The item "Ease of PFW Completion" asked the officer's opinion about the statement, "The format of the PFW makes it easy to complete."

2) The item "Useful Rating Scales" sought an opinion about the statement, "The rating scales are useful in portraying how much improvement is needed in an officer's performance."

3) The item "Value of PFW" asked the respondent's opinion about the statement, "The PFW is a valuable tool for conducting a well organized feedback session."

**Ease of OPR completion.** Officers were asked their opinion about the statement, "The OPR is easier to complete than its predecessor, the OER." Officers were to respond to this and the next item only if they had completed an Officer Performance Report as a rater.

**Value of OPR.** This item asked the respondent's opinion about the statement, "The OPR is a better tool for documenting job performance than the OER."

**Feedback for Lts and Capts.** Formal feedback is mandatory for lieutenants and captains. To judge the perceived accuracy of
feedback for this group of officers, respondents were asked their opinion about the statement, "The Officer Evaluation System (OES) provides lieutenants and captains with accurate feedback on their duty performance."

**Accuracy of assessment.** To determine if officers feel their duty performance is being accurately appraised under the OES, they were asked their opinion about the statement, "The OES provides me with an accurate assessment of my duty performance and potential based upon that performance."

**Senior rater qualification.** As a result of the new decentralized promotion process, the senior rater has a more direct role in determining a subordinate's chance of being promoted. This item was designed to find out how much officers trust their senior rater with the statement, "My senior rater is better qualified to determine my promotion potential than a central promotion board."

**Organization affecting promotion.** Because "Definitely Promote" recommendations are allocated according to manning levels, some small units do not receive any. Officers from these small units meet intermediate promotion boards at the next higher organization level. To determine if officers feel this could affect their chances of receiving a "Definitely Promote" recommendation, respondents were asked their opinion about the statement, "An officer has an equal chance of receiving a "Definitely Promote" recommendation"
regardless of the organizational level to which he or she is assigned."

Factor Analysis

For the purposes of data reduction, factor analysis was
performed on the 35 opinion items. The resulting scales were then
subjected to reliability analysis using Cronbach's alpha. The results
of this analysis are shown in Table 2.

Data reduction was especially useful when examining
differences of opinion between population subgroups for all 35 opinion
items. For other analyses, data collected on the individual items were
more appropriate.

Procedure

Survey questionnaires were mailed to 1,526 Air Force line
officers worldwide. Instructions on the form assured the respondent
that all information he or she provided would be held in strictest
confidence. Keywords used throughout the questionnaire were
defined to avoid confusion. Respondents were asked to return the
completed optical-scanning form within one week of receipt.

Comparison of the Current Sample with Pontiff's (1987) Sample

Of the 1,526 surveys mailed in the current study, 906 were
returned for a response rate of 59.3%. Of the 906 respondents, 59.3%
### TABLE 2
Factor Analysis Results and Reliability Coefficients

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<td>Feedback for Lts &amp; Capts</td>
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<td>Assessment of Performance</td>
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<tr>
<td>OER Appraisal Fairness</td>
<td></td>
<td></td>
</tr>
<tr>
<td>OER Clarity</td>
<td></td>
<td></td>
</tr>
<tr>
<td>OES Promotion Decisions</td>
<td>Perception of OES</td>
<td>.76</td>
</tr>
<tr>
<td>OES Appraisal Fairness</td>
<td></td>
<td></td>
</tr>
<tr>
<td>OER Clarity</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Specific Feedback</td>
<td>Quality of Feedback</td>
<td>.94</td>
</tr>
<tr>
<td>Objective Feedback</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Two-Way Communication</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Balanced Feedback</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rater Responsiveness</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Performance and Officership</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Scope of Feedback</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Constructive Feedback</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Understanding Job</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ability to do Job</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ease of PFW Completion</td>
<td>Quality of PFW</td>
<td>.84</td>
</tr>
<tr>
<td>Useful Rating Scales</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Value of PFW</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
were company grade officers and 40.2% were field grade officers. In Pontiff's (1987) study, 1,518 surveys were mailed and 981 responded for a response rate of 64.6%. Of the 981 officers participating in Pontiff's study, 47% were company grade officers and 53% were field grade officers. Currently, 64.4% of all officers in the USAF are company grade officers and 35.6% are field grade officers.

Chi-square tests (for two independent samples) compared Pontiff's sample with the current study's sample on items measuring Grade (company grade or field grade), Rank, Gender, Race, and Aeronautical Rating. The purpose of these tests was to determine if the two samples were significantly different in composition. In addition, to see if the current study's sample was significantly different from the overall Air Force population, similar tests were performed on the same measures.

Comparison of OER and OES

Two analyses compared perceptions of the previous Officer Effectiveness Reporting (OER) system and the Officer Evaluation System (OES). The first analysis involved comparison of the responses to items in Pontiff's (1987) study referencing the OER with responses to similar items in the current study referencing the OES. A second analysis evaluated responses of the current sample to pairs of items asking the officer's opinion about aspects of both systems.
Analysis of Opinion Items

To analyze officer perceptions about various features of the OES, the distribution of responses across the 7-point rating scale for certain items was tabulated. The goal was to determine the majority opinion of officers in the sample.

Comparison of Subgroups

Differences in opinion between subgroups may identify unanticipated biases with respect to the OES. Statistical tests were performed on key subgroups of the sample to identify significant differences. For data reduction purposes, scales based on factor analysis results were used in these analyses.
III. Results

Comparison of Pontiff's (1987) Sample with the Current Sample

Current study responses to the demographic items measuring Grade (i.e., company grade or field grade), Rank, Gender, Ethnic Origin, and Aeronautical Rating were compared with Pontiff's (1987) study. In addition, comparisons were made between the present sample and USAF-wide manpower statistics on these same measures. Chi-square tests (two independent samples) were performed to determine whether the composition of the present sample was different from Pontiff's sample or the Air Force population as a whole. Table 3 provides the results of this analysis. Given the sample sizes and the high degree of statistical power in the study, a conservative level of statistical significance (i.e., $p < .01$) was used throughout the study.

Tests comparing Pontiff's study and the current study produced significant differences on measures of Grade, Rank, and Ethnic Origin. A higher percentage of field grade officers responded to Pontiff's study than to the current study. Also, a lower percentage of minority group officers responded to Pontiff's study. Given the evidence of differences between the current study and Pontiff's (1987) sample, comparisons between the two sets of results must be
### TABLE 3
Chi-square Tests Comparing Sample-Composition Statistics

<table>
<thead>
<tr>
<th>Variable</th>
<th>Current Sample</th>
<th>Pontiff Sample</th>
<th>USAF Rep.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>% %</td>
<td>% %</td>
<td>% %</td>
</tr>
<tr>
<td><strong>Grade</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Company grade</td>
<td>59.8 47.0</td>
<td>31.10*</td>
<td>64.4 3.90</td>
</tr>
<tr>
<td>Field grade</td>
<td>40.2 53.0</td>
<td>35.6</td>
<td>35.6</td>
</tr>
<tr>
<td><strong>Rank</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2Lt</td>
<td>7.2 6.0</td>
<td>10.4</td>
<td></td>
</tr>
<tr>
<td>Lt</td>
<td>13.6 11.0</td>
<td>14.1</td>
<td></td>
</tr>
<tr>
<td>Captain</td>
<td>39.1 30.0</td>
<td>35.66*</td>
<td>39.9 8.14</td>
</tr>
<tr>
<td>Major</td>
<td>21.7 25.0</td>
<td>18.6</td>
<td></td>
</tr>
<tr>
<td>LtCol</td>
<td>12.8 20.0</td>
<td>11.7</td>
<td></td>
</tr>
<tr>
<td>Colonel</td>
<td>5.6 8.0</td>
<td>5.3</td>
<td></td>
</tr>
<tr>
<td><strong>Gender</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Female</td>
<td>11.4 9.0</td>
<td>3.08</td>
<td>11.3 0.01</td>
</tr>
<tr>
<td>Male</td>
<td>88.6 91.0</td>
<td>88.7</td>
<td></td>
</tr>
<tr>
<td><strong>Ethnic Origin</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Black</td>
<td>5.1 4.0</td>
<td>5.5</td>
<td></td>
</tr>
<tr>
<td>Caucasian</td>
<td>88.7 93.0</td>
<td>12.50*</td>
<td>92.2 16.66*</td>
</tr>
<tr>
<td>Oriental</td>
<td>2.0 1.0</td>
<td>....</td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td>4.2 2.0</td>
<td>2.3a</td>
<td></td>
</tr>
<tr>
<td><strong>Aeronautical Rating</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-Rated</td>
<td>60.5 55.0</td>
<td>61.5</td>
<td></td>
</tr>
<tr>
<td>Navigator</td>
<td>11.6 13.0</td>
<td>11.5b</td>
<td>0.19</td>
</tr>
<tr>
<td>Pilot</td>
<td>26.2 31.0</td>
<td>27.0b</td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td>1.7 1.0</td>
<td>....</td>
<td></td>
</tr>
</tbody>
</table>

*a* Includes officers with oriental ethnic origin.

*b* Includes officers with other than pilot or navigator aeronautical rating.

*p* < .01.
tempered by the recognition that the samples, while randomly drawn from the same population, were nevertheless not entirely identical.

There were no significant differences between the current study and statistics for the Air Force population on measures of Grade, Rank, Gender, and Aeronautical Rating. These data support the conclusion that respondents in the current study were reasonably representative of the Air Force as a whole. The current sample was significantly different from the Air Force population on the basis of ethnic origin. Hence, conclusions must be tempered by this knowledge.

Results of Self-Reported Appraisals

Front-Side Ratings

Of the 901 officers responding to this item, 92.5% reported receiving all "fire-walled" OER ratings, 1.1% had not, and 6.4% reported never to have been evaluated under the previous OER system.

Back-Side Ratings

Of the 901 officers responding, 92.7% reported all "top-block" OER ratings, 0.9% had received lower ratings, and 6.4% had never
been evaluated under the OER system.

The resulting high percentage of officers receiving "firewalled" front-side ratings and "top-block" back-side ratings from the previous OER system supports wide-spread belief that leniency error had severely eroded the ability of these rating scales to serve as useful standards of measurement in the performance appraisal and evaluation process.

**Endorsement Level**

Of the 902 officers responding, 32.0% reported receiving at most a colonel's endorsement, 15.4% received a brigadier general's endorsement, 30.4% a lieutenant general's endorsement, 3.0% received at least a general's endorsement, and 5.8% reported not to having been evaluated under the previous OER system.

**Promotion Recommendation Received**

Only 190 (21.0%) of the 906 officers reported to have been evaluated for promotion under the new OES. Of those responding, 55.2% reported receiving a "Definitely Promote" recommendation, 37.4% received a "Promote" recommendation, and 7.4% received a "Do Not Promote This Board" recommendation. The small percentage of officers responding to this item was due to the relatively low number of promotion boards that have met under the new
system. To date, there has been only one promotion board advancing company grade officers to field grade billets under the OES.

**Promotion Recommendation Expected**

This item asked officers to predict the recommendation they expected to receive prior to their next OES promotion board. Of the 891 responding, 54.4% believed they would receive a "Definitely Promote" recommendation, 34.2% expected to receive a "Promote" recommendation, 3.3% expected to receive a "Do Not Promote This Board" recommendation, and 8.1% reported they would not be evaluated under the new OES (i.e., retiring, resigning, etc.).

**Analysis of Objectives**

**Objective 1**

The main objective of the study was to determine if the current OES is perceived by officers as an improvement over the previous OER system for the purposes of accurately assessing duty performance, selecting the best qualified for promotion, and providing feedback. To support this objective, comparisons were made between comparable items from the Pontiff study and the current study. In addition, responses from the current study, asking officers to evaluate the OES and the OER system, were compared.
Table 4 shows the results of responses to six items common to the two studies. Hypothesis 1a, which predicted that officers would perceive the current OES to be better than the previous OER system in identifying levels of job performance, was supported. Officers appeared to favor the OES. They believed that all officers, from those with well-below average duty performance to those with well-above average duty performance, were more easily differentiated by the new system. They also believed the OES was a better tool for assisting promotion board members in selecting the best qualified.

Table 5 shows the results from the current study for the pairs of items used to compare the OER and OES. Hypothesis 1b, predicting differences in the fairness of promotion decisions under the two systems, was supported. Officers rated the OES significantly higher than the OER system in its ability to foster fair promotion decisions. Hypothesis 1c, relating to the fairness and accuracy of job performance appraisals under the OER and OES, was supported. Officers favored the OES in its ability to provide fair and accurate appraisals. Finally, Hypothesis 1d, predicting differences in the quality of feedback under the two systems, was supported. As evidenced by the large t-value, there was a substantial difference on perceived feedback. Officers felt they received more clear and timely feedback under the OES.
### TABLE 4
T-Tests Comparing Ratings on Items Common
to the Current Study and to the Pontiff (1987) Study

<table>
<thead>
<tr>
<th>Item</th>
<th>Pontiff Sample</th>
<th>Current Sample</th>
<th>t</th>
</tr>
</thead>
<tbody>
<tr>
<td>Selecting Best Qualified</td>
<td>3.76 1.75</td>
<td>4.50 1.50</td>
<td>6.82*</td>
</tr>
<tr>
<td>Well-Below Average Performance Identified</td>
<td>4.16 1.92</td>
<td>4.94 1.53</td>
<td>9.82*</td>
</tr>
<tr>
<td>Below Average Performance Identified</td>
<td>3.46 1.72</td>
<td>4.55 1.48</td>
<td>14.81*</td>
</tr>
<tr>
<td>Average Performance Identified</td>
<td>2.97 1.54</td>
<td>4.18 1.46</td>
<td>17.60*</td>
</tr>
<tr>
<td>Above Average Performance Identified</td>
<td>3.40 1.67</td>
<td>4.38 1.46</td>
<td>13.50*</td>
</tr>
<tr>
<td>Well-Above Average Performance Identified</td>
<td>4.12 1.87</td>
<td>4.81 1.59</td>
<td>8.69*</td>
</tr>
</tbody>
</table>

*p < .001.
<table>
<thead>
<tr>
<th>Item</th>
<th>M</th>
<th>SD</th>
<th>t</th>
</tr>
</thead>
<tbody>
<tr>
<td>OER Promotion Fairness</td>
<td>3.51</td>
<td>1.54</td>
<td>10.34*</td>
</tr>
<tr>
<td>OES Promotion Fairness</td>
<td>4.11</td>
<td>1.30</td>
<td></td>
</tr>
<tr>
<td>OER Appraisal Fairness</td>
<td>3.14</td>
<td>1.55</td>
<td>19.45*</td>
</tr>
<tr>
<td>OES Appraisal Fairness</td>
<td>4.32</td>
<td>1.35</td>
<td></td>
</tr>
<tr>
<td>OER Feedback Clarity</td>
<td>2.32</td>
<td>1.22</td>
<td>36.57*</td>
</tr>
<tr>
<td>OES Feedback Clarity</td>
<td>4.58</td>
<td>1.45</td>
<td></td>
</tr>
</tbody>
</table>

*p < .001.
As evidenced by the data from both sources, the OES was perceived by Air Force line officers as an improvement over the former OER system in terms of its ability to accurately assess duty performance, select the best qualified for promotion, and provide feedback.

**Objective 2**

Objective 2 was to determine if the feedback officers were receiving under the OES was in accordance with Air Force Pamphlet 36-6, *USAF Officer’s Guide to the Officer Evaluation System*. Hypothesis 2, predicting that a majority of officers agree that raters are adhering to the guidelines on feedback, was supported.

Across the ten items in Table 6 aimed at determining the quality of feedback being received during formal feedback sessions, a majority (i.e., 58.1% to 82.2%) of officers agreed that they were receiving feedback in accordance with the guidelines. The content of these items suggest that specific examples of performance were being cited from the entire rating period, the comments were objective, there was two-way communication, both strengths and weaknesses were being discussed, the raters were listening to feedback from the ratees, the focus was on duty performance and officership, and courses of improvement were being discussed. As a result of these feedback sessions, the ratees felt they had a better


TABLE 6

Distribution of Opinions on Current Feedback

<table>
<thead>
<tr>
<th>Item</th>
<th>DisAgree</th>
<th>Neutral</th>
<th>Agree</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Specific Feedback</td>
<td>15.5</td>
<td>4.8</td>
<td>79.7(^a)</td>
<td>444</td>
</tr>
<tr>
<td>Objective Feedback</td>
<td>11.3</td>
<td>8.7</td>
<td>80.0(^a)</td>
<td>444</td>
</tr>
<tr>
<td>Two-Way Communication</td>
<td>13.1</td>
<td>4.7</td>
<td>82.2(^a)</td>
<td>444</td>
</tr>
<tr>
<td>Balanced Feedback</td>
<td>15.5</td>
<td>5.9</td>
<td>78.6(^a)</td>
<td>444</td>
</tr>
<tr>
<td>Rater Responsiveness</td>
<td>12.6</td>
<td>9.7</td>
<td>77.7(^a)</td>
<td>444</td>
</tr>
<tr>
<td>Performance &amp; Officership</td>
<td>10.0</td>
<td>8.1</td>
<td>81.9(^a)</td>
<td>442</td>
</tr>
<tr>
<td>Scope of Feedback</td>
<td>16.5</td>
<td>9.2</td>
<td>73.6(^a)</td>
<td>443</td>
</tr>
<tr>
<td>Constructive Feedback</td>
<td>27.3</td>
<td>12.6</td>
<td>60.1(^a)</td>
<td>439</td>
</tr>
<tr>
<td>Understanding Job</td>
<td>20.6</td>
<td>14.8</td>
<td>64.6(^a)</td>
<td>441</td>
</tr>
<tr>
<td>Ability to Do Job</td>
<td>22.2</td>
<td>19.7</td>
<td>58.1(^a)</td>
<td>437</td>
</tr>
</tbody>
</table>

\(^a\) percentage of responses exceeds 50%.
understanding of their jobs and believed they would be able to do their jobs better.

**Objective 3**

Increased responsibility for senior raters in the promotion process was an additional change instituted with the introduction of the revised OES. To examine officer attitudes toward this change, officers were asked who was better qualified to determine their promotion potential. Hypothesis 3, which predicted that a majority of officers would feel their senior rater was more qualified than a central promotion board, was supported. A majority (72.4%) of the 904 respondents favored their senior rater, 16.3% favored a central promotion board, and 11.3% had no preference.

**Objective 4**

Objective 4 sought to determine if officers believed they have an equal chance of receiving a "Definitely Promote" recommendation regardless of the organizational level to which they were assigned. Hypothesis 4, which predicted that a majority of officers would feel they have an equal chance of receiving a "Definitely Promote" recommendation, was not supported. A majority (64.8%) of the
fourth (23.3%) of the 904 respondents thought they had an equal chance, and 11.9% were undecided.

**Objective 5**

The OES revision introduced new forms for completion. The purpose of objective 5 was to determine how officers felt about the utility of the two new forms, the Performance Feedback Worksheet (PFW) and the Officer Performance Report (OPR). The results of this analysis are shown in Table 7.

The hypothesis (i.e., Hypothesis 7a) stating that the PFW is easy to complete and a valuable tool was supported. Between 71.4% and 81.1% of approximately 300 officers surveyed agreed that the PFW is easy to complete, that the rating scales were useful, and that it was a valuable tool for conducting a well-organized feedback session.

Hypothesis 5b, which predicted that the OPR was easier to complete and better than the OER for documenting performance, was supported. Of the 320 respondents, 86.3% agreed that the OPR was easy to complete and almost 70% thought the OPR was a better tool than the OER for documenting job performance.

**Objective 6**

To determine how officers felt about the amount of time spent completing OES forms relative to the amount of time spent
TABLE 7
Distribution of Opinions on OES Forms

<table>
<thead>
<tr>
<th>Item</th>
<th>Disagree</th>
<th>Neutral</th>
<th>Agree</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ease of PFW Completion</td>
<td>10.9</td>
<td>9.0</td>
<td>80.1(^a)</td>
<td>302</td>
</tr>
<tr>
<td>Useful PFW Rating Scales</td>
<td>15.3</td>
<td>13.3</td>
<td>71.4(^a)</td>
<td>301</td>
</tr>
<tr>
<td>Value of PFW</td>
<td>10.3</td>
<td>8.6</td>
<td>81.1(^a)</td>
<td>301</td>
</tr>
<tr>
<td>Ease of OPR Completion</td>
<td>7.8</td>
<td>5.9</td>
<td>86.3(^a)</td>
<td>320</td>
</tr>
<tr>
<td>Value of OPR</td>
<td>17.2</td>
<td>13.1</td>
<td>69.7(^a)</td>
<td>320</td>
</tr>
</tbody>
</table>

\(^a\) percentage of responses exceeds 50%.
completing OER forms, a comparison was made between responses from Pontiff's (1987) study and the current study. Three common items were used in both studies. The results are shown in Table 8. Hypothesis 6, predicting that there were no differences in officer perceptions of the amount of time spent filling out both forms, was not supported. Officers in the current study were significantly less concerned by the amount of time spent on the Officer Performance Report process than officers in the Pontiff study. Current respondents also felt the time needed to prepare OPRs was more worthwhile than did Pontiff's respondents.

Objective 7

The purpose of objective 7 was to determine if there were significant differences in perceptions of the OES between minority and majority subgroups of the population. No significant differences were found between white officers and nonwhite officers or between males and females. Hypothesis 7a, which predicted that there would be is no overt evidence of discrimination in the OES, was supported.

Table 9 shows there were significant differences in the views of company and field grade officers. The prediction (Hypothesis 7b) that company and field grade officers would feel no differently about the OES was not supported. Company grade officers were more
<table>
<thead>
<tr>
<th>Item</th>
<th>Pontiff Sample</th>
<th>Current Sample</th>
<th>t</th>
</tr>
</thead>
<tbody>
<tr>
<td>OPR Appearance</td>
<td>4.80 1.69</td>
<td>4.42 1.65</td>
<td>4.97*</td>
</tr>
<tr>
<td>Time on OPR Process</td>
<td>5.00 1.75</td>
<td>4.61 1.68</td>
<td>4.99*</td>
</tr>
<tr>
<td>Value of Time on OPRs</td>
<td>4.17 1.77</td>
<td>4.69 1.48</td>
<td>6.89*</td>
</tr>
</tbody>
</table>

*p < .001.
TABLE 9
T-Tests Comparing Responses from Company Grade and Field Grade Officers

<table>
<thead>
<tr>
<th>Measure</th>
<th>Company Grade</th>
<th>Field Grade</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>M</td>
<td>SD</td>
</tr>
<tr>
<td>Identify &amp; Select Best&lt;sup&gt;a&lt;/sup&gt;</td>
<td>4.64</td>
<td>1.10</td>
</tr>
<tr>
<td>Time Spent on Forms&lt;sup&gt;a&lt;/sup&gt;</td>
<td>4.21</td>
<td>1.22</td>
</tr>
<tr>
<td>Perception of Previous OER&lt;sup&gt;a&lt;/sup&gt;</td>
<td>2.95</td>
<td>1.14</td>
</tr>
<tr>
<td>Perception of Current OES&lt;sup&gt;a&lt;/sup&gt;</td>
<td>4.42</td>
<td>1.10</td>
</tr>
<tr>
<td>Quality of Feedback&lt;sup&gt;a&lt;/sup&gt;</td>
<td>5.18</td>
<td>1.20</td>
</tr>
<tr>
<td>Quality of PFW&lt;sup&gt;a&lt;/sup&gt;</td>
<td>5.19</td>
<td>1.10</td>
</tr>
<tr>
<td>Ease of OPR Completion&lt;sup&gt;b&lt;/sup&gt;</td>
<td>5.60</td>
<td>1.37</td>
</tr>
<tr>
<td>Value of OPR&lt;sup&gt;b&lt;/sup&gt;</td>
<td>5.13</td>
<td>1.50</td>
</tr>
<tr>
<td>Personal Input Into OPR&lt;sup&gt;b&lt;/sup&gt;</td>
<td>4.54</td>
<td>1.51</td>
</tr>
<tr>
<td>Senior Rater Qualification&lt;sup&gt;b&lt;/sup&gt;</td>
<td>5.35</td>
<td>1.49</td>
</tr>
<tr>
<td>Org. Affecting Promotion&lt;sup&gt;b&lt;/sup&gt;</td>
<td>3.11</td>
<td>1.69</td>
</tr>
</tbody>
</table>

<sup>a</sup> Multi-item scales based on factor analysis.
<sup>b</sup> Individual items.

*p < .005. **p < .001.
positive about the performance feedback sessions and had more trust in their senior rater's role in promotion decisions than field grade officers. Company grade officers were more concerned than field grade officers about the amount of time spent completing OES forms and the amount of input they had into their OPR before it became a matter of record.

Hypothesis 7c, stipulating that nonrated and rated officers would feel no differently about the OES, was not supported. Table 10 shows there were significant differences in the opinions of nonrated (officers with no aeronautical rating) and rated officers.

Nonrated officers had a more favorable view of the current OES and felt more strongly about its ability to identify and select the best qualified than did rated officers. Rated officers were more concerned than nonrated officers with the amount of time spent completing OES forms.
<table>
<thead>
<tr>
<th>Measures</th>
<th>Non-Rated</th>
<th>Rated</th>
<th>t</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identify &amp; Select Best&lt;sup&gt;a&lt;/sup&gt;</td>
<td>4.72</td>
<td>4.49</td>
<td>3.24*</td>
</tr>
<tr>
<td>Time Spent on Forms&lt;sup&gt;a&lt;/sup&gt;</td>
<td>3.98</td>
<td>4.31</td>
<td>3.82*</td>
</tr>
<tr>
<td>Perception of Previous OER&lt;sup&gt;a&lt;/sup&gt;</td>
<td>3.07</td>
<td>2.87</td>
<td>2.55</td>
</tr>
<tr>
<td>Perception of Current OES&lt;sup&gt;a&lt;/sup&gt;</td>
<td>4.43</td>
<td>4.20</td>
<td>2.97*</td>
</tr>
<tr>
<td>Quality of Feedback&lt;sup&gt;a&lt;/sup&gt;</td>
<td>5.15</td>
<td>4.99</td>
<td>1.33</td>
</tr>
<tr>
<td>Quality of PFW&lt;sup&gt;a&lt;/sup&gt;</td>
<td>5.31</td>
<td>4.97</td>
<td>2.56</td>
</tr>
<tr>
<td>Ease of OPR Completion&lt;sup&gt;b&lt;/sup&gt;</td>
<td>5.57</td>
<td>5.82</td>
<td>1.70</td>
</tr>
<tr>
<td>Value of OPR&lt;sup&gt;b&lt;/sup&gt;</td>
<td>5.06</td>
<td>5.02</td>
<td>0.24</td>
</tr>
<tr>
<td>Personal Input Into OPR&lt;sup&gt;b&lt;/sup&gt;</td>
<td>4.38</td>
<td>4.28</td>
<td>0.92</td>
</tr>
<tr>
<td>Senior Rater Qualification&lt;sup&gt;b&lt;/sup&gt;</td>
<td>5.12</td>
<td>5.29</td>
<td>1.56</td>
</tr>
<tr>
<td>Org. Affecting Promotion&lt;sup&gt;b&lt;/sup&gt;</td>
<td>3.10</td>
<td>2.98</td>
<td>1.00</td>
</tr>
</tbody>
</table>

<sup>a</sup> Multi-item scales based on factor analysis.

<sup>b</sup> Individual Items

*<sup>p</sup> < .005. **<sup>p</sup> < .001.
IV. Discussion

Accurate performance appraisals and the selection of the best qualified for promotion are at the forefront of Air Force officers' concerns regarding their performance appraisal system. The Air Force's "up or out" policy puts considerable weight on the outcome of periodic appraisals. In fact, "there is no parallel in private industry whereby one performance appraisal can, in effect, dictate a decision to lay off a person many years in the future" (Syllogistics, Inc. & The Hay Group, 1988, IV-11).

The main objective of this study was to determine if officers perceive the new OES to be better than the previous OER system in accurately assessing duty performance, selecting the best qualified for promotion, and providing constructive feedback. Responses from two random samples drawn from the USAF officer population indicate that officers perceive the new OES to be an improvement over the earlier OER system in assessing duty performance regardless of the level of that performance. The data indicate that respondents believed that promotion boards now have better information from which to select the best qualified. The data from the current study comparing the OES and the OER indicate that officers perceived that job performance was appraised more fairly and accurately and
promotion decisions were seen as fairer under the revised system.

These results are not surprising considering the changes that took place under the new system. The first change was a modification of the appraisal form, the Officer Performance Report (OPR). Under the new system, comments on completion of professional military education, advanced academic education, and family activities are not to be included on the OPR. While not diminishing the importance of these activities, the Air Force did remove them from the OPR to persuade raters to concentrate on job performance behaviors that contribute to the mission of the organization. The focus on job performance removed one of the inequities officers felt existed under the old system. It was perceived that some officers were being advanced, not based upon their contribution to the mission, but on the volume of nonmission-related activities they had completed during the rating period. This created internal conflict for officers who were not as adept at "gaming" the system but who felt their job performance was exemplary.

The second change involved decentralizing the promotion process. The senior rater now has greater influence on an officer’s chances for promotion. In the Syllogistics & Hay Group (1988) study, most officers felt more control was needed and that the wing level was the most likely place to implement greater control. Findings
from the current study tend to strengthen this argument. The majority of officers agreed that their senior rater was better qualified to determine their promotion potential than a central promotion board. There was a feeling among junior officers, in particular, that individuals on the central promotion board didn't have time for an in-depth examination of an officer's records (Syllogistics, Inc. & The Hay Group, 1988). Officers may feel that more care will be taken in promotion decisions made at the unit level where the senior rater has a greater stake in the success of his or her own officers.

One of the major reasons the Air Force went to a forced distribution method was because of leniency error in ratings. In the current study, 92.5% of the respondents reported receiving "firewalled" front-side ratings and 92.7% reported "top-block" back-side ratings on their last OER. These results clearly confirm the wide-spread belief that the old system was incapable of coping with the leniency-error tendencies of Air Force raters. Under the new system, 55.2% reported receiving "Definitely Promote" recommendations on their latest promotion board, 37.4% reported receiving a "Promote" recommendation, and 7.4% reported receiving a "Do Not Promote This Board" recommendation. Clearly, the forced distribution method underlying the OES has, in effect, reduced the rampant leniency error of the former system. It is also informative
to consider the data focusing on officer expectations for their next promotion recommendation. Of the 891 officers responding, 54.4% expected to receive a "Definitely Promote" recommendation, 34.2% expected to receive a "Promote" recommendation, and 3.3% expected to receive a "Do not Promote This Board" recommendation. The characteristics of these expectations corresponded very closely to the distribution of promotion recommendations actually doled out under the OES. Furthermore, these results indicate that the OES has apparently had a significant effect on officer expectations. The OES's forced distribution approach has not only resulted in actual controls on promotions, it has also affected the way officers think about their own promotion potential.

Data from the current study comparing the OER and the OES indicated that officers perceived feedback to be more clear and timely under the OES. Officers in the current study rated aspects of the feedback they received from the OES-mandated feedback sessions. The majority of officers provided favorable ratings on the feedback techniques being used, techniques that the Air Force encouraged raters to adopt through written pamphlets and videotape exercises. In all likelihood, raters have benefited from the feedback training they were given in tandem with implementation of the OES.

To increase accuracy in ratings, the focus of contemporary
research has shifted from emphasis on rater-error training to training raters not only to rate fairly but to observe accurately (Bernadin & Pence, 1981). The Air Force's approach to implementing the OES has emulated this trend by using videotape seminars which focus on observing and reporting job-related behavior accurately.

Studies have shown that the positive effects of rater training programs decrease over time (Bernadin, 1978; Ivancevich, 1979). Potentially, the benefits of recent formal feedback sessions were a result of rater interest in adapting to the new system and the extensive training provided. In light of evidence indicating decreased positive effects of rater training over time (Bernadin & Pence, 1981), it may be necessary to continue active rater training to maintain high levels of constructive feedback under the auspices of the OES feedback program.

On the issue of promotion opportunity, the majority of officers felt they did not have an equal chance of receiving a "Definitely Promote" recommendation regardless of the organizational level to which they were assigned. It is unfortunate that no data were available to determine whether this feeling existed prior to the OES. One possible explanation for this finding may reside in the method used to determine "Definitely Promote" allocations. Some very small units
receive no allocations and must forward officers for promotion recommendations to the next higher organizational level. This process could produce a perceived disadvantage for the affected officer.

Another concern is the perceived inequality between groups at different levels in the organization. Officers may feel they have a better chance of receiving a "Definitely Promote" recommendation at a base-level assignment where the competition may not be as intense. At headquarters level many junior officers have already proven themselves at base level before being advanced to the headquarters. Since officers assigned to a headquarters may perceive they are competing with a more elite group, they may also believe this diminishes their chance of receiving a "Definitely Promote" recommendation.

Differences in perceptions between minority and majority subgroups of the population could signal deficiencies in the OES, an evaluation system intended to be as free from bias as possible. In several studies examining the interaction between the sex of the rater and the sex of the ratee on performance appraisals, no systematic evidence of gender bias was found (Mobley, 1982; Peters et al., 1984; Wexley & Pulakos, 1983). In a meta-analysis of the effects of a ratee's race on performance ratings, supervisors tended to give higher
ratings to same-race subordinates, but as the percentage of blacks increased in the work environment, race effects decreased (Kraiger & Ford, 1985). With respect to the OES, no differences in perceptions were found between male and female officers and between white and nonwhite officers.

When comparing perceptions by grade, company grade officers had a more positive view of OES feedback sessions than did field grade officers. These results were in line with the Syllogistics & Hay Group (1988) study which determined that junior officers (i.e., company grade) expressed the strongest desire to receive feedback on their performance from their immediate supervisors. In the current study, company grade officers were also more in favor of a decentralized promotion system than their field grade counterparts.

There are two plausible explanations for the differences between field grade officers and company grade officers in terms of their preference for decentralization of promotion decisions. First, many field grade officers remember the unpopular "controlled" OER system between 1974 and 1978 and, thus, may be reluctant to accept a new system that features controls on promotion recommendations. Most company grade officers are too junior to have been affected by the "controlled" OER system. Secondly, most field grade officers have an investment in the older system. That is, they have spent the
last ten years preparing for evaluations under the old system (i.e., "filling squares") and may be reluctant to learn a new set of rules this late in their careers.

In the current study, company grade officers were also more concerned about the amount of time spent completing OES forms than field grade officers. It may be that the burden of writing OPRs is greater for junior grade officers who are generally less experienced at writing and may have less administrative support than field grade officers.

When comparing the OER system and the OES, nonrated officers were more positive than rated (i.e., flying) officers about the new OES. They were also more favorable about the OES’s ability to identify and select the best qualified. Perhaps rated officers, especially in the junior grades, believe that it is harder for them to be recognized for their performance. In a flying squadron there are dozens of junior grade officers all doing the same thing, flying. Not only are they competing with officers in the same squadron, but they are also competing with officers in other flying squadrons at the same base, as well. Nonrated officers of the same rank are often given jobs where they have direct responsibility for more people and resources, and thus, are perceived by rated officers to have a better chance of being recognized when it’s time to make promotion decisions.
With respect to the amount of time completing OES forms, rated officers were more concerned about the time spent than nonrated officers. Many nonrated officers work in an environment that supports administrative tasks, like completing performance reports, while their rated counterparts spend much of their time away from a desk either flying from the support base or from a temporary duty location. Flight duty is not conducive to administrative work and may be the reason rated officers are more concerned about the amount of time needed to complete OES forms.

Study Limitations

The most reliable results comparing officer perceptions of the previous OER system and the current OES would be obtained by a longitudinal study in which the responses of the same individuals were tracked over time. Unfortunately, this method of study was not feasible in the current instance. The current study compared an independent random sample from 1987 evaluating the OER to a second random sample evaluating the OES. Obviously, the legitimacy of my comparisons hinges on the degree of similarity of the two samples relative to their respective populations. The current sample was significantly different from the Pontiff (1987) study sample in terms of Career, Rank and Ethnic Origin. Conclusions
drawn from comparisons between these two studies must be
tempered by the knowledge that the samples were not entirely
parallel. The current sample was significantly different from the
Air Force population in terms of Ethnic Origin. This difference must
be considered when drawing conclusions about the
representativeness of the results, as well.

Data on the self-reported ratings for the items Front-Side
Ratings, Back-Side Ratings, Endorsement Level, and Promotion
Recommendation Received, relied on frank disclosure by the
respondents. The validity of such self-reports must be considered
when drawing conclusions (see e.g., Levine, 1980).

Another limitation of this research is the timing of the study.
The questionnaires were sent out 10 months after the
implementation of the new Officer Evaluation System. During that
time, no promotion boards for officers advancing to the more
competitive ranks of major, lieutenant colonel, and colonel took
place. Because the "real" competition had not yet taken place, the
data on the OES's ability to identify and select the best qualified is
based largely on perceptions of what officers "think" the OES is
capable of, not on their perceptions following the results of numerous
promotion cycles. Hence, the promotional material (e.g., videotapes)
provided to the officers on the OES may have had a greater impact on
the results than actual experience with the OES itself. Timing was also a factor for the 444 officers who received formal feedback under the OES. For the majority of them, they have not had a chance to compare what their superiors are saying about them to resulting promotion decisions.

Recommendations

The data from this study indicated that as of this juncture in time, officers perceive the OES as an improvement over the older OER system. Further research is warranted. The reasons why officers did not feel they had an equal chance of receiving a "Definitely Promote" recommendation regardless of their unit of assignment should be investigated. It is important not only to determine why they feel this way but also to gather the promotion data to confirm or deny their fears. Differences in perceptions between company grade and field grade officers should be studied to determine why field grade officers are less enthusiastic about the new OES. Differences in perception between nonrated and rated officers should also be investigated to determine whether those differences are due to aspects of the new OES or intervening variables not associated with the OES. All of these issues warrant further study. To draw more concrete conclusions about perceptions of the new OES, a
longitudinal study should be conducted downstream to allow time for the OES to "settle in" and become institutionalized. Particular attention should be paid to the level of rater training and the quality of feedback received during this period to determine whether or not a long-term rater training program should be institutionalized, as well.
Appendix A: U.S. Army Officer Evaluation Report

OFFICER EVALUATION REPORT SUPPORT FORM

For use of this form, see AR 623-105. The standard agency is OCS/PAG.

Read Privacy Act Statement on Reverse before Completing this Form.

PART I - RATED OFFICER IDENTIFICATION

<table>
<thead>
<tr>
<th>NAME OF RATED OFFICER</th>
<th>GRADE</th>
<th>ORGANIZATION</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

PART II - RATING CHAIN - YOUR RATING CHAIN FOR THE EVALUATION PERIOD IS

<table>
<thead>
<tr>
<th>RATER</th>
<th>GRADE</th>
<th>POSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>INTERMEDIATE RATER</th>
<th>GRADE</th>
<th>POSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SENIOR RATER</th>
<th>GRADE</th>
<th>POSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

PART III - VERIFICATION OF INITIAL FACE-TO-FACE DISCUSSION

An initial face-to-face discussion of duties, responsibilities, and performance objectives for the current rating period took place on ____________________________.

RATED OFFICER'S INITIALS ____________________________ RATER'S INITIALS ____________________________

PART IV - RATED OFFICER COMMENTS & CRITICISM FOR THE RATING PERIOD

A. STATE YOUR SIGNIFICANT DUTIES AND RESPONSIBILITIES

DUTY TITLE IS ____________________________ THE POSITION CODE IS ____________________________

B. INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES
1. AUTHORITY: See 301 Title 5 USC, See 3012 Title 10 USC

2. PURPOSE: DA Form 67-8. Officer Evaluation Report, serves as the primary source of information for officer personnel management decisions. DA Form 67-8-1. Officer Evaluation Support Form, serves as a guide for the rated officer's performance, development of the rated officer, enhances the accomplishment of the organization mission, and provides additional performance information to the rating chain.

3. ROUTINE USE: DA Form 67-8 will be maintained in the rated officer's official military Personnel File (OMPF) and Career Management Individual File (CMIF). A copy will be provided to the rated officer either directly or sent to the forwarding address above in Part 1. DA Form 67-8-1 is for organizational use only and will be returned to the rated officer after review by the rating chain.

4. DISCLOSURE: Disclosure of the rated officer's SBN (Part 1, DA Form 67-8) is voluntary. However, failure to verify the SBN may result in a delayed or erroneous processing of the officer's OER. Disclosure of the information in Part IV, DA Form 67-8-1 is voluntary. However, failure to provide the information requested will result in an evaluation of the rated officer without the benefits of that officer's comments. Should the rated officer use the Privacy Act as a basis not to provide the information requested in Part IV, the Support Form will contain the rated officer's statement to that effect and be forwarded through the rating chain in accordance with AR 623-105.
PART V - PERFORMANCE AND POTENTIAL EVALUATION

4. Rate the officer's performance during this rating period:
   - Always Exceeded
   - Usually Exceeded
   - Met Requirements
   - Usually Failed
   - Always Failed

5. Comment on any specific aspects of the performance:
   - Do not exceed Part V of Form 160 and Part VI of Form 160-D.
   - Do not use for comments Part VI.

PART VI - INTERMEDIATE RATER

6. Comments

PART VII - SENIOR RATER

7. Potential Evaluation for Promotion to the Next Higher Grade
   - Promote Ahead of Contemporaries
   - Promote with Contemporaries
   - Do Not Promote
   - Other Reason

8. Comments

9. Approved by:
   - Signature
   - Date

Completed on Form 160-D is not required with this report. If completed, it is not delivered. See Form 160-D for completion instructions.

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Appendix B: U.S. Navy Fitness Report

<table>
<thead>
<tr>
<th>Panels</th>
<th>03</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Panel 1</th>
</tr>
</thead>
</table>

**Table:**

<table>
<thead>
<tr>
<th>Period of Report</th>
<th>Period of Fitness Test</th>
<th>Reporting Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Jan 03 - 1 Jun 03</td>
<td>1 Jan 03 - 1 Jun 03</td>
<td>John Doe</td>
</tr>
</tbody>
</table>

**EVALUATION**

<table>
<thead>
<tr>
<th>Component &amp; Description</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Upper Body Power</td>
<td>Excellent</td>
</tr>
<tr>
<td>Lower Body Power</td>
<td>Good</td>
</tr>
<tr>
<td>Cardiovascular Endurance</td>
<td>Good</td>
</tr>
<tr>
<td>Flexibility</td>
<td>Fair</td>
</tr>
</tbody>
</table>

**SUMMARY**

- General Performance: Good
- Remarks: No significant issues observed.

**Signature of Reporting Officer**

John Doe

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Appendix C: U.S. Marine Corps Officer Evaluation Report

<table>
<thead>
<tr>
<th>USMC FITNESS REPORT (1510)</th>
<th>ALLOCATION UNITS</th>
</tr>
</thead>
<tbody>
<tr>
<td>PROGRAM</td>
<td>ORGANIZATION</td>
</tr>
<tr>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>21</td>
<td>22</td>
</tr>
<tr>
<td>42</td>
<td>43</td>
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<tr>
<td>63</td>
<td>64</td>
</tr>
<tr>
<td>84</td>
<td>85</td>
</tr>
</tbody>
</table>

REPRODUCED BY: [Handwritten Signature]  
Printed Name: [Handwritten Signature]  
Date: [Handwritten Signature]  
Additional Pages: [Handwritten Signature]  
Staple Additional Pages Here
REPORTING SENIOR'S CERTIFICATION

I certify that on the terminal date shown in Item 3 of Section A, I was the Reporting Senior for only those Marines of the same grade as shown in Item 15b of Section B. Those Marines are ALPHABETICALLY LISTED below. I rank this Marine as ________ of ________ (only rank Marines marked Outstanding in 15a and b. mark NA if not applicable).

REMARKS (mandatory if Item 4 above is checked):

NOTE. The information above WILL NOT be entered into any computer program.
### Appendix D: U.S. Coast Guard Officer Evaluation Report

#### TRANSPORTATION

**U.S. COAST GUARD**

**CG 6312 Page 1 (Rev. 9-89)**

#### LIEUTENANT COMMANDER OFFICER EVALUATION REPORT (OER)

**THE REPORTED-ON OFFICER WILL COMPLETE SECTION 1, ADMINISTRATIVE DATA**

<table>
<thead>
<tr>
<th>NAME (Last, First, Middle Initial)</th>
<th>b. SSN</th>
<th>c. GRADE</th>
<th>d. DATE OF RANK</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>e. UNIT NAME</th>
<th>f. DIST</th>
<th>g. OFFAC</th>
<th>h. OBC</th>
<th>i. STATUS INDICATOR</th>
<th>j. DATE SUBMITTED</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**THE SUPERVISOR WILL COMPLETE SECTIONS 2 - 7. In Section 2, describe the officer's job including primary duties, treatment of subordinates, and interactions with other Coast Guard personnel. For each year of the rating period, list the officer's performance during the reporting period against this description and provide a narrative of the officer's performance in the specified duties. Section 2 should be typed in the officer's area of specialization. In the space following each section, describe the basis for the overall performance rating provided.**

#### 1. COMMENTS (Performance of Duties)

<table>
<thead>
<tr>
<th>1. PERFORMANCE OF DUTIES</th>
<th>Measures an officer's ability to get things done</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>a. BASIC REQUIREMENTS</strong></td>
<td>Required skills and knowledge to do the job</td>
</tr>
</tbody>
</table>
|                          | Examples: Safe operation, effective communication, 
|                          | leadership, etc. |
| **b. SPECIFIC REQUIREMENTS** | Required skills and knowledge to do the job |
|                          | Examples: Safe operation, effective communication, 
|                          | leadership, etc. |
| **c. RESPONSIBILITY** | The degree to which an officer is responsible for results |
|                          | Examples: Direct supervision, policy, program management, 
|                          | decision-making, etc. |
| **d. DELEGATION OF RESPONSIBILITY** | The degree to which an officer is responsible for results |
|                          | Examples: Direct supervision, policy, program management, 
|                          | decision-making, etc. |
| **e. EXPERIENCE** | The broad range of experience and training needed to perform the job |
|                          | Examples: Safe operation, effective communication, 
|                          | leadership, etc. |

#### 2. DESCRIPTION OF DUTIES

- [ ] Recommendation
- [ ] Appraisal
- [ ] Observation
- [ ] Interview

#### 3. PERFORMANCE OF DUTIES

- **Basic Requirements:**
  - Certain skills and knowledge are essential to perform the job.
  - Examples: Safe operation, effective communication, leadership, etc.

- **Specific Requirements:**
  - Required skills and knowledge to perform specific duties.
  - Examples: Safe operation, effective communication, leadership, etc.

- **Responsibility:**
  - The degree to which an officer is responsible for results.
  - Examples: Direct supervision, policy, program management, decision-making, etc.

- **Delegation of Responsibility:**
  - The degree to which an officer is responsible for results.
  - Examples: Direct supervision, policy, program management, decision-making, etc.

- **Experience:**
  - The broad range of experience and training needed to perform the job.
  - Examples: Safe operation, effective communication, leadership, etc.

#### 4. DEPARTMENTAL EVALUATION

- [ ] Superior
- [ ] Performance
- [ ] Fair
- [ ] Below Average
- [ ] Unsatisfactory

#### 5. SUPERVISOR'S COMMENTS

- [ ] Recommendation
- [ ] Appraisal
- [ ] Observation
- [ ] Interview

#### 6. CONCLUSION

- [ ] Recommendation
- [ ] Appraisal
- [ ] Observation
- [ ] Interview

---

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### Comments (Performance of Owers continued):

**INTERPERSONAL RELATIONS:** Measuring how an officer affects or is affected by others.

<table>
<thead>
<tr>
<th>No.</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Enhances sharing of ideas and information, fostering open communication and collaboration.</td>
</tr>
<tr>
<td>2.</td>
<td>Encourages a team-oriented approach, promoting mutual respect and support.</td>
</tr>
<tr>
<td>3.</td>
<td>Demonstrates ability to resolve conflicts constructively, maintaining professional standards.</td>
</tr>
<tr>
<td>4.</td>
<td>Facilitates cooperation with other departments, enhancing inter-agency relations.</td>
</tr>
<tr>
<td>5.</td>
<td>Maintains a positive attitude, inspiring confidence and trust among colleagues.</td>
</tr>
</tbody>
</table>

**LEADERSHIP SKILLS:** Measuring an officer's ability to guide, direct, delegate, influence, and support others in their performance of work.

<table>
<thead>
<tr>
<th>No.</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Clear vision and strategic planning skills, setting achievable goals and objectives.</td>
</tr>
<tr>
<td>2.</td>
<td>Effective delegation and resource allocation, balancing workload and responsibilities.</td>
</tr>
<tr>
<td>3.</td>
<td>Strong communication skills, clearly expressing ideas and perspectives.</td>
</tr>
<tr>
<td>4.</td>
<td>Strong decision-making ability, considering various perspectives and outcomes.</td>
</tr>
<tr>
<td>5.</td>
<td>Encourages a growth mindset, fostering continuous learning and development.</td>
</tr>
</tbody>
</table>

**EVALUATION NORTH:**

- **Leadership Skills:**
  - Evaluates the strengths and weaknesses in the leader's ability to motivate and inspire, providing feedback for improvement.
  - Identifies areas for professional development, suggesting resources and training opportunities.

- **Personal Competencies:**
  - Assess the individual's ability to apply leadership principles in practical situations, identifying potential for growth.
  - Evaluates the officer's adaptability to change and new challenges, recommending strategies for success.

**Awards & Recognition:**

- Recognizes outstanding performance, highlighting achievements and contributions to the department.
- Celebrates milestones and significant accomplishments, fostering a culture of excellence.

### Comments (Interpersonal Relations):

1. Enhances sharing of ideas and information, fostering open communication and collaboration.
2. Encourages a team-oriented approach, promoting mutual respect and support.
3. Demonstrates ability to resolve conflicts constructively, maintaining professional standards.
4. Facilitates cooperation with other departments, enhancing inter-agency relations.
5. Maintains a positive attitude, inspiring confidence and trust among colleagues.

### Comments (Leadership Skills):

1. Clear vision and strategic planning skills, setting achievable goals and objectives.
2. Effective delegation and resource allocation, balancing workload and responsibilities.
3. Strong communication skills, clearly expressing ideas and perspectives.
4. Strong decision-making ability, considering various perspectives and outcomes.
5. Encourages a growth mindset, fostering continuous learning and development.

**EVALUATION NORTH:**

- **Leadership Skills:**
  - Evaluates the strengths and weaknesses in the leader's ability to motivate and inspire, providing feedback for improvement.
  - Identifies areas for professional development, suggesting resources and training opportunities.

- **Personal Competencies:**
  - Assess the individual's ability to apply leadership principles in practical situations, identifying potential for growth.
  - Evaluates the officer's adaptability to change and new challenges, recommending strategies for success.

**Awards & Recognition:**

- Recognizes outstanding performance, highlighting achievements and contributions to the department.
- Celebrates milestones and significant accomplishments, fostering a culture of excellence.
### 6. COMMUNICATION SKILLS

<table>
<thead>
<tr>
<th>Question</th>
<th>Rating</th>
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<tbody>
<tr>
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<tr>
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<tr>
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<td>Interpersonal</td>
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#### 7. SUPERVISOR AUTHENTICATION

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<td>Signature</td>
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The reporting officer will complete sections 8-12.

### 8. PERSONAL QUALITIES

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<thead>
<tr>
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<tr>
<td>Autonomy</td>
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<tr>
<td>Receptivity</td>
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<td>Responsibility</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Honesty</td>
<td></td>
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</tbody>
</table>

#### 9. SUPPLEMENTARY INFORMATION

- Use of English and sentence structure:
- Overall impressions:
- Notes on potential areas for improvement:

---

88
1. COMMENTS (Proposed Questions)

2. REPRESENTING THE COAST GUARD: Measures an officer's ability to bring credit to the Coast Guard through ability and actions.

3. APPEARANCE
   The manner in which an officer appears on duty, in uniform, and off-duty and maintains the standards of the service.
   
4. CIVILIAN LIFE
   The degree to which an officer maintains a compatible civilian life with such contacts and associations as do not impair his or her military duties.
   
5. INDEPENDENCE
   The manner in which an officer plans and carries out his or her duties.
   
6. DYNAMISM
   The manner in which an officer responds to situations.

7. DECISION MAKING
   The manner in which an officer makes decisions on matters that come under his or her jurisdiction.

8. COMMUNICATION
   The manner in which an officer communicates with other personnel, organizations, the public, and other agencies.

9. LEADERSHIP AND POTENTIAL
   (Describe the officer's demonstrated leadership ability and potential for greater responsibility, promotion, or advancement, and recommend. Comments should be related to those areas for which the Reporting Officer has the appropriate knowledge.)

10. COMPARISON SCALE AND DISTRIBUTION
    (Considering your own assessment above, in line a compare the officer's competence with others of the same grade whom you have known in your service)

   ONE OF THE MANY COMPETENT PROFESSIONALS WHO FORM THE MAJORITY OF THIS GRADE

   AN EXCEPTIONAL OFFICER

   A DISTINGUISHED OFFICER


11. SIGNATURE
   SIGNATURE
   GRADE
   ESN
   TITLE OF POSITION

12. REVIEWER AUTHENTICATION
   SIGNATURE
   GRADE
   ESN
   TITLE OF POSITION

## Appendix E: U.S. Air Force Performance Feedback Worksheet

<table>
<thead>
<tr>
<th>Name</th>
<th>Rogers Jessie</th>
</tr>
</thead>
</table>

### Duty Performance

<table>
<thead>
<tr>
<th>Description</th>
<th>Needs</th>
<th>Significant</th>
<th>Needs for Improvement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Instructor (T-43)</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Simulator instructor (T-44)</td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Platform Instructor</td>
<td></td>
<td></td>
<td>X</td>
</tr>
</tbody>
</table>

**Comments**
- You quickly upgraded to TMC because of your T-43 systems knowledge. Now that you are a T-44 SIC, you need to work on that system also (see job knowledge).
- Platform instruction needs work (see judgment and communication, SIC 115).
- ATC U.S.I. Top Performer for T-43 Flight Eval:
  - You may have become complacent.
  - Need to work on T-45 system knowledge - get with sim personnel and review RAS System.

### Job Knowledge

- You must enforce standards.
- I had to tell two of your students to get haircuts!
- The MAJCOM flies in was a great idea - the students loved it.

### Professional Qualities

- Your students suffered when you didn't teach the required info.
- You admitted it and took responsibility.
- But next time stick to the Instructor's guide.

### Leadership Skills

- You must enforce standards.
- I had to tell two of your students to get haircuts!
- The MAJCOM flies in was a great idea - the students loved it.

### Organizational Skills

- Demonstration of good planning, coordination, and execution.
- Schedules effectively and efficiently.
- Meets deadlines.

### Judgment and Decisions

- Makes timely and accurate decisions.
- Emphasizes logic in decision making.
- Recognizes opportunities and threats.

### Communication Skills

<table>
<thead>
<tr>
<th>Description</th>
<th>Needs</th>
<th>Significant</th>
<th>Needs for Improvement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Listening</td>
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<td></td>
</tr>
<tr>
<td>Speaking</td>
<td></td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Writing</td>
<td></td>
<td></td>
<td>X</td>
</tr>
</tbody>
</table>

AF Form 724, AUG 88

PERFORMANCE FEEDBACK WORKSHEET
STRENGTHS, SUGGESTED GOALS, AND ADDITIONAL COMMENTS:

ORGANIZATIONAL SKILLS (cont)

- Your student crews are usually turned in the day they are due. Plan ahead and get them in early so we have more options in the area of student management.

JUDGMENT AND DECISIONS

- As training mission commander, you make good decisions. Continuing that integrated navigation sortie when I complexes Tacan failed was just one example. There are more.

- You need to relax when students interrupt your planned presentation. Make sure their questions are answered satisfactorily before you go on.

COMMUNICATION SKILLS

- Listen to student questions to see where the real problem lies.
- Does student understand the theory but not know how to use the equipment?
- Don't be so mechanical during academic presentations. Your students have scored below average on several tests. Your students are giving you signs that they're not catching everything you're throwing out (quizzical looks, questions, etc.). You're missing the signs. If you want, we can set up a video taping of one of your classes.

ADDITIONAL COMMENTS

- Not many surprises here. We've talked about most of these areas informally and I've already seen some improvement in T-45 knowledge (still a ways to go, though).

- You need to remember that 50% of our instruction is in the classroom. You work well with students in the airplane and sim (low in student ratio) but you must become equally comfortable in the classroom.

- Last point: It's fine to talk up fighters in the bar, but don't put the other tracks down too hard. Some of our Grads will go to TTB & EWT. They don't always have a choice!

MATER SIGNATURE

Larry Caburne

DATE

17 Mar 89
Appendix F: U.S. Air Force Officer Performance Report

<table>
<thead>
<tr>
<th>I. RATEE IDENTIFICATION DATA</th>
<th>2. MAN</th>
<th>3. GRADE</th>
<th>4. DATE</th>
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<tbody>
<tr>
<td>1. NAME (Last, First, Middle Initial)</td>
<td>XXX-XX-XXXX</td>
<td>January 1980</td>
<td>1980</td>
</tr>
<tr>
<td>2. RANK (Air Force Officer Rank)</td>
<td>Captain</td>
<td>F</td>
<td>24 Apr 88</td>
</tr>
<tr>
<td>3. LOCATION (Last name, Rank)</td>
<td>433d Aircraft Generation Squadron (PACAP), Misawa Air Base, Japan</td>
<td>F</td>
<td>20 Feb 89</td>
</tr>
<tr>
<td>4. PERIOD OF REPORT</td>
<td>5. NO. DAYS SUPERVISION</td>
<td>6. REASONS FOR REPORT</td>
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</tr>
<tr>
<td>From</td>
<td>To</td>
<td>317</td>
<td>CAP</td>
</tr>
</tbody>
</table>

II. ORGANIZATION, COMMAND, LOCATION

433d Aircraft Generation Squadron (PACAP), Misawa Air Base, Japan

III. UNIT MISSION DESCRIPTION

Responsible for all on-equipment maintenance for 2 combat-ready 24 primary assigned aircraft (PAA) P-16 squadrons. The AGS supports in-place and deployed contingency operations in the Pacific theater. Peacetime activities include supporting daily flying training at home station and various deployed, joint and combined exercises throughout PACAF.

IV. JOB DESCRIPTION

DUTY TITLE: Officer-in-Charge, 14th Aircraft Maintenance Unit (AMU)

KEY DUTIES, TASKS, AND RESPONSIBILITIES: Provides on-equipment maintenance for 24 F-16C/D aircraft in the air-to-air and air-to-ground missions. Responsible for 200 personnel in 14 APSCs, performing maintenance, launch, recovery, and weapons loading functions. Acts as senior maintenance officer during deployments. Also responsible for training and training records for all unit personnel and $2.5M worth of unit-owned support equipment as well as aerospace ground equipment, vehicles, and AMI facilities. SIGNIFICANT ADDITIONAL DUTIES: Squadron Mobility Officer.

V. IMPACT ON MISSION ACCOMPLISHMENT

- Led AGS in COPE THUNDER 88-3
  - 200 successful training sorties without maintenance air abort while operating from deployed location
- Developed new flightline mobility procedures
  - 24 combat-ready aircraft/20 increments of error-free cargo
- Achieved 85 percent systems effectiveness by integrating all electronic combat subsystems into a comprehensive electronic combat program
- 75 percent is MAJCOM standard
- Developed computerized maintenance system procedures 2 weeks early

VI. PERFORMANCE FACTORS

<table>
<thead>
<tr>
<th>FACTOR</th>
<th>DOES NOT MEET STANDARDS</th>
<th>MEETS STANDARDS</th>
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</tr>
<tr>
<td>2. Leadership Skills</td>
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<td>3. Professional Qualities</td>
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<tr>
<td>4. Organizational Skills</td>
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<tr>
<td>5. Judgment and Decisions</td>
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<td>6. Communication Skills</td>
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</tr>
</tbody>
</table>

AF Form 707B, AUG 88 COMPANY GRADE OFFICER PERFORMANCE REPORT

92
VI. RATER OVERALL ASSESSMENT

Capt. Merriweather's leadership had a positive impact on the entire squadron. He took this low-performing AMU and brought most maintenance indicators up to or above command standards. His diligence allowed completion of four urgent action TCTOs while preparing aircraft for COPE THUNDER 88-3. His AMU supported a 41 UTE rate in spite of major aircraft structural restrictions. We demonstrated potential for increased responsibility in his daily integration of the management, technical, and administrative facets required of a successful AMU. Capt. Merriweather is an outstanding performer. Send him to intermediate service school in residence.

Performance feedback was accomplished consistent with the direction in AF "J2B". (If not accomplished, state the reason.)

VII. ADDITIONAL RATER OVERALL ASSESSMENT

A dedicated maintenance officer with excellent potential. Capt. Merriweather provides strong leadership to his AMU. His abilities resulted in his AMU being selected as the 432d Tactical Fighter Wing Aircraft Maintenance Unit of the Quarter for the first time this year. This is indicative of the depth of his experience and knowledge. He is an outstanding maintenance officer and a valued member of the wing.

VIII. REVIEWER

93
### Appendix G: U.S. Air Force Promotion Recommendation Form

#### I. RATEE IDENTIFICATION DATA

<table>
<thead>
<tr>
<th>Rank</th>
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<th>JSSN</th>
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<tbody>
<tr>
<td>Harris, John T.</td>
<td>OCONUS</td>
<td>JSSN</td>
<td>Captain</td>
<td>2635</td>
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</table>

#### II. UNIT MISSION DESCRIPTION

The Physics Department is one of 19 academic departments. Department teaches 3 introductory physics courses to 2000 cadets annually and 25 advanced physics courses to 93 physics majors. Conducts basic space physics, laser and astronomy research for several operational commands. Provides officer role models and career counseling to cadets.

#### III. JOB DESCRIPTION

- **Duty Title:** Course Director and Instructor of Physics
- **Key Duties and Responsibilities:** Supervises 18 instructors who annually teach 25 sections of introductory calculus-based physics to 1200 cadets. Develops curricula, establishes educational standards, and determines grades. Instructor for 12 cadets in subject areas of classical mechanics, thermodynamics, and fluid mechanics. Conducts classes, motivates, and counsels cadets. Conducts basic optics research funded by the Air Force Weapons Laboratory.

#### IV. PROMOTION RECOMMENDATION

Capt Harris is one of our top company grade instructors meeting this board. His superior record of performance—youngest Minuteman crew commander at Minot AFB, ground-breaking research at the Air Force Weapons Laboratory—bring a real-life relevance to his courses. As a result of his research proposals, he acquired $130K worth of laser equipment and organized a research team of 5 officers. He is now the principal investigator for this project which has significant SDF application. His unique blend of operational experience, technical expertise, and supervisory talent mark him for a bright future. Promote to major this board and select for intermediate service school.

#### V. PROMOTION ZONE

<table>
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<th>NAPE</th>
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#### VII. BOARD

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#### VIII. SENIOR RATER ID

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#### IX. OVERALL RECOMMENDATION

**DEFINITELY PROMOTE**

**PROMOTE**

**DO NOT PROMOTE THIS BOARD**

**X SENIOR RATER**

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<th>Rank</th>
<th>Grade</th>
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<th>LOCATION</th>
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<tbody>
<tr>
<td>Martin W. Daley, Capt, USAF</td>
<td>Captain</td>
<td>USAF</td>
<td>120</td>
<td>Colorado Springs, Colorado</td>
<td></td>
<td></td>
<td></td>
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</tbody>
</table>

**Duty Title:** Permanent Professor and Head, Department of Physics

**Signature:**

[Signature]

### Instructions

Review previous OERs, OPPs, Education/Training Reports, and Supplemental Evaluation Sheets. Discuss, if needed, the officer's performance with officials in the supervisory chain. Evaluate the officer's performance and assess his or her potential based on performance. Do not consider or comment on enrollment in or completion of professional military education or advanced academic education.

Provide an accurate, unbiased assessment free from consideration of race, sex, ethnic origin, age, religion, or marital status.

Provide the officer a copy of this report approximately 30 days prior to the board for which this report is prepared.
Appendix H: Officer Evaluation System Survey

OES SURVEY

SURVEY OF OFFICER PERCEPTIONS OF THE OFFICER EVALUATION SYSTEM

USAF SCN: 89-42, expires 1 Aug 89
POC: AFIT/LSG (Capt Hale)
GENERAL INFORMATION

The purpose of this questionnaire is to obtain data concerning your perceptions of the Officer Evaluation System. These data will be used by the Air Force Institute of Technology to gauge officer acceptance of the recently revised system.

Please be assured that all information you provide will be held in the strictest confidence. The goal is not to identify individual responses, rather to identify differences of perceptions within categories or groups of officers, for example company grade versus field grade. When the results of the study are published readers will not be able to identify specific individuals.

KEYWORDS

The following terms or acronyms will be used throughout the questionnaire:

1. OER system: The Officer Effectiveness Reporting system used from 1978-1988.
2. OER: Officer Effectiveness Report (AF 707), used to provide a long-term cumulative record of officer performance from 1978-1988.
3. OES: The current Officer Evaluation System (as of 1 Aug 1988), composed of the Performance Feedback Worksheet, the Officer Performance Report, and the Promotion Recommendation Form.
4. PFW: Performance Feedback Worksheet (AF 724), a hand-written form used to facilitate communication during ratee/rater feedback sessions.
5. OPR: Officer Performance Report (AF 707A or 707B), used to provide a long-term cumulative record of officer performance.
6. PRF: Performance Recommendation Form (AF 709), used to communicate a promotion recommendation from the senior rater to the central promotion board.
7. Ratee: The individual officer being rated by his or her supervisor.
8. Rater: The individual officer who rates his or her subordinate.

INSTRUCTIONS

Enclosed is a blue Optical-Scanning form (AFIT 11E) that provides seven choices (1-7) for each item. If the AFIT 11E was lost or is damaged, please write your answers on the questionnaire and return it instead of the blue form.

The attached questionnaire contains 49 items (individual "questions") and should take no more than 25 minutes to complete. All officers should answer items 1-34 in sections 1 and 2, then items 35-49 based upon specific instructions provided before each of the remaining sections. If, for any item, you do not find a response that fits your situation exactly, mark the one that is closest to the way you feel.

Please use a #2 pencil and completely fill in only one of the numbered circles (1-7) that corresponds to your answer for each item. Completely erase any errors or stray marks.

When you have finished, place only the blue AFIT 11E in the return envelope provided and put in distribution.
OES QUESTIONNAIRE

The following questionnaire is concerned with your perceptions of the current Officer Evaluation System (OES). Read each item carefully and choose the alternative that more accurately describes your present situation.

Section 1: Using a pencil, darken the entire circle on the data entry form that corresponds to your response for each item. Erase all errors completely.

1. What is your current rank?
   1. Second Lieutenant 5. Lieutenant Colonel
   2. First Lieutenant 6. Colonel
   3. Captain 7. Other
   4. Major

2. What is your gender?
   1. Female
   2. Male

From items 3 and 4 choose only one answer that identifies your major command.

3. To what major command or headquarters are you currently assigned?
   1. AFLC 4. ATC
   2. SPACECMD 5. MAC
   3. AFSC

4. To what major command or headquarters are you currently assigned?
   1. SAC
   2. Tactical Air Forces (PACAF, TAC, USAFE)
   3. HQUSAF
   4. Other
5. To which organizational level are you assigned?
1. Below MAJCOM level
2. MAJCOM level
3. Above MAJCOM level

6. What is your current aeronautical rating?
1. No aeronautical rating
2. Navigator
3. Pilot
4. Other aeronautical rating

7. What is your racial or ethnic background?
1. American Indian
2. Black/Black American/Afro-American
3. Caucasian/White (Other than Spanish Speaking)
5. Spanish speaking origin (Chicano, Cuban, Latin American, Mexican)
6. Other

8. How many years of commissioned service have you completed?
1. Less than one year
2. 1-5 years
3. 6-10 years
4. 11-15 years
5. 16-20 years
6. 21 or more years

9. How many years of total active federal military service (TAFMS) have you completed?
1. Less than one year
2. 1-5 years
3. 6-10 years or more
4. 11-15 years
5. 16-20 years
6. 21 or more years

On your last OER under the previous system (prior to 1 Aug 88)....... 

10. Did you receive well above standard (fire-walled) ratings for all ten front-side performance factors?
1. Yes
2. No
3. I was never evaluated under the previous OER system.

11. Did you receive all top block ratings (from rater, additional rater, and endorser) on the back-side Evaluation Of Potential rating scale?
   1. Yes
   2. No
   3. I was never evaluated under the previous OER system.

12. What endorsement level did you receive? (use equivalent civilian rank if applicable)
   1. Colonel or below
   2. Brigadier General
   3. Major General
   4. Lieutenant General
   5. General or higher
   6. Not evaluated under the OER system.

Under the current Officer Evaluation System ..........

13. What did you receive for your most recent Promotion Recommendation?
   1. Definitely Promote
   2. Promote
   3. Do Not Promote This Board
   4. I have not been evaluated for promotion under the new system.

14. What do you expect to receive for your next Promotion Recommendation?
   1. Definitely Promote
   2. Promote
   3. Do Not Promote This Board
   4. I will not be evaluated under the new system (retiring, resigning, etc.)
Please use the Agree-Disagree scale shown below to answer each of the items in Sections 2 through 6. Using a pencil, darken the entire circle on the data entry form that corresponds to your response for each item. Completely erase all errors.

<table>
<thead>
<tr>
<th>Strongly Disagree</th>
<th>Slightly Disagree</th>
<th>Agree nor Slightly Disagree</th>
<th>Slightly Agree</th>
<th>Agree</th>
<th>Strongly Agree</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
<td>6</td>
</tr>
</tbody>
</table>

Section 2: Answer items 15-34 even if you have not been formally evaluated.

15. The Officer Evaluation System (OES) provides lieutenants and captains with accurate feedback on their duty performance.

16. The OES provides me with an accurate assessment of my duty performance and potential based upon that performance.

17. OES forms and other documents in promotion folders permit promotion board members to select the best qualified officers for advancement.

18. An officer whose duty performance is well below average is easily identified under the current OES.

19. An officer whose duty performance is below average is easily identified under the current OES.

20. An officer whose duty performance is average is easily identified under the current OES.

21. An officer whose duty performance is above average is easily identified under the current OES.

22. An officer whose duty performance is well above average (below-the-promotion-zone quality) is easily identified under the current OES.
Neither
Strongly Slightly Agree nor Slightly Agree Agree Agree Agree
Disagree Disagree Disagree 4 5 6 7
1 2 3

23. More time is spent on Officer Performance Report (OPR) appearance than content.

24. Too much time is taken by the entire OPR process (from initial draft to becoming a matter of record).

25. The time needed to prepare OPRs is well worth the effort.

26. I should have more input into my OPR before it becomes a matter of record.

27. My senior rater is better qualified to determine my promotion potential than a central promotion board.

28. An officer has an equal chance of receiving a "definitely promote" recommendation regardless of the organizational level to which he or she is assigned.

29. Promotion decisions were fair and just under the previous OER system.

30. Promotion decisions are fair and just under the current OES.

31. Performance was fairly and accurately appraised under the previous OER system.

32. Performance is fairly and accurately appraised under the current OES.

33. Under the previous OER system officers received clear and timely feedback.

34. Under the current OES officers receive clear and timely feedback.
Section 3: Answer items 35-44 only if you have received feedback from your rater using the Performance Feedback Worksheet (PFW). If not, skip to Section 4.

During my latest feedback session using the Performance Feedback Worksheet . . . . .

35. Specific examples of my performance were cited.

36. The comments concerning my performance were objective.

37. There was two-way communication between my rater and me.

38. Both my strengths and weaknesses were discussed.

39. My rater listened to what I had to say in response to his feedback.

40. The focus was on duty performance and officership.

41. The examples of my behavior cited by the rater were drawn from the entire rating period, not just recent events.

42. My rater and I discussed a course of action for improved performance for my next feedback session.

As a result of the latest feedback session . . . .

43. I have a better understanding of what is expected of me.

44. I will be able to do my job better.
Section 4: Answer items 45-47 only if you have provided feedback to a subordinate using the Performance Feedback Worksheet (PFW). If not, skip to Section 5.

45. The format of the PFW makes it easy to complete.

46. The rating scales are useful in portraying how much improvement is needed in an officer's performance.

47. The PFW is a valuable tool for conducting a well organized feedback session.

Section 5: Answer items 48 and 49 only if you have completed an Officer Performance Report (OPR) as a rater.

48. The OPR is easier to complete than its predecessor, the OER.

49. The OPR is a better tool for documenting job performance than the OER.

THANK YOU

Please place your answer sheet in the envelope provided and put it in distribution.
Bibliography


Vita

Captain Christopher B. Hale was born on 5 March 1953 at Fort Eustis, Virginia. He graduated from high school in Heidelberg, West Germany in 1972 and enlisted in the USAF the following year. In 1978 he left the Air Force to attend Texas Tech University and in 1981 received a Bachelor of Science degree in Engineering Technology and a commission in the USAF through the ROTC program. He served for two years at Malmstrom AFB, Montana as a launch officer in the 10th Strategic Missile Squadron and launch officer evaluator in the 341st Strategic Missile Wing. While at Malmstrom AFB, he earned a Master of Science degree in Systems Management through the University of Southern California. In May 1985 he was transferred to Wueschheim AS, West Germany as a member of the initial cadre of the reactivated 38th Tactical Missile Wing. Over a three-year period he served as Senior Launch Officer Evaluator and Senior Bravo-Flight Instructor in the 89th Tactical Missile Squadron and as Wing Executive Officer in the 38th Tactical Missile Wing. In May 1988 he entered the School of Systems and Logistics, Air Force Institute of Technology.

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AF LINE OFFICER PERCEPTIONS OF THE OFFICER EVALUATION SYSTEM

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