AN EXAMINATION OF THE SELECTIVE USE OF PEER RATINGS IN OFFICER SELECTION PROCEDURES

Daniel H. Wardrop, et al

Army War College
Carlisle Barracks, Pennsylvania

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A GROUP RESEARCH REPORT

by

Colonel Luther A. Brock
Adjutant General

Colonel Daniel H. Wardrop
Air Defense Artillery

US Army War College
Carlisle Barracks, Pennsylvania
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ABSTRACT

AUTHOR: Luther A. Brock, COL, AGC and Daniel H. Wardrop, COL, ADA
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This research project is designed to examine the use of peer ratings in the US Army generally with a specific possible use in assisting in the selection process for senior service college attendees. Part I analyzes the feasibility of a peer rating system. This is done through presenting research from past trials with such a system and a comparison with the present executive type rating system. Part II tests the use of peer ratings in selecting students for the senior service colleges. This is done by comparing infantry officer peer ratings with the actual board selection for academic year 1971-1972. This part used a questionnaire as its prime vehicle for research. Conclusions indicate peer ratings probably cannot be used widely at this time. Very little relationship between actual peer ratings and selection board results for the senior service college was found. It is recommended that further work be done along this line with the goal of trying to find areas where valid peer ratings might be used if it can be shown that they are superior to present systems.

PREFACE

The Officer Efficiency Reporting System is probably the most important, though possibly the most controversial, system within the personnel field. An efficiency reporting system which has the support of all officers is vital to the well being of the Army. Efforts to improve the system are continuous, which is as it should be. This study, which examines and tests the Peer Rating System, might possibly be of some use to individuals working in the efficiency reporting area.

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CHAPTER I

INTRODUCTION

BACKGROUND

The military services are searching continuously for ways to improve the officer efficiency reporting system. Although the rating forms and procedures have been changed six times since 1947, there remains a high degree of overrating which, of course, reduces the validity and use of the reports. Some attention has been given to a peer rating system since its use at the military academies and officer candidate schools of the various services has proven that peer ratings have a high validity in predicting the future value of officer candidates as officers in the military service. In addition, some success has been indicated in studies of middle management in civilian industry.

PURPOSE

The purpose of Part I of this paper is to examine peer ratings and, more specifically, to address the following questions: Could peer ratings be used effectively in evaluating all officer personnel in the Army? Is it feasible to add a peer rating system to the present officer efficiency reporting system? Could peer ratings be used on a selective basis for specific type personnel actions?

RESEARCH PROCEDURES

The author studied several books and articles describing research on peer ratings and their use in performance appraisal. Discussions were held with various officers in the grade of Lieutenant Colonel and Colonel on the varied aspects of such a rating system. Since very little research has been completed on this subject other than in officer candidate schools or service academies, much of this paper is necessarily based on opinions of the author and comments from a number of fellow officers. However, if we are really interested in the worth of a peer rating system within the active service and particularly at middle and higher management levels, a beginning must be made. Questions must be surfaced and the subject discussed to know where research must be accomplished. Since the author is not an expert or better still, possesses only limited knowledge in tests and measurements, sociology, and psychology, an attempt has been made to approach this subject from the practicability and reasonableness viewpoint.

ORGANIZATION OF PART I

Part I provides some comments on the present rating system, some remarks on peer ratings in general, a discussion of the feasibility of implementing such a system within the services, and finally, a section to show that data should be gathered to determine further direction. Special emphasis has been placed on the problems which can be expected if a peer rating system

were used within the Army. It is important that problems be identified early so that they may receive due consideration in any future research.

CHAPTER II

THE PRESENT RATING SYSTEM

IS THERE A PERFECT SYSTEM?

> Realize the limitations of the knowledge you can obtain under the best of circumstances and with the most thorough use and study of the "data." When you deal with nations and systems you deal with life, the life remains always to some extent a mystery, and refuses to become "data."[1]
>
> Remember, also, that man, much as it irks him, has not the gift of prophecy, and that all predictions are therefore essentially unscientific and precarious. . . . We can project, but we cannot predict, and we might as well relax about it.[2]
>
> Remember, finally, that political science is largely an art rather than a science, and that therefore, as a political scientist, you are somewhat in the position of a painter who paints a landscape, or a novelist who depicts a family. No artist can do it exactly "right," and the same tree painted by Cezeanne or Van Gogh or Turner will look different. Which does not mean that any of the three painted it wrong.[3]

Perhaps it is unusual to begin a paper on efficiency reports with quotes from an article on political science. But if one will only substitute the words "officers" for "nations and systems" and "efficiency reporting" for "political science," it makes the article both appropriate and somewhat sobering. If one will accept the theory that life cannot be reduced to "data," that one can project but not predict, and that no two raters can ever give the same exact description of another person, then he might wonder if maybe the efficiency reporting systems over the years within

the military services have not been pretty good--even with all the changes that have taken place. Is it possible that the dissatisfaction with the system today is a manifestation of the frustration of not being able to achieve perfection or the impossible in ratings? This could be nearer to the truth than we care to accept.

DILEMMA OF THE RATERS

Problems are present in the efficiency reporting system of today, but none is as important as the dilemma in which a rater is placed each time he completes an efficiency report. On the one hand he has the regulation which tells him there should be an even distribution of ratings and the majority of officers should fall in the middle ratings. On the other hand, throughout the service an average rating is believed to be the "kiss of death" as far as future schooling, assignments, and promotions are concerned. This may or may not be true, but the belief that it is true is common among most officers. And irrespective of how the belief came to be, it is nevertheless a fixed and firm belief which must be recognized. If the rater is rating an officer who he feels is fully capable of serving at the next higher grade, what should he do? Should he follow the regulation even though he knows inflation in ratings is spread throughout the service? Or should he rate the officer in line with what he believes the

trend to be? This is a problem that each officer wrestles with each time he completes an efficiency report and this is what we should be worrying about more than the fact that inflated efficiency reports are of limited value to the Department of the Army (DA). The rater knows the future of the ratee is in his (the rater) hands, not in the hands of DA, and it is a matter he cannot and will not take lightly. The rater is faced with a real dilemma. The problem is not that the decision is a hard one to make; the problem is that he does not know in his own mind which is the right thing to do. Does he follow the regulation to the letter, or does he follow what he believes to be the common practice? It is obvious from the inflated reports of today that the raters are forced to rationalize and lean toward their responsibilities to the ratee and not the system. No attempt should be made to change this attitude among raters. The system must be changed somehow, so that the rater's actions in fulfilling his responsibilities (as he sees them) toward the ratee in turn satisfy the system. Until this happens, there is no solution to the rater's dilemma.

PEER RATINGS

As work continues in searching for a utopian rating system, new ideas are brought forth. One of these is peer ratings. It really is not new in the full meaning of the word because much work has been accomplished in this area already, but the

preponderance of reliability and validity studies have been with young people in military schools. It is relatively new when considering its use among more senior officers.

The well documented success that has been achieved through the use of peer ratings in several instances is impressive. When peer ratings are added to a rating system, the ratee is seen from a broader viewpoint--as seen by his equal as well as by his superior. Peers seem to have a unique ability to predict the future potential of an individual by rating him on certain traits which are important to his progression. Peer ratings are a step toward the "whole man" concept. The theory of peer ratings is sound and the use of such a system by the Army should be given full consideration. But it must be remembered that the use of peer ratings would be a change, therefore it must be handled most carefully. And there are disadvantages in the practical application of a peer rating system which must be considered. In short, the Army must pursue the pros and especially the cons of a peer rating system in great depth before any decision on its use can be made.

The peer rating system is one more step in search of a perfect system--maybe an impossible dream.

FOOTNOTES FOR CHAPTER II

1. Konard Kellen, "On Problems in Perceiving Other Nations and Systems," Security Studies Project Number 15 (1968), p. 24.

2. Ibid., p. 26.

3. Ibid., p. 27.

CHAPTER III

PEER RATINGS IN GENERAL

BACKGROUND

Many articles have been written and many studies documented concerning the advantages and disadvantages of peer ratings. The purpose of this chapter is to review some of these past writings, with particular emphasis on what are believed to be disadvantages, and show that more research must be accomplished before the value of a peer rating concept in a "real life" situation can be determined.

A large majority of the actual research in peer ratings has been accomplished in the military services, primarily in initial training school situations. To date, the emphasis has been placed on the selection process and the prediction of future potential as an officer. Studies of graduates of the United States Military Academy, United States Naval Academy, Naval OCS, Air Force OCS, and Marine Corps OCS have all proven conclusively that peer ratings are the most valid predictors of officer performance than any other undergraduate measures (academic and instructor/ tactical officer grades). The validity of peer ratings is well documented in Major Ramon A. Nadal's Research Report No. 68-8 which reviews a substantial number of past studies on peer ratings.[1] For the purpose of this paper, the statement that peer ratings are

the most valid ratings system for military school and training situations is accepted without question.

An area which has not received much attention in past studies concerning the military is the use of peer ratings as an adjunct to the present Officer Efficiency Reporting System. Would peer ratings more accurately predict potential than ratings by superiors in a normal duty situation the same as they predict potential better than the tactical officer ratings in a school or training situation? One of the conclusions of Major Nadal's study, based on his review of literature by recognized authorities on evaluation systems, was that peer ratings are the most valid personnel rating systems now available.[2] This is further supported by the statement:

> In both military and civilian environments, in terms of the findings of both military researchers and behavioral scientists, peer ratings predict future success better than tests, better than subordinates, better than superiors, and in some cases, better than a combination of all three put together.[3]

The above quote is from a study by the Office, Deputy Chief of Staff for Personnel (DCSPER), Department of the Army, dated 25 June 1969, which addressed many of the same studies as Major Nadal. The DCSPER study also states:

> Two main arguments against peer ratings have surfaced in study group discussions and interviews: . . . and two, peer ratings are applicable only in a school environment.
>
> . . . . . .
>
> The school environment argument assumes that peer ratings are to be used as a means for evaluating manner of performance of present duties. They aren't. Peer ratings normally are considered as

> predictors, useful in estimating potential. Therefore, where peer ratings are made is of little significance. . . .[4]

Although both of these studies are very convincing in their arguments that peer ratings will predict better than superior ratings, this author, based on a review of many of these same studies, questions that it has actually been proven in other than a school or training situation.

A CASE FOR FURTHER STUDY

To explain this doubt referenced above, the Air Force OCS study by Ernest C. Tupes, 1957, should be examined first.

> The study was designed to investigate the relationship between ratings of peers in an officer training situation on a group of behavior or personality traits and later officer performance as measured by officer efficiency reports. He used 790 graduates in this test. The officer efficiency reports covered a period varying from one to three years. His conclusions were that there was little doubt that personality trait ratings (peer ratings) as obtained are related to later successful officer performance.[5]

Herein lies the basis for this author's questions. What was proven? It was proved that peer ratings correlate highly with superior ratings. But did it not also prove that superior ratings correlate highly with peer ratings? If this be true, then once a file of superior ratings is accumulated, could you not predict future potential from these ratings as well as from peer ratings? Since in studies reviewed by this author the predictability of peer ratings has been measured against performance as indicated by superior ratings, or in civilian research against the promotions

received as a result of management selection procedures, it has not been proven that peer ratings are <u>better</u> tools for predicting than superior ratings in a normal duty situation. It would appear that today we could say with complete confidence that peer ratings are good predictors and <u>may</u> or <u>may not</u> be better than supervisor ratings. One might challenge this on the basis that peer ratings have been proven to be better than tactical or training officer ratings. It is submitted that an individual responsible for making evaluations in a training position and a supervisor on the job are not comparable with any degree of accuracy.

At this point it might be worthwhile to examine the argument that "peer ratings are only applicable in a school environment" and the opposing opinion that "where peer ratings are made is of little significance" referenced above. Again, several studies are most convincing in the theory that peer ratings may be made under any circumstances, but others lean toward the argument that peer ratings are not effective in some situations. One such study was by Albert J. Kubany as outlined below:

> The author was interested in finding a more realistic measure of student quality in medical schools. Medical research had been hampered by the lack of such measures, particularly in the last two years of medical school. In these years the instruction is less academic and more clinical. The instructors see the students for shorter periods of time and have less opportunity to draw distinctions between students. The students have more time to observe each other candidly and comprehensively. The subjects were 87 medical students at the University of Pittsburgh. Eleven factors were used for evaluation such as "Medical Facts," "Calm in Emergency," and "Community Medical Leader."
>
> Each student was asked to name three classmates who would be best in the future of each of the given variables. No negative nominations were asked for and an attempt was made to control for

the influence of slight acquaintance. Peer nominations were compared with the evaluations of instructors and with course grades. Instructors and peers agreed fairly well on some factors, but there was practically no relationship in other factors. The results of this study suggested that evaluation is the proper role of the instructors and that peer nominations should not have a place in determining class standings or recommendations for positions. It raised the question about the place for peer nominations in a medical school, and indeed, in any professional school. It was indicated that the best use of peer information might be for research purposes, especially in developing more comprehensive or diagnostic performance criteria.[6]

This study is cited to show that maybe peer ratings are not effective in all situations. Granted, the peer ratings in this case were measured against instructor ratings and academic grades instead of actual performance at a later date, but the findings cannot be overlooked as there will always be a fine line between measuring present performance and potential (future performance). Also, it should be noted that in the last two years of medical school the students were somewhere between the school or closely supervised training environment and actual job performance. In the opinion of this author, it gives some indications that as the setting moves closer to job performance the value of peer ratings may decrease.

Perhaps peer ratings would be a valuable asset to the present rating system, but before it will be accepted by the laity, it must be proven beyond doubt that peer ratings are better predictors than ratings by superiors Some may be convinced this is fait accompli, however, it is hoped the preceeding questions show that there remains some basis for doubt.

Then how can it be proved that peer ratings are the best predictors? How can it be shown that it would be advantageous to a promotion selection board to have peer ratings in addition to supervisor ratings?

One method, although time consuming, would be to have peer ratings and supervisor predictions being made under the same circumstances. Another method on a short term basis would be to have a peer prediction for the results of some type selection board. Either of these type methods would serve as a beginning and would provide some insight to the situation.

In the first method, a group of selected officers could be rated for say a three year period by their peers in an active duty situation. During the same period the supervisor could submit prediction ratings. Even though the present efficiency report form has an area for measuring potential, it is believed a special form much the same as the one completed by the peers should be provided to the supervisor. Then at a prescribed time in the future, it could be determined who had made the best prediction--that is if a criterion against which to measure could be established. This would be difficult and most probably would have to be a judgment factor based on a review of records by a selected group of officers. Such a test could settle the issue once and for all. It would validate or invalidate such statements as:

> Some authorities have suggested that men on the same level, or even subordinates, be parties to the appraisal; but in view of the facts of business life, this is unrealistic. Men of the same level

> are apt to be rivals or personal friends, and hence biased one way or the other. In any case, if George appraises Bill and Bill appraises George, logro'ling is likely to insue, and vitiate the whole process.[7]

Such beliefs must be refuted with factual evidence before a peer rating system will receive the support of officer personnel, without which it is doomed to failure. Edward A. Rundquist and Reign H. Bittner state that "Merit rating systems fail because raters are not sold on their values."[8] They further stated that the lack of enthusiasm by raters can be caused by many reasons such as: (1) confusion about what is to be measured, (2) inadequate training of raters, (3) the raters having no part in the development of the rating procedures, (4) management's inadequate understanding of the operating problems entailed, (5) confusion on the purpose of the ratings, and (6) laborious procedures.[9]

There is another point in favor of a test such as described above. The peers making the ratings are now in a position where ratings have a greater effect on such things as promotion and assignment--a very personal thing. To quote from Reign Bittner:

> As soon as you attach direct consequences to the merit rating system, you do something to the ratings. Raters will see to it that the merit ratings do not prevent them from taking action they feel desirable.[10]

It must be learned if ratings by peers do change, and to what degree, when the effects of their ratings definitely have a direct bearing on their own future. This was one of the points addressed by Hollander in his study, "The Reliability of Peer

Nominations Under Various Conditions of Administration," as summarized below:

> The study was conducted with some 700 officer candidates at the US Naval School, Officer Candidate, in 1955. One of the variables relating to the reliability of peer-nominations considered in this study was, "the presence of any differential effects or reliability accruing from the use of forms with a 'research' set as against those with a 'real' set." Half the students were given peer-nomination forms with the notation, "The results of these ratings are to be used for research purposes only and will not affect your Navy career," while the other half received forms marked, "The results of these ratings may be used for administrative purposes." His conclusions were that the differences obtained between the administrative and research sets were minimal as regards any gain in reliability use of one as opposed to the other. He further concluded that results obtained from previous peer-nomination studies, where research sets were involved, could be taken to have "real life" implications. However, he did introduce a caution that premature conclusions not be drawn regarding the differential validity of forms administered under these two sets.[11]

Although the results of this study indicate that peer ratings do not change in a "real life" situation, it still is speaking of the "real life" situation as it exists in a school or training environment. Does "real life" take on a new and different meaning when the individual is actually on the job? The primary concern of a student is whether or not he will graduate. It is not believed that he is subjected to the many outside pressures--social, financial, moral, and professional--which may affect his work as an officer. He is yet to learn that bad decisions can affect much more than his grades. It is doubtful that this study by Hollander is of much value, other than as an indicator, in determining the effectiveness of peer ratings for officers on active duty.

The second test could, as an example, have peers examine the list of personnel eligible for promotion to the grade of Colonel. In the cases where the peer knew the candidate well enough, he could indicate whether or not the candidate should be promoted. The results could then be compared with the list of candidates actually selected for promotion by the selection board. This possibility is discussed in more detail in Chapter V.

FOOTNOTES FOR CHAPTER III

1. Ramon A. Nadal, MAJ, "A Review of Peer Rating Studies," Research Report No: 68-8 (October 1968), pp. 1-14 (hereafter referred to as "Nadal Report").

2. Ibid., p. 1.

3. CERS Study Group, ODCSPER-CSD, Office Deputy Chief of Staff, Personnel, Department of the Army, The Officer Efficiency Reporting System, OERS, FOR OFFICIAL USE ONLY, (25 June 1969), p. 3-22 (hereafter referred to as "DSCPER Study").

4. Ibid., pp. 3-25,3-26.

5. E. C. Tupes, Relationships Between Behavior Trait Ratings by Peers and Later Officer Performance of USAF Officer Candidate School Graduates (October 1957), pp. 1-34.

6. Albert J. Kubany, "Use of Sociometric Peer Nominations in Medical Education Research," Journal of Applied Psychology, (December 1957), pp. 389-394.

7. Virgil K. Rowland, "The Mechanics of Group Appraisals," Personnel, (June 1968), p. 37.

8. Edward A. Rundquist and Reign H. Bittner, "A Merit Rating Procedure Developed by and for the Raters," in Rating Employee and Supervisory Performance (1954), ed. by M. Joseph Dooher and Vivienne Marquis, p. 70.

9. Ibid., p. 70.

10. Reign Bittner, "Developing an Employee Merit Rating Procedure," in Rating Employee and Supervisory Performance (1954), ed. by M. Joseph Dooher and Vivienne Marquis, p. 33.

11. E. P. Hollander, "The Reliability of Peer Nominations Under Various Conditions of Administration," Journal of Applied Psychology, (1957), pp. 85-90.

CHAPTER IV

FEASIBILITY OF A PEER RATING SYSTEM

GENERAL

The previous chapter was concerned with the overall concept or value of peer ratings as a part of an evaluation system. But regardless of how good peer ratings may be, there still remains a question as to how feasible or practical they would be for use within the military service. The purpose of this chapter is to present a detailed discussion of the areas where resistance to peer ratings will most likely be encountered. It is a consolidation of as many problems as can be identified from a review of past studies and from discussions with fellow officers.

Problems and obstacles could be expected, the same as with any new system, if peer ratings were added to the present officer evaluation system. Certain of these problems are real. Others may be only misconceptions on the part of the officers, however, until such time as these misconceptions are corrected by a widely accepted explanation, they will be an obstacle to the peer rating system just the same as if they were real. These problems must be faced; it must be determined which problems are real and which are misconceptions; and it must be determined if the problems can be overcome. Little progress will be made until this is accomplished. Unfortunately, some of the problems which will be discussed are already present in our rating system of today.

However, a peer rating system will greatly increase the number of ratings on each officer which, in turn, will magnify any existing errors. Unless they are corrected, peer ratings would only further invalidate the ratings.

WHO IS A PEER?

The one problem which will be contested more often and with the most vigor is that of determining who are peers. The dictionary defines a peer as "one who has equal standing with another." Unfortunately, due to the rank structure within the military services, this definition hurts much more than it helps. Based on the rank structure, it can be said that all officers in the grade of major (Air Force, Army; Infantry, Adjutant General; junior, senior) have equal standing and, therefore, are peers. But can the service establish a peer rating system based on this definition without further defining and delineating what is meant by a peer? No! However, the minute efforts are made to precisely define "peer," trouble begins. Everyone will have his own idea--just as everyone presently has his own ideas about what the efficiency reporting system should be--and a definition to suit all, or even a majority, of the officers will become a most difficult task.

It is believed all officers would agree that a more definitive meaning than "equal standing" would be essential before attempting to implement a peer rating system. If this is true, then why would it be so difficult to establish an acceptable meaning--one

acceptable to all? Perhaps a few questions at this point can quickly direct attention to the heart of this problem.

Take the case of two majors, one with one month in grade and seven years total service and the other with four years in grade and eleven years total service. Would the junior major be qualified to submit an appraisal on the senior major? The senior major would in all probability answer in the negative and he would, without doubt, be supported by a large majority, if not all, of the officer corps. Would they be correct? It might be hard to say that added experience has no bearing on an officer's ability to accurately evaluate traits which would predict future officer performance. But if the junior major is not equally qualified to rate the senior major, then when do majors become peers? When they are within one year of equal grade? Two years? It is a hard question to answer.

The next point which repeatedly comes up in a discussion of this subject is that of branch. The question here could be, "Would two majors of equal rank and service and serving in a division headquarters, but one an infantry major serving in the G-3 Section and the other a finance officer serving in the Finance Section, be equally qualified to rate the other?" They are both serving as a staff officer. Even if it could be shown that they were equally qualified, it is doubtful that the officer corps would ever accept such a condition.

Another bruising question concerns the staff officer versus the commander. Should a Lieutenant Colonel serving on the division staff be allowed to submit an appraisal on a battalion commander, or vice versa? There are strong feelings in this area!

It is evident that defining a peer for any peer rating system will require considerable thought and research. Questions such as the ones surfaced here must be faced squarely and studied in detail. Undoubtedly this problem can be solved, but it must be done with great care. There is probably no other point which will be as important to the ratee than the matter of who his rater will be.

PREJUDICES AND BIASES

The Problem

The subject of prejudice and bias is most difficult to write about. It covers a broad spectrum and any writer always wonders if he is not allowing his own prejudices and biases to influence his writing. However, the subject cannot be avoided in any discussion of peer ratings. Whether or not the old hang-up that "peer ratings are nothing more than a personality contest" is true or fictitious is of little significance as long as the officers believe it to be true--and the number who object to a peer rating system (supported by percentages later in this chapter) would indicate they believe it to be at least partially true.

The real problem is that of the studies reviewed by this author, none has proven that prejudices and biases can be ignored in a peer rating system. Those individuals who are in favor of peer ratings will point quickly to a study made using 187 Naval Aviation Cadets which showed that friendship had no bearing when the cadets were rating other cadets on leadership.[1] But those individuals opposed to peer ratings will just as quickly quote the following from another study:

> The factors observed to operate most often to give rise to prejudiced judgement were these: differences between respondent and the person he discussed in nationality, in civilian or military status, in military rank, in social status, in imaginativeness or practicality, in types of assignment (e.g., operational job or desk job), in attitudes toward order, regularity, and discipline, in temperament, and in drinking habits.[2]

And so the arguments continue.

A Democratic Process

What are some of the prejudices which might be significant in a peer rating system. One which probably would be argued constantly is the effect of source or type of commission--USMA, RA, or Reserve. "Judges rate their colleagues, fellow students, or fellow teachers higher than they rate others."[3] Even though the problem has undoubtedly diminished during the past several years, can it be stated that the USMA officer really sees a reserve officer as a colleague in the true sense of the word? And further still, does the Army as a whole look at them equally? Do they receive equal consideration in assignments or does it run

in order of priority from the USMA to RA to Reserve? Does one group seem to cluster in similar type jobs? Maybe a look at the present setting, the US Army War College (USAWC), would give some insight to these questions. It is assumed that an assignment to the staff and faculty of the USAWC would be considered as a prestigious type assignment. The Officer Biographical Sketches, 1971,[4] show that 87 percent of the LTC, Army, Combat Arms, assigned to the staff and faculty (for this survey the term staff and faculty does not include the Operations Group, USAWC) are USMA officers. Even when considering the fact that the USAWC students are a select group, the percentages run much lower. Only 31 percent of the LTC, Army, Combat Arms, assigned as students are USMA officers. A staff and faculty-student ratio of 87 percent to 31 percent would indicate preference is given to USMA officers in assignment to the USAWC. Why? Is there any special reason or did it just happen? Is there an answer which would satisfy the officer corps as a whole? Are there other areas of this nature? It would be interesting to know what the ratio for high level positions over the past 20 years would show. The purpose in pursuing this line is not to question whether or not this is right or wrong, good or bad, justified or unjustified. But rather to emphasize that peer ratings are a <u>democratic</u> process and a peer rating system would be handicapped until such time as the <u>opportunities</u> are also on a democratic basis. This may be a

minor point, but it could be one of those small barbs which help to destroy a good system.

Moral and Professional Standards

Moral and professional factors will also have a direct bearing on the validity of peer ratings. It can be stated that it has just as great an effect on superior ratings, but this is doubtful. An individual studies his supervisor and is able to adjust, within the limits of his own moral and professional standards, to the stated or obvious desires of the "boss." This could or could not be a desirable characteristic, but it is necessary for an efficient organization. And any change in rating systems will not change this attitude! An individual will not act in violation of his supervisor's desire (again within the limits of his own moral and professional standards) even though he might believe a different action would improve his image in the view of his peers. His "bread and butter" is too closely tied to his supervisor. In research studies carried out at Michigan Survey Research Center, one curious finding appeared consistently:

> It was discovered that effective supervisors tend to have bosses who follow the same pattern of supervision, and that ineffective supervisors tend to have bosses who also have ineffective patterns of supervision. In other words, like begets like. 'We tend to supervise as we are supervised.' Patterns of supervision thus tend to flow downward in an organization. The reason, of course, is that rewards and punishments flow downward. We try to figure out how our supervisor wants us to behave and then modify our behavior accordingly. We tend to conform to our supervisor's expectation concerning how we should supervise. . . .
> . . . . . .

> We tend to supervise as we are supervised, not as we are taught to supervise. . . .[5]

if this is true, then peers do not always see a peer as he really may be. They see him as he may be changed, to some degree, by his supervisor. Unless they (the peers) perceive the supervisor as well as, or in the same manner as, the person being rated, the validity of peer ratings will be lessened.

Knowledge of Peers

Along this same line, it seems to be a common belief among advocates of peer ratings that peers are usually in closer contact with what the ratee does hour-by-hour and day-by-day and that a man tries to present only his best side to his supervisor, but his peers see him as he is. It is questionable if either of these beliefs is true in today's environment--at least not to the degree that it may have once been. It is not uncommon that an individual spends more of his time with or around his supervisor than his peers. The growing size of the Army without a corresponding increase in on-post housing has greatly reduced the amount of time officers spend together after duty hours (it should be noted here that in most instances to date where peer ratings have been used effectively, the participants all lived together). As stated in the Military Review:

> The expanded size of the military forces also has had its effect. One of these effects is the limitations of acquaintanceships within the officer corps. A close and detailed knowledge of one another is impossible, and, therefore, reputations are vague and limited. . . .[6]

Although this author was describing the officer corps as a whole (and even felt that peer ratings might help to solve this problem) it is believed the statement will apply to a large degree to smaller organizations, e.g., post or division. The battalion commander simply does not know that much about what the other battalion commander is doing in many cases. Normally, battalions are spread out by organization and mission much more than in the past. This author discussed this situation with several infantry officers who had served as battalion commanders in a division in Vietnam. They were asked individually if they felt they could have made peer ratings on the other battalion commanders in their brigade. Without exception, the answer was "No." Each one stated that he just didn't see the other commanders that much or know them that well (unless, of course, he had known him before). They all stated they knew where the other battalion commanders were operating and what they were doing, but had very little contact with them. Very surprisingly, two of these officers volunteered the information that their own company commanders knew even less about each other than they (the battalion commanders) knew about other battalion commanders. They stated their company commanders saw very little of each other. Even in Europe the battalions are spread out so that many battalion commanders do not see much of the other commanders. The days of the old regiment are gone!

In addition, maybe the peer doesn't see the man "as he is" better than the supervisor. There seems to be a growing trend

today toward an individual wanting to be more open and speak his belief--a trend which at this point may be temporarily upsetting the Army image more than any one other factor. The one face to your boss and another face to your peers may be a thing of the past. Does this contradict the argument used earlier in the chapter that an individual will not act in violation of his supervisor's desires (within limits) because his "bread and butter" is too closely tied to his supervisor. Maybe to some degree, but not entirely. An individual may express his opinion in strong terms to his supervisor, but in the end he normally must follow his supervisor's directions. His peers may or may not know of the initial position he has taken and, therefore, the supervisor may see him "as he is" more than the peers. At any rate, times are changing. Studies must be made to determine which theory carries the most weight in the present environment.

Positive and Negative Prejudices

Studies which go much deeper and come closer to the officer on active duty must be accomplished. Negative prejudices must be examined as well as positive. Hollander's research (referenced earlier) to determine what effect friendship played in peer ratings would be considered as testing a positive prejudice. On the other hand, research by deJung and Kaplan which showed that difference in race does have an effect when individuals are rating each other[7] would be considered as testing a negative prejudice. More work needs to be done to determine the effect for persons who are

disliked for some reason--a negative prejudice. Some of these problems are discussed in Assessment of Men. This book is an account of the attempts made to assess the merits of men recruited for the Office of Strategic Services during World War II. It tells how individuals were selected and also how attempts were made to measure their efficiency as a worker. Several methods, one of which was peer ratings, were used to measure how well the man performed on the job. This situation seems to be more closely related to the active Army than any other study to date. Some of the findings of this study relating to social factors are as follows:

> 6) . . . If a man being appraised was liked or admired by a respondent, he was very commonly rated higher on all traits without distinction. On the other hand, if he was thought to be low in one trait, or to have done a poor job, he was frequently rated low on all characteristics, although it is unlikely that he could have been so consistently undesirable. Discriminating distribution of trait ratings on a single individual was relatively rare.
> . . . . . .
> 8) If the respondent knew the individual as a co-worker, he may easily have had a different opinion of his social relations, for example, than someone who knew him only after hours. He may have been a congenial drinking companion and a crabby boss. Each view might have been correct in its own limited area, but it was hard to combine them into one valid over-all rating.
> 9) . . . Similarly, when the appraiser and one of the informants /peers/ were members of the same clique overseas, but another informant was not a member, it was common for markedly different opinions to be expressed. Of course both such views may have a measure of truth in them, but it is not possible to represent the two truths in a single quantitative rating.[8]

Prejudice Toward the System

One danger probably greater than any discussed above is that of the officers becoming prejudiced to any new type peer rating system before it has been given a fair chance. The attitude of the officers toward peer ratings is prejudiced already as shown by a student survey at the Command and General Staff College (CGSC) in 1968. This survey indicated that 98 percent of the students were opposed to peer ratings.[9] The reasons given by the students for opposing peer ratings were many and varied, but were closely related to prejudices and biases, dissatisfaction with the selection of peers, and the "personality contest" theory. Here again, as with Kubany's study described in Chapter III, the CGSC study was concerned with using peer ratings in the overall evaluation of students more than in predicting future potential. One of the problems with the peer rating system will be to convince the officer corps that peer ratings are measuring traits which predict potential and not an evaluation of present performance of duty.

MEASUREMENTS

The quote, "The precision of an instrument cannot properly be measured by an instrument that is less precise,"[10] leads to a very intriguing thought. The individuals who end up at the top of a peer rating system have been placed there by persons evidently less competent than they--a most unnatural situation. It simply

seems odd to think that persons with less capability could predict an individual's future potential better than individuals with more experience (the supervisors). It is not intended that this question be pursued, but it does open the door to other problems--that of determining the reliability of peer ratings based on the ability and conscientiousness of the rater, especially in the case of younger and less experienced officers. It could be argued that the same holds true for superiors in today's rating system, but it is doubtful. There is a strong feeling of responsibility on the part of supervisors in making ratings and there is, without doubt, much time and effort put into each efficiency report rendered. The system of an indorser and reviewer demands this. Can this same degree of a feeling of responsibility ever be achieved among all peers? This weakness of the peer rating is noted in the Assessment of Men as follows:

> The results of these techniques /peer ratings/ can be immensely valuable or completely worthless depending upon the degree to which the subjects can be induced to take the assignment seriously and to execute it with complete honesty and candor.[11]

> Striking characters, good and bad, were reported upon more frequently than less colorful figures, and opinions about such vivid personalities are especially susceptible to the errors of hearsay.[12]

Bittner's article touches on this problem:

> . . . merit rating is in competition with many other things for the rater's time, and the accomplishment of these other things has a more direct bearing in the rater's mind on his bread and butter. This presents a dilemma, because an

> adequate merit rating plan requires the rater to devote considerable time to it if the results are to be worthwhile. . . .[13]

This lack of a feeling of responsibility may be a danger in the event of no indorser and reviewer (who obviously would have no place in a peer rating concept) and the increased number of reports which would be required of all officer personnel. Furthermore, a peer rating system would be a system with almost no controls. Counseling of raters in a peer rating system would necessarily be in general terms as opposed to the present system where counseling by the indorser and reviewer can be accomplished on specific cases. Mandell in his article, "Appraisals: A Valid Management Selection Tool," was discussing various difficulties to be overcome to make appraisals more meaningful. One finding was that ratings were more accurate when obtained orally from the rater by a trained staff member.[14] Though this would be near impossible in the Army, the indorser to a small degree and the reviewer to a much larger degree presently fill this role of a trained staff member. The fact that the reports of both the rater and indorser are reviewed by a more senior officer adds credence to the present system and also provides the ratee with some feeling of protection.

WEIGHT VALUE

To establish a scoring or evaluation system for the users of efficiency reports which would be compatible with the present system will be hard. If a peer rating system were implemented,

a selection board, for example, will now have many more reports for review and it would seem that some type scoring system would be necessary (whether present selection boards do or do not use some type scoring system is not known to this author). But before a scoring system can be established, the relationship between peer ratings and superior ratings must be established--and this relationship should be common knowledge among all officers. Will the state of the art support a definitive relationship? Could it be determined, for example, if peer ratings should have a weight value of 40 percent and superior ratings a weight value of 60 percent? This will certainly be a most difficult task, expecially since the rating of an individual under any rating system carries with it a high probable error. The measurement of human traits and capacity are a long way from the exactness which we are accustomed to expect from measurements.[15] To add another factor--peer ratings in this case--to the present system which can have a bearing on promotions, assignments, etc., without a definite and realistic method for its use would be unsound.

TRAINING

Importance of Training

What is so important about training an individual in techniques of efficiency reporting? The rater has a form and a regulation explaining how the form is to be completed. It would seem that with the form, the regulation, and a normal amount of

judgment, any officer could do a good job of rating another officer. Evidently this is not true. It was sobering to note just how many times the word "training" kept cropping up as a problem in the various articles used in research for this paper.

The training problem is not unique to a peer rating system. It is without doubt a big weakness in the present rating system and is probably one major underlying cause for the number of changes that have been required in the rating system over the years--more so than the fact that the reporting form being used was bad. Bittner addresses this specific point:

> The feeling is all too prevalent that the way to obtain better ratings is to get a better rating form. It is not surprising that this feeling is common, for if a tool doesn't work it is natural to look for a deficiency in the tool rather than a fault in the user of the tool. Nevertheless, I believe that if all raters were properly trained, almost any rating form would give reasonably good results, providing it was chosen in the first place to conform to the objective of the rating program.
>
> . . . . . .
>
> It is interesting to note that there is considerable clamor in our company for a change in the merit rating form, even though it is excremely doubtful that our form has ever been given a fair chance to prove its worth. We shall be obliged to change the form, too, I think, because sentiment against it has crystalized to such an extent that systematic training introduced at this late date would probably not breakdown the resistance.
>
> . . . Furthermore, it [training] should be introduced concurrently with the introduction of the merit rating system and not after bad training habits have been formed--or, what is worse, after resistance to the procedures has developed.[16]

As stated before, training is not a problem unique to a peer rating system and some of this discussion on training may stray

to some degree from the subject of peer ratings. But training is believed to be extremely important and must be considered in any new system. Training could well be the most difficult and significant factor in implementing such a revolutionary system as peer ratings.

Direction of Training

What should be the thrust of a training program for efficiency reporting? Perhaps some quotes from five authors will highlight where weaknesses are found. From Guilford: "Individuals differ in the capacity to judge others."[17] "Judges do much better if interested in the ratings they make,"[18] and "Different judges use different criteria in judging the same trait."[19] From Joseph Tiffin's writings:

> Rating people is a skill and not an easy skill. Good production men and even good supervisors are not necessarily good raters unless they have been taught how to rate. . . .[20]

Walter R. Mahler states:

> The willingness of the rater to formulate accurate and consistent judgements does not develop automatically nor can it be obtained by edict. . . .[21]

Gustav C. Hertz writes:

> Plans must be developed for securing understanding and acceptance of the rating program by both employee and supervisors.[22]

And further:

> Merit rating is a comparatively delicate management device and one which, in the hands of untrained personnel, can cause much harm. . . . Ratings made by untrained supervisors are frequently the

> source of appeals and other types of efficiency rating grievances and cause the system itself to fall into disrepute.[23]

And finally from Roadman:

> . . . some attention must be directed to the question of the willingness of participants to accurately rate each other if they know full use will be made of peer ratings for administrative as well as individual development purposes.[24]

It is obvious from these quotes that the three key words in training for an effective rating system are understanding, willingness, and acceptance--and they apply equally to the rater and the ratee. It is debatable how well these three factors are integrated into the present rating system, but however hard it was to get to the present situation--whatever it may be--it could be a more complex problem to mesh these factors into a peer rating system. In line with the CGSC survey referenced earlier, another opinion survey of some 1800 officers showed that 84 percent of the officers favored more and better training to improve efficiency reporting,[25] but it also showed that 78 percent were opposed to being rated by persons of equal rank.[26]

The number of methods which could be used to promote understanding, willingness, and acceptance is a study within itself, however, some things which would help are obvious at first glance. One of these is "time." There must be ample lead time for the personnel in the field to digest a new rating system before they begin submitting ratings. The most glaring example of where lead time was extremely limited was when the present form 67-6 for

efficiency reporting was placed in effect. The new DA Regulation and DA Pamphlet covering this reporting form were received in the field less than a month before the new system was to be effective (based on experience in the 4th Armd Div, USAEUR). Administrative personnel were forced to prepare lesson plans overnight, present classes when they themselves were not sure of all aspects of the new system, and face an audience which was openly hostile to this sudden change. As a result, the efficiency reporting system was chaotic for several weeks after the new reporting system was implemented. It seems reasonable to assume that the short lead time for this change was a major hinderance to its acceptance in the field. The publication and distribution of all material concerning a major change such as this should be a minimum of three to six months prior to implementation. The users need this much time to establish procedures and to be prepared for a smooth transition. Of course, publicity explaining the reasons for the change, etc., should begin long before this three to six months time period.

Another place where training must be emphasized for better understanding is in the meaning and value to terms. One interesting experiment in this area is summarized as follows:

> One company had raters put 20 of their workers in rank order from 1 to 20. Then they were asked to run down the list and choose the person they considered as an average run-of-the-mill worker. In 14 out of the total 19 groups rated, the raters chose for the average worker the persons ranked either best, second best, or third best. In only two groups did a rater go as low as seventh best for the average worker. Apparently, "average" to

these raters meant outstandingly good and defining the meaning of "average" did not clarify the point for them.[27]

There are presently descriptive words on the Officer Efficiency Report form which are more confusing than "average." Take the word "loyalty" for example. A rater is supposed to place an individual in one of five categories--top, second, middle, fourth, or bottom. Many will argue this is not possible as an individual is either loyal or disloyal--so they must rate him top or bottom. Granted, this may be somewhat extreme, but most will admit it is near impossible to decide when a person should be rated second, middle, or fourth in this area. Consequently, most raters give a top in this block. Is this wrong? How can you define "average loyalty?" If no instances are known where the individual has not been loyal (which is true in the majority of cases), then how can he be rated below top; yet the efficiency reporting system is supposed to be such that the "hump" falls in the middle. Bittner touches on this point:

> It is often assumed that common understanding of the meaning of a trait is brought about by defining the trait carefully. An interesting finding from research on ratings in our company bears on this. We have found that many raters cannot even distinguish sheer ability to do the job from personality despite elaborate definitions of these characteristics. And to make matters worse, the raters were rating people working on routine production jobs where personality was not a component of successful performance.[28]

Another example, in the opinion of this writer, of where two of these factors--understanding and acceptance--are made difficult is the value system used in block XII of the Officer Efficiency

Report. Raters are supposed to rate an individual between 0 and 100 in over-all value to the service. Yet grading systems, with rare exceptions, which raters have been subjected to all their life have been based on a grading system of 70 to 100 as passing and below 70 as failing. Suddenly in the Army raters are supposed to rate an average officer as 50. We are all greatly hindered by our past experiences and it is unnatural to rate an average officer at 50. If it is necessary that 50 be average, then a training program which is far superior to anything heretofore used is necessary.

ADMINISTRATION

The efficiency reporting system is an administrative burden at all levels. Even though some eight percent[29] of officer efficiency reports are returned by DA for administrative errors, efficiency reports are probably handled throughout the Army more carefully and watched more closely than any other administrative action other than casualty reporting--which is as it should be. To add a peer rating system which would mean many more reports could create a real administrative problem, even though the reporting form and procedures might be greatly simplified. Control will always be a problem. The value of a peer rating system must be considered in light of this increased workload.

FOOTNOTES FOR CHAPTER IV

1. E. P. Hollander, "Leadership, Followership, and Friendship: An Analysis of Peer Nominations," Journal of Abnormal and Social Psychology, (1955), pp. 163-167.

2. Donald K. Adams, et. al., Assessment of Men (1948), p. 408.

3. J. P. Guilford, Psychometric Methods (1936), p. 276.

4. The Officer Biographical Sketches, 1971 (1970).

5. James N. Mosel, "Human Organization and Effective Training," Address (Training Officers Conference, Washington, D. C., 1956), p. 7.

6. Thomas A. Rehm, LTC, "Ethics and the Military Establishment," Military Review, (September 1970), p. 10.

7. John E. deJung and Harry Kaplan, "Some Differential Effects of Race of Rater and Ratee on Early Peer Ratings of Combat Aptitude," Journal of Applied Psychology, (1962), p. 370.

8. Adams, et. al., pp. 411-412.

9. DF, Subject: Experimental Peer Rating System, CGSC, (11 July 1968).

10. Adams, et. al., p. 448.

11. Ibid., p. 181.

12. Ibid., p. 413.

13. Bittner, p. 25.

14. Milton M. Mandell, "Appraisals: A Valid Management Selection Tool?," Personnel, (November-December 1968), p. 966.

15. Bittner, p. 25.

16. Ibid., p. 29.

17. Guilford, p. 276.

18. Ibid., p. 276.

19. Ibid., p. 279.

20. Joseph Tiffin, "Merit Rating: Its Validity and Techniques," in Rating Employee and Supervisory Performance (1954), ed. by M. Joseph Dooher and Vivienne Marquis, p. 13.

21. Walter R. Mahler, "Let's Get More Scientific in Rating Employees," in Rating Employee and Supervisory Performance (1954), ed. by M. Joseph Dooher and Vivienne Marquis, p. 51.

22. Gustav C. Hertz, "Planning for a Successful Merit Rating Program," in Rating Employee and Supervisory Performance (1954), ed. by M. Joseph Dooher and Vivienne Marquis, p. 44.

23. Ibid.

24. Harry E. Roadman, "An Industrial Use of Peer Ratings," Journal of Applied Psychology, (1964), p. 214.

25. Bittner, p. 29.

26. Ibid.. p. 23.

27. Ibid., p. 31.

28. Ibid., p. 31.

29. DCSPER Study, p. 4-21.

CHAPTER V

PEER RATINGS ON A SELECTIVE BASIS

A PROPOSED TEST

In the preceding chapters the many unanswered questions--real or imagined by the officer corps--concerning peer ratings were discussed and admittedly it painted a pretty dark picture for peer ratings. But it by no means shows, nor was it intended to show, that peer ratings could not be used to an advantage sometime in the future. And maybe even in the immediate future on a selective basis among more senior officers. Most probably many of the difficulties discussed would be eliminated or at least reduced if peer ratings were limited to more senior officers. With maturity, it is hoped that most prejudices would be at a minimum having been replaced with better reasoning and understanding. Selective use would not flood the system and the reports would be completed more accurately. The senior officer would be better motivated to do a conscientious job. At any rate, some experimentation must begin in an active duty environment simply to identify specifically the problems and to add to the knowledge of peer ratings.

International Business Machines Corporation (IBM) conducted a study which certainly provided encouragement for further research in peer ratings. It is summarized as follows:

The purpose of the study was to determine how well peer could predict the promotion potential of middle managers. The setting used for the study was a four-week middle management training course. The students were broken down into groups of 16 each, and worked together for two to three weeks before the peer ratings were administered. About half the course was not structured or led by an instructor, which allowed for much student interaction. They all lived together at the location of the school.

Each student was required to rate all students within his group on 13 characteristics. He was to rate them on a scale of 1 to 5, and was also required to have an equal number of ratees in each block--three in block 1, three in block 2, etc.

Every third student was then selected for further observation. After two years these men were ranked in order of the number of promotions received since completion of the training course. This list was then compared with the mean score of each of the 13 characteristics rated. The results showed peer ratings to be predictive in 10 of the 13 characteristics. Although this study cautioned that additional research is necessary, it did indicate that peers can identify those middle managers who will move into executive positions.[1]

Even though the IBM study was conducted in a training school environment, rating forms were not signed, and the participants were not in a "real life" situation--that is, the ratings would not in any way influence their own or their fellow students' promotion potential--the fact still remains that they were able to make accurate predictions in this situation. It seems the next step would be to change the setting to one of a "real life" situation and find if the theory remains valid; if so, then search for a practical application of the theory.

An initial test to provide some insight to the subject will be Part II of this study. The test will be to match a set of peer predictions against the actual results of the selection board for selection of students to attend the senior service colleges in 1971. This will be a repeat in some ways of the

IBM test, to include the same limitations, moved to a military environment. However, it will be a first step and will show how much difference there is between the way peers see an officer as compared to the way a selection board sees him based on a review of his records. The direction for further research will depend on the answer to this first and basic question.

FOOTNOTES FOR CHAPTER V

1. Roadman, pp. 211-214.

CHAPTER VI

CONCLUSIONS

There is ample evidence to show that peer ratings have been most effective in predicting potential in training school situations. There is evidence which indicates peer ratings might be effective at middle and higher management levels in a "real life" situation in the military service. But at the same time there are many unanswered questions. Do peer ratings predict better than superior ratings in a "real life" situation? Would it be too difficult to establish a suitable definition of "peer" in an Army setting? Can we establish conclusively that peer ratings would be of any significant benefit to the Army if added to the present rating system? There are many other questions, but probably the biggest question of all is, "Is it practical?" Can it ever be sold to the officer corps? The theory of peer ratings may prove to be completely sound in all situations, but this will be of little use if we are unable to establish a training program which will convince the officer corps (which already believes it is bad) of its value.

At this point in time, peer ratings are not feasible and would serve no good purpose if added to the officer efficiency reporting system for all officers, or even on a selective basis. Rehashing over studies of the past will not solve the problem. It would appear that actual testing in an active duty setting in today's environment is the only way to obtain the answers which are needed.

PART II

CHAPTER I

INTRODUCTION

The second portion of this study project presents a survey of peer ratings and subordinate ratings which might be used to assist a selection board in selecting officers for attendance at the senior service colleges. It is intended to portray a practical example of the peer ratings explained in part one of this study. Part one portrayed some examples of peer ratings conducted in a highly controlled population. The study at hand is a real-life example of a peer rating system. An opportunity presented itself after the project was commenced to obtain subordinate ratings on the same group of officers, hence the work on this aspect is also included.

PURPOSE

For many years, men have pondered over selection lists, promotion lists, appointee lists and any other lists of persons selected by a board of superior officers, and asked themselves why certain persons were or were not selected, promoted or appointed. These persons "knew" of several glaring errors in omission or inclusion; they "knew" these errors could be eliminated in the future if only the peers and subordinates had a say in the selection and rejection process. This basic thought describes generally why this study has been done. The hypothesis of this

study is that peer ratings can give useful information to the selection board from a heretofore untapped source. As Part I indicated, many experiments have been done in the field of peer ratings, as well as practical work with certain selected groups of people. This portion of the study is a practical example of a comparison of peer ratings (and also subordinate ratings) with executive ratings. The percent agreement between selection and nonselection by peers as compared with the selection board and the same comparison between the subordinates selections and the selection board selections will be portrayed in Chapters III and IV.

SELECTION OF GROUP FOR STUDY

Several alternative areas presented themselves for use for this practical study. These alternatives were narrowed to three: 1) Current selection of officers to the grade of brigadier general; 2) Current selection of officers to the grade of colonel; and 3) Current selection of officers to attend a senior service college for the academic year 1971-1972. The first two alternatives were discarded primarily due to the sensitivity of early information as to who was being considered for these promotions and the fact that these promotions are so singularly important in the officers' career they should not be used for experimentation. Another consideration was that some of the officers who would be involved as raters also could have appeared on the list and hence be ratees. The third alternative, while it is similarly sensitive, loses a

good deal of its sensitivity due to the fact that no one performing the peer rating could possibly appear on the list as all the raters are now attending the United States Army War College (USAWC). Sensitivity was further reduced by virtue of the fact that all eligible infantry officers were listed on the questionnaire instead of only the names the selection board uses. In this instance the selection board considered only 259 previously screened infantry officers, whereas the questionnaire in this study used the entire list of nearly 2000 eligible infantry officers.

An opportunity presented itself early in the study to gather subordinate ratings on the same group of officers for which the peer ratings were done.[1] For the remainder of this study project, only peer ratings will be discussed until Chapter IV where the analysis of the results of subordinate ratings will be discussed.

FOOTNOTES FOR CHAPTER I

1 Interview with Dandridge M. Malone, LTC, Staff and Faculty USAWC, Carlisle Barracks, Pennsylvania, October 1970.

CHAPTER II

METHODOLOGY

This study project was conceived in September of 1970. At the time of its initiation a board of officers was in session at the Department of the Army to select the attendees for the senior service colleges for the academic year 1971-1972. The board was scheduled to announce its results sometime during the early part of November 1970. It was necessary to get the questionnaire into the hands of the peer group, completed, and returned prior to the list of selectees being announced by the Department of the Army. Due to this timing, the entire procedure for this study had to be expedited. The first step to be taken was to designate the peers who were to do the rating.

In Chapter IV of Part I is a discussion of the salient question of who is a "peer." For the purposes of this study, all US Army Infantry Officers presently at the USAWC are considered peers of all US Army Infantry Officers eligible to attend one of the senior service colleges during academic year 1971-1972. Hence, included in this definition are the following limitations: 1) Both lieutenant colonels and colonels rate lieutenant colonels and colonels; 2) Officers with from fifteen to twenty-three years of commissioned service are rating officers with from fourteen to twenty-two years of commissioned service (years of commissioned service are based upon the criteria for attendance at a senior

service college); and 3) All raters and ratees are infantry officers. This is a rather broad definition for a peer group. Under the conditions existing, it appeared to be the most workable definition.

SUBORDINATE DETERMINATION

For the purpose of this study a subordinate is operationally defined as a US Army Infantry Officer in attendance as a student at the Command and General Staff College (C&GSC), Fort Leavenworth, Kansas. These officers are in the grade of major or lieutenant colonel. It is possible that some of these subordinates may in fact be slightly senior in rank to some of the officers being considered for attendance at a senior service college, but this would be an inconsequential number. All these raters from the C&GSC have been considered to be subordinates.

Something should be said at this time about the selection of the infantry officers as the group for use in this study. Because the Infantry is the largest branch of the Army, and has the greatest representation at the USAWC, and at the C&GSC, it was felt to be the best selection. The pros and cons of this selection were discussed with many of the officers of many branches before the fact, and most of them agreed it would give the best results in way of the magnitude of the response to the questionnaire.

The next largest branch represented at the USAWC is the field artillery with only thirty-seven officers in attendance. It was felt this would be too small a body from which to get sufficient results for the purposes of this study. Ideally, this survey should have been made with officers from all the branches participating. Preparation time precluded this; there was time for only one group to be surveyed.

LIMITATIONS ON NAMES

Once the question of peers was settled, the next preparatory step was to secure the list of officers who were eligible to be selected to attend a senior service college in academic year 1971-1972. It is beyond the scope of this study to explain the preparation of the rosters of officers eligible to attend a senior service college; however, an excellent explanation was given by LTC Francis W. Craig of the Office of the Deputy Chief of Staff for Personnel, US Army during a personal interview in November 1969. Suffice it to say, this study used the nearly 2000 infantry officers' names from the initial, nonedited list of over 7000 names of officers of all branches of the Army supplied by the Office of Personnel Operations (OPO) at the Department of the Army.[1] An attempt was made to secure the list of names the selection board actually used which contained only 259 infantry officers. Due to the sensitivity of this list, it could not be released before the results of the board were made known. The selection

board is not provided the entire population to consider. They only consider those names supplied to them by the OPO. Here we see an informal type of peer rating system at work, (the action officers, (lieutenant colonels and colonels) in the branches and in the OPO selecting, from records, those best qualified for the selection board to consider!) To the uninitiated this list of 2000 names may seem long and unwieldy, however, neatly printed and alphabetized it proved not overly difficult to read and to complete. As an additional consideration in its ease of use for this particular group of raters is the fact that all officers are accustomed to perusing long lists of names on promotion, selection, transfer, and qualification and other lists throughout their careers. There are a few areas for error in this list of nearly 2000 names which will be discussed at the end of Chapter III; however, the errors do not seem to be of any major proportions and can generally be discounted. They are pointed out for completeness of this study and as a caution for anyone undertaking a similar study in the future.

PREPARATION OF QUESTIONNAIRE AND SCALES

With a workable definition of peers, and a proper listing of officers to be rated, the heart of the study was in preparing a valid, manageable questionnaire and set of instructions for the raters.[2] This is deceptively difficult. A copy of the actual questionnaire, with only one page of names (as an example of the 30 such pages of names) is at Appendix A. The purpose of the

study was stated as simply as possible without trying to motivate the rater in any direction except to complete it using his best judgment and mature reflection. It was purposely designed to be as simple as possible and to be completed in a brief period of time. A great deal of thought and trial and error were involved in developing the association scale and the suitability scale. Suitable scales for these purposes could not be found in the literature which was available. These scales have no known precedent and are not based on any known previous study. Perhaps future work can refine these to be even more definitive and meaningful. It is recognized these scales may have different meanings for different raters. The raters voiced no difficulties in using the scales when queried about them. A more detailed discussion of the use of these scales is outlined later in this chapter.

After the questionnaire was completed it was pre-tested on ten officers to determine its adequacy. Several minor changes in wording and format were suggested and some of the suggestions were incorporated in the final format. Basically, however, the questionnaire remained as initially drafted.

ADMINISTRATION OF QUESTIONNAIRE

The administration of the questionnaire was done in two separate steps. First the participants were briefed in a four to five minute session. This was a straightforward explanation of the purpose of the survey, why they were selected to participate,

and administrative details. The second step was to give the questionnaire to the raters and request they read the instructions, complete it, and return it before the expected release date of the senior service college selectees list by the Department of the Army. The timing allowed five days for the raters to complete their questionnaires. Of the sixty-two questionnaires sent out, fifty-seven were returned completed.

For the subordinate ratings, similar procedures were followed at Fort Leavenworth. In that group 235 of the 247 questionnaires sent out were returned.

COMPILATION OF RESULTS

All returned questionnaires were number coded for identification. The data from the questionnaires were punched on data cards and a program was written for a computer[3] to extract the information which was pertinent. At the heart of this step was the crucial decision of converting the association scale (1-5) and suitability scale (1-5) into some meaningful number[4] in order that a peer order of merit could be constructed. At Appendix B is the numerical value associated with every possible combination of the association and suitability scales. On this scale, the higher numerical value indicates the individual is more desirable for selection; conversely, the lower value indicates a lesser desirability for selection. Generally the rationale is: 1) Numerical values in the 1-5 range are definitely negative because they

contain the "1" suitability rating. Of this grouping, an association scale of "5" (the rater who best knows the ratee) is given the lowest value as his judgment is best founded--i.e., it is the most negative appraisal available. 2) Numerical values in the 6-10 range were similarly derived. These ratings are also considered to be on the negative side of the ledger. Again they are arranged so that an association scale of "1" is less damaging to a ratee than is an association scale of "5." 3) Numerical values in the 11-15 range are considered to be slightly positive. Hence the association scale at this point is reversed placing the association ratings in ascending order to directly reflect increasing numerical value equivalents as the association score increases. 4) Finally the numerical values from 16-25 were considered as a group. It is here we find the most positive statements about a ratee. While this portion of the scale could be constructed somewhat differently by different evaluators, the solution presented has validity and has been used. This scale, 1-25, has been used to place the ratees in a peer rank order of merit.

The results of this study could not be foreseen with any clarity. For this reason the scoring scale outlined in the previous paragraph was worked out in detail to provide a very discriminate rank order of merit. It was expected this would be a great assist in mathematically analyzing the results. A study of the results indicated this could not be done very meaningfully. For these reasons, the results of the study have been analyzed

with a layman's approach and only very general inferences have been drawn. The data simply did not materialize as definitively as expected.

FOOTNOTES FOR CHAPTER II

1. US Department of the Army, Senior Service College Selection List (April 1969).

2. Malone Interview.

3. Interview with Ronnie L. Morgan, LLT, USAWC Staff and Faculty, Carlisle Barracks, Pennsylvania, January 1971.

4. Ibid.

CHAPTER III

ANALYSIS OF RESULTS FROM PEER RATINGS

To begin the analysis we will look at the entire spectrum of the peer rating. At Appendix C is a chart depicting the frequency of response by the raters of the ratees. This is surprisingly low from what was expected. It is readily seen that while an officer may be well known by a few, he is not necessarily known by many (at least for this purpose by this group of raters). Or looking at it from a different angle, each peer knew, on an average, less than five percent of the population! This certainly was a startlingly low number, and is perhaps one of the most significant observations from the study.

The examples of peer ratings in Part I all dealt with small populations of groups who lived in fairly closely (physical proximity) associated life. This almost dictated they would get to know each other well, or at least become somewhat acquainted with each other. The particular group of peers in this study does not fall into that neat a grouping. They do not live in any sort of closed environment with each other and their acquaintanceship is by chance and is intermittant to a great extent. Additionally, the acquaintance has spanned anywhere from only very recently to many, many years. It is perfectly possible for rater "A" to have known ratee "B" for years but not to have been associated directly with him for years. "A" then might rate "B" without any hard

knowledge of his actions, deeds and service in the intervening years which certainly affect his selection for attendance at a senior service college. The particular fact demonstrated here, the low apparent acquaintanceship of these peers, will be very startling to many. Personal experience and observations lead many people to feel otherwise. This observation of very low acquaintanceship is not conclusive, nor is it meant to indicate it would be true in the other branches of the Army. But it is true of this group of peers. It does not indicate anything about the size of a peer group, only that better acquaintance is needed to get a greater number of responses. The degree of acquaintance of this group of peers with this group of ratees was overestimated at the beginning of this study. Summarized, the following factors are deemed pertinent in helping to explain this low level of acquaintance:

1. The Infantry branch is very large as indicated with this list of nearly 2000 officers eligible for attendance at a senior service college next year. The sheer magnitude of numbers of officers makes it difficult for one individual to know a great proportion of those in the branch.

2. Specialty programs such as flying, automatic data processing, special forces, research and development, foreign area specialist, and others tend to compartmentalize officers to a certain extent, and hence limit their exposure to certain groups of peers. This is a two way street as it serves as an obstacle

for the specialist to become acquainted through assignments with generalists and other specialists, and also a hinderance for the generalist to become better acquainted with the specialists.

3. The most recent three to five assignments (as a field grade officer) of a USAWC student would typically not bring him in contact with his peers (as used in this study) nearly as often as it brings him in contact with his subordinates and his superiors. (In most organizations and offices, a field grade officer has few peers, but many subordinates and superiors.)

During the overview is an appropriate time to mention some of the shortcomings of the survey. First of these is the fact the original list of over 7000 names had not been totally "purified". There were very few names on it which were there incorrectly and there were also very few omissions. Second, in making a pure Infantry branch list from the original list, one name was inadvertantly omitted. Third, three of the names on the questionnaire were found to be misspelled. This could lead to erroneous identification by the raters. Fourth, while only two of the raters expressed irritation at the number of names on the list, and at the smallness of the print, there were probably others who felt the same. This could result in receiving invalid responses from some raters. The fifth inaccuracy could result from the raters confusing officers with like last names and similar or like first names and middle initials. This possible shortcoming is very difficult to evaluate and it cannot be eliminated. Taken altogether, these

few possible shortcomings should not have an appreciable effect on the results of the survey.

BOARD SELECTION

After this general overview of the entire list of responses we will analyze specific portions of the responses. First to look at the ninety-five names which were selected by the selection board. These ninety-five names consist of eighty who are primary selectees and fifteen alternates. The selection board placed them in a rank order of merit 1-95. The table at Appendix D indicates the frequency of response by the peers for these ninety-five selectees as well as indicating the number of officers the board and the peers agreed upon. The most startling observation here is that five of these top flight infantry officers were not known by a single peer! Further over half of the ninety-five were known by fewer than five of their peers. In other words, over half of the cream of the officers are virtually unknown by their peers. It seems hardly conceivable that if four or fewer peers were to recommend to a board that they select or not select an officer for attendance at a senior service college that the board would consider the recommendation. If this concept is accepted, our value placed on a sort of peer rating described here is of doubtful value. Opposed to this peer system where so few ratees are known by so few raters, is the in-being system where each ratee's record is meticulously screened by many senior officers.

Under that system, each ratee is assured maximum exposure and consideration. Referring to column three of Appendix D of these top ninety-five, the peers agreed and selected fourteen. Again we see that eight of these fourteen ratings are based on only one or two ratings each--hardly suitable as a criterion for a selection of this importance. It must be borne in mind that the selection board was considering only 259 names where the peers were considering nearly 2000. Later we'll see a more direct comparison using only the 259 names.

PEER SELECTION

Next under consideration is the top ninety-five in the peer rank order of merit at Appendix E. First, in doing this, no cognizance was taken of the number of responses to determine the peer rank order of merit. Sixty-four officers were selected in the top ninety-five based on only one response each! This selection based on only one response would be manifestly unwise. However, the one officer who garnered twelve responses was also selected by the board. His peers put him in rank order sixty (behind many of those with only one or two responses) while the selection board put him in rank order thirty. Continuing in this vein, those two officers who received eight and six responses were in rank order eighty-four and fifty-six respectively on the peer scale compared to rank order eight and thirty-one respectively on the selection board's rank order. The one officer who received seven ratings

was not selected by the selection board, although his name was considered by them. With this meagre sample, five out of six of the top ninety-five who received five or more ratings were selected by both the selection board and by their peers.

RATINGS OF SELECT POPULATION

Now we turn to consider how the peers rated only the 259 names which the selection board considered. Recall these 259 names were supplied to the selection board by the OPO from the total of nearly 2000 eligibles. Recall also that these were essentially peers who screened the 2000 records to select these 259 names. At Appendix F is the comparison of the selection board's top ninety-five with the peer ranking of this group as well as an indication of how the board and the peer group agreed. With this more select group, there is a much higher number of selectees selected by the peers who were also selected by the board, than with the entire population as indicated at Appendix D. A result of this nature is to be expected as the population from which the selectees is diminished, greater agreement will be reached unless the selectees are unknown to the raters. A low level of response is, however, still present. Over half of the selectees had only five or fewer ratings. Even with this more select group a low level of acquaintance is still displayed.

To look at this in a different manner, turn now to Appendix G. Even with this select group of officers, well over half were

selected in the top ninety-five by only four or fewer raters. Looking only at those officers who received eight or more ratings, the peers agreed quite well with the board. In this grouping the board selected twenty-three officers and the peer ratings agreed with fourteen of them, resulting in nearly sixty percent agreement. In this entire survey, this is the greatest agreement to be found between the peer ratings and the selection board selections. Granted, it only represents a small segment of this study, but it is the one which seems to indicate the greatest validity of these peer ratings (assuming the board selection is correct)! Remembering that to get this agreement it was necessary first to limit the rated population (to 259) and further to discard the population rated fewer than eight times, this might give a better start point for any future work with this sort of peer group rating study.

THE BOTTOM NINETY-FIVE

The final analysis to be made regarding the peer rating portion of this study is outlined at Appendix H. Here is displayed, again using only the limited population of 259, the bottom ninety-five in peer rank order of merit. Immediately noticeable is the few number of times officers are rated. Over two-thirds of them were rated by three or fewer peer . The same five officers who were unknown on Appendix D show up unknown here so they shall not be discussed further. Dropping to the lower portion of Appendix H, to the officers who received seven or more responses, there is

considerable disagreement with the selection board. Here are ten officers who were rated definitely low by their peers, yet the selection board selected four of them in the top ninety-five. An indication of this nature could lend some weight to the deliberations of a selection board. Again, as was pointed out in the explanation of Appendix G, this would have to be studied further with greater definition.

Here we end the analysis of the peer ratings as compared with the selection board. None of them is overly revealing, but they do point to areas where further work could be done. One of these prime areas is ensuring the raters are well familiar with the individuals they are to rate. This is of all things a hard and fast prerequisite for a peer rating system. Another area which needs further refinement is in the length of list of names of individuals to be rated. The conclusions and recommendations in Chapter V emphasize these points.

FOOTNOTES FOR CHAPTER III

1. Interview with Francis W. Craig, LTC, Office of the Deputy Chief of Staff for Personnel, US Army, Washington, D. C., 1970.

CHAPTER IV

ANALYSIS OF RESULTS FROM SUBORDINATE RATINGS

Turning now from the peers' to the subordinates' ratings. In this analysis it is again demonstrated as it was in the peer ratings, there is a general lack of acquaintance with the ratees and a low level of response. The same start point for this analysis is used as in the case of the peers, Appendix C.

Referring back to Appendix C, it reveals about the same distribution of the number of responses from the subordinates as we had for the peers. They do cover a broader spectrum (to a high of forty-seven responses) but there are very few in proportion below the fifteen response level. On an average each subordinate rated less than two percent of the population!

The same general comments made for the peers relative acquaintance and recentness of association with the ratees can be made for the subordinates. This parameter has not been rigidly defined beyond the association scale explained on the questionnaire.

Now to look at the results of the subordinate ratings. They will be presented in the same order as those for the peers, but with a slightly briefer explanation.

BOARD SELECTION

Appendix I relates the ninety-five officers selected by the board to the number of responses on this population and shows a

very low level of agreement with the subordinates' selection. The subordinates in this case only selected four of the same officers as did the board. These four were selected based on only one rating each! There is little positive value in this relationship. It does tend to highlight again the low level of acquaintance the subordinates have with this population.

SUBORDINATE SELECTION

Appendix J for the subordinates is the companion to Appendix E for the peers. Where the peers selected some of the population to be in the top ninety-five based on several ratings, the subordinates have selected all of theirs on only one, two, or three ratings each. As is indicated, most of these were selected based on only one rating. Apparently it is a case of one subordinate knowing one of the ratees well and giving him a maximum score. Actually on the computer print out, these seventy-four who were rated once each, were all tied for first place in the rank order of merit. To get on to something a little more meaningful, refer now to Appendix K.

RATINGS OF SELECT POPULATION

It becomes a little more definitive as under consideration here is only the population of 259 names the selection board actually considered. While the subordinates are in much greater agreement with the board here than when the entire population was

considered (Appendix J), still over half of the selectees were selected based on three or fewer ratings. Note should be taken of those selectees who were rated by fifteen and nineteen raters and still were selected in the top ninety-five. No real significance can be placed on them, however, it might indicate a higher threshold of number of ratings for selection is needed. The threshold used in this study was one.

Appendix L depicts the comparison between the top ninety-five selected by the subordinates with the ranking of that ninety-five by the selection board. Only the 259 names considered by the selection board are considered here. There is a remarkable amount of agreement in this comparison. This is the same comparison in which the peer ratings looked so favorable. Using only eight or more responses as the threshold of interest, the chart at Appendix L reveals sixty-six percent agreement between the subordinate ratings and the selection board selections! Sixty-six percent is even slightly higher than the peers had on this particular comparison at Appendix G. Again at Appendix L we see the familiar great number of selectees based on three or fewer ratings.

THE BOTTOM NINETY-FIVE

Appendix M gives the basis for some disagreement between the subordinates rating and the selection board's selection. Four cases in point stand out; those four which received more than ten ratings each. The subordinates were relatively convinced these

belong in the bottom ninety-five while the selection board placed them in rank order nine, fifty-four, ninety-one and ninety-three from the top of their list. Something in this order of magnitude could be considered by a selection board. Perhaps it would cause the board to take a second look at the individuals' records and compare them more critically with others being considered, providing the others also had some meaningful indication from a subordinate rating.

PEER RATINGS VS SUBORDINATE RATINGS

The next comparison made in this study was between the selection of the top ninety-five officers as selected by the peers and the corresponding rating of these same ninety-five by the subordinates. That comparison is shown at Appendix N. Here is the same top ninety-five portrayed in Appendix E and it shows that the subordinates agreed with twelve of these selections. The twelve agreements are only based on one or two ratings however.

The final comparison in this study is at Appendix O. For the purpose of this comparison, the entire population was considered. Only those ratees who had at least eight ratings by both their peers and their subordinates were used. Of these thirty, thirteen had been considered by the board for selection at a senior service college and eight were actually selected in the top ninety-five. Of interest is the fact that neither the peers nor the subordinates selected any of the top ninety-five which the board selected!

Further, the only ratee on this list who was in the top ninety-five in either the peer or subordinate order of merit, was in the top ninety-five on both lists, was the most rated individual by the subordinates and the second most rated by the peers, and was not even considered by the board in its select list of 259! A great variance in order of merit between the peers and subordinates is evident. The difference in rank order varies from a low of only three to a high of 665 with the average difference in ranks being slightly over 278. The two orders of merit show very little similarity to each other.

The comparison at Appendix O is meaningful to the extent it is the only comparison between peer and subordinate ratings made from the greater number of responses and indicates very little agreement among the ratings of the peers, selection board and subordinates. The number of responses in this group is still very low to use as a basis for valid peer or subordinate ratings, but it has the greatest number of responses of any of the ratings in this study.

CHAPTER V

CONCLUSIONS AND RECOMMENDATIONS

Unfortunately, no positive conclusions pertaining to the value of peer or subordinate ratings can be drawn from this study. At the outset, it was hoped to derive positive insight into the value of these ratings in this real life situation. There are some observations which can be made as a result of the data which were collected, although they do not directly bear on the question of the value of peer ratings.

The first of these has to do with how well peers and subordinates are acquainted with each other. In both cases, peers and subordinates, this study revealed an insufficient number of raters knew an insufficient number of ratees to amass a meaningful number of responses for a rating system. The magnitude of the response proved to be considerably less than desired. That is, a good proportion of the infantry officers answered the questionnaire, but they indicated a very low level of acquaintance with the ratees. In fact, this low number of responses per ratee has cast the expected outcome of the study in a different light than expected. The results are more a measure of how well this group of peers knows the ratees than it is a good measure of how peer ratings could assist a selection board. One does not fully realize the hundreds of people in his own profession he does not know until he

is given a roster of them, such as in this survey, and asked to identify those few he does know.

Secondly, there generally appeared to be very little relationship between the rank order of merit constructed by the peers versus that of the subordinates. This could be caused by a great variety of factors from an honest difference of opinion, to professional jealousy, to a different perspective, to a difference in a basis of acquaintance, to a difference in maturity on the part of the rater, to mention a few.

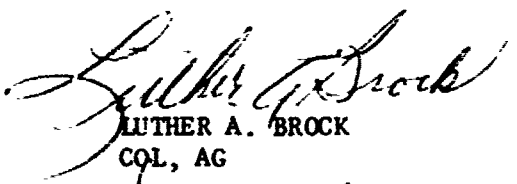
Finally, we conclude there appeared to be very little basis for comparing the peer rank order of merit and the selection board's selections and also comparing the subordinate rank order of merit and the selection board's selections. Of course this was one of the major reasons for conducting the study, but data in sufficient quantity just were not forthcoming.

Based on the experience of this study and the results from it, the following recommendations are made:

1. The data which have been collected should be further studied and manipulated for additional possible benefit. Particular attention should be given to extract results based on various thresholds of numbers and responses.

2. A similar study be undertaken next year using the corresponding selection board. The difference being that only the list the selection board uses should be subject to peer and subordinate ratings. Restricting the list of names to only the

ones the selection board uses is a prime consideration. It not only makes the ratee's task much easier but also eliminates a great deal of chaff for the person analyzing the results. A similar study should place thresholds on the recentness of acquaintance of the rater with the ratee. Such a system would serve to further refine the results and provide a truer indication of the value of the rating by the peers and subordinates. If an approach of this nature were followed, it would be very feasible and desirable to conduct the study using all branches of the Army represented on the list.



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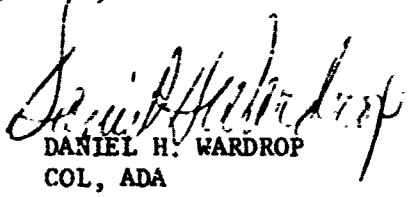

DANIEL H. WARDROP
COL, ADA

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REFERENCE OR OFFICE SYMBOL	SUBJECT
AWCIR	Survey

TO Each Infantry Student FROM COL D. H. Wardrop, Student Detachment, US Army War College DATE 29 Oct 70 CMT 1

1. The attached survey is part of a student research project.

2. Please complete the survey; enter your student box number in the space provided; and return through Message Center NLT Friday, 6 November.

3. Should you have any questions regarding the survey, feel free to contact me at USAWC extension 4607 or 4482.

4. Your cooperation in this project is greatly appreciated.

Daniel H. Wardrop

DANIEL H. WARDROP
Colonel, ADA

1 Incl
as

PLEASE ENTER YOUR
STUDENT BOX NO. _____
AND GRADE: O-____

MESSAGE CENTER: RETURN TO
COL D. H. WARDROP
Box 191, USAWC

SURVEY: SELECTION FOR SENIOR SERVICE COLLEGE

The objective of this survey is to get an indication of the possible use of peer ratings for assisting in the selection of Army officers for attendance at a senior service college. For the purpose of this survey you are considered a peer of every officer on the enclosed roster.

The enclosed roster contains all infantry officers in the zone of eligibility to be selected to attend one of the senior service colleges during the academic year 1971-1972. Request you perform the following three actions regarding this roster:

1. As step #1: Underline each name that you are reasonably sure you recognize. Then perform the next two actions jointly as step #2.

2. ASSOCIATION: There are innumerable ways one person can "know" another. The scale below does not include all possible variations, but rather its purpose is to provide an indication of how well you know the individual concerned. From the scale, please select the choice which best represents your association with the individual whose names you have underlined. Do not be overly concerned with how long the relationship has existed. (For each name underlined, enter appropriate number (1-5) in "Association" column.)

I know individual by:

1. Reputation and/or 1-2 personal contacts.
2. Minimum social and/or professional contact.
3. Occasional social and/or professional contact.
4. Frequent social and/or professional contact.
5. Close and frequent social and/or professional contact.

3. SUITABILITY: In this operation, please indicate your opinion of the individual's suitability for attendance at a senior service college. Do not consider how well you know the person--this will be accounted for in the association scale above. As a general criterion, consider that those who attend the senior service colleges will probably move upward

in the Army to positions of greater responsibility. (For each name underlined, enter appropriate number (1-5) in "Suitability" column.)

In my opinion, this individual should be:

1. Not selected.

2. Selected later if warranted by records.

3. Selected next year.

4. Selected as an alternate or standby this year.

5. Selected immediately.

Please use the following guidance in completing your roster:

1. There is no limit on the number of officers you select for any year, or reject.

2. There are no "tricks" or hidden meanings in this survey. Complete the roster in a judicious, straightforward manner.

3. If you are aware of any personal desires of the officer under consideration, do not take these into account. Make a selection or rejection based on the officer's professional qualifications and potential as you know them.

I have requested your box number on the first page of the survey for my use in case of questions after you return it to me. I shall treat your completed response as confidential and request you also treat it in a confidential manner. Please do not discuss your response with other students. As information from your response is transferred to data cards, your identification with the roster will cease, and the names of the individuals on the roster will be dropped and will be represented by a code number in all scoring, analyses, and presentations of results.

Thank you.

1 Encl
as

DANIEL H. WARDROP
Colonel, ADA

ASSOCIATION--I know him by:
1. Reputation.
2. Minimum contact.
3. Occasional contact.
4. Frequent contact.
5. Close and frequent contact.

SUITABILITY--He should be:
1. Not selected.
2. Selected later.
3. Selected next year.
4. Selected as alternate.
5. Selected immediately.

		Association	Suitability			Association	Suitability
0001	Aaron, Thomas F.	( )	( )	0007	Abramowitz, Benjamin	( )	( )
0009	Accomazzi, Kenneth	( )	( )	0015	Adams, Basil R., Jr.	( )	( )
0016	Adams, Dudward C.	( )	( )	0017	Adams, Earl R., Jr.	( )	( )
0019	Adams, Henry L.	( )	( )	0022	Adams, Paul G.	( )	( )
0024	Adams, Pritchard G.	( )	( )	0025	Adams, Robert M.	( )	( )
0046	Albright, John E., Jr.	( )	( )	0049	Albritton, John D.	( )	( )
0052	Aldridge, George W.	( )	( )	0057	Alexander, Joseph E.	( )	( )
0058	Alexander, Lyle K.	( )	( )	0063	Allebach, Victor L.	( )	( )
0064	Allee, Robert J.	( )	( )	0066	Allen, Charles B.	( )	( )
0068	Allen, Harry E.	( )	( )	0069	Allen, James B., Jr.	( )	( )
0070	Allen, James L.	( )	( )	0071	Allen, John W., Jr.	( )	( )
0080	Alloway, Curtis M.	( )	( )	0083	Altland, Robert	( )	( )
0084	Alton, Carlly L.	( )	( )	0086	Alverson, Willard G.	( )	( )
0087	Alves, Manuel A.	( )	( )	0099	Ambrose, Bernard J.	( )	( )
0091	Ambrose, Thomas J.	( )	( )	0106	Anderson, Gerald D.	( )	( )
0107	Anderson, Harold L.	( )	( )	0110	Anderson, James L.	( )	( )
0111	Anderson, James L.	( )	( )	0113	Anderson, Jerome M.	( )	( )
0120	Anderson, Thomas L.	( )	( )	0125	Andre, Peter C.	( )	( )
0135	Andrie, Norman E.	( )	( )	0150	Archer, James M.	( )	( )
0151	Archer, William I.	( )	( )	0154	Arcuri, Dominic T.	( )	( )
0156	Arduna, Arthur A.	( )	( )	0161	Armstrong, James Z.	( )	( )
0163	Arnecke, Charles D.	( )	( )	0165	Arnette, John Q.	( )	( )
0167	Arnhym, Rolfe C.	( )	( )	0175	Asenato, Samuel J.	( )	( )
0176	Asente, James	( )	( )	0179	Ashby, Raqul T.	( )	( )
0183	Atkins, Roy A.	( )	( )	0186	Atkinson, Larry R.	( )	( )
0189	Ault, William E.	( )	( )	0192	Austin, Billy J.	( )	( )
0193	Austin, Freddie C.	( )	( )	0196	Austin, Kenneth S.	( )	( )
0197	Austin, Maynard A.	( )	( )	0199	Austin, Thomas A.	( )	( )
0206	Ayotte, Ronald J.	( )	( )	0209	Backhurst, George P.	( )	( )
0210	Bacon, Robert C.	( )	( )	0211	Bacon, Willis C.	( )	( )
0216	Bagby, Herschel W.	( )	( )	0219	Bailey, David C.	( )	( )
0230	Baker, A. J.	( )	( )	0238	Baker, Russell A., Jr.	( )	( )
0243	Baldonare, Michael	( )	( )	0245	Baldwin, Daniel L.	( )	( )
0251	Ball, Ray E.	( )	( )	0257	Bamford, Charles F.	( )	( )
0281	Barber, Carlton G.	( )	( )	0264	Bardin, Michael J.	( )	( )
0265	Bardwell, James E.	( )	( )	0268	Barker, Arthur C., Jr.	( )	( )
0271	Barkley, George F.	( )	( )	0273	Barlow, Keith A.	( )	( )
0276	Barner, John V.	( )	( )	0280	Barnitt, George W.	( )	( )
0284	Barrena, Clarence G.	( )	( )	0285	Barrere, Richard P.	( )	( )
0292	Barringer, Fred A.	( )	( )	0297	Bartel, George B.	( )	( )
0299	Bartlett, Fred O., Jr.	( )	( )	0301	Barton, Robert E.	( )	( )
0303	Barton, Robert E.	( )	( )	0304	Bartron, Hubert K.	( )	( )
0306	Basil, Benjamin J.	( )	( )	0309	Bason, Darrel W.	( )	( )
0311	Bass, Robert L.	( )	( )	0318	Battiste, Alfonza B.	( )	( )
0322	Bauer, Eugene R.	( )	( )	0327	Baughman, Larry J.	( )	( )
0328	Baughman, Richard C.	( )	( )	0330	Bauman, William F.	( )	( )
0331	Baumann, Adolph E.	( )	( )	0333	Baxter, George M.	( )	( )
0334	Bayard, Louis F.	( )	( )	0342	Beames, Clare F. III	( )	( )
0345	Bean, Richard J.	( )	( )	0349	Bearden, Winston M.	( )	( )
0354	Beasley, Linton C.	( )	( )	0358	Beaumont, Charles B.	( )	( )
0360	Beckwith, Charlie A.	( )	( )	0369	Beckwith, George G.	( )	( )
0376	Beckman, Gerald R.	( )	( )	0377	Beelman, Dale C.	( )	( )
0378	Beers, Edwin D.	( )	( )	0384	Bell, Dale M.	( )	( )
0387	Bell, Joel M.	( )	( )	0392	Bell, Robert S.	( )	( )
0394	Bell, William R.	( )	( )	0396	Bellcchi, Joseph F.	( )	( )
0397	Belock, Frank	( )	( )	0404	Benedit, Edward B.	( )	( )
0420	Benson, William B.	( )	( )	0421	Benz, Milton	( )	( )
0422	Berens, Robert J.	( )	( )	0430	Bernard, Carl P.	( )	( )
0432	Bernier, Jacques W.	( )	( )	0435	Berry, Bobbie G.	( )	( )
0437	Berry, Fred C., Jr.	( )	( )	0441	Berry, William T.	( )	( )
0443	Bertrand, Milton A.	( )	( )	0446	Bethea, John D.	( )	( )
0448	Bettinger, Francis	( )	( )	0453	Bickerstaff, Hugh J.	( )	( )
0455	Bickston, Walter J.	( )	( )	0459	Biggs, Odie E.	( )	( )
0461	Biclione, Normand J.	( )	( )	0462	Bihler, John D., Jr.	( )	( )
0470	Bird, Max R.	( )	( )	0476	Bisnell, Keith, Jr.	( )	( )

APPENDIX B

DERIVATION OF NUMERICAL VALUES FOR RESPECTIVE ASSOCIATION AND SUITABILITY SCORES

Association Score	Suitability Score	Numerical Score
5	1	1
4	1	2
3	1	3
2	1	4
1	1	5
5	2	6
4	2	7
3	2	8
2	2	9
1	2	10
1	3	11
2	3	12
3	3	13
4	3	14
5	3	15
1	4	16
2	4	17
1	5	18
3	4	19
2	5	20
4	4	21
3	5	22
5	4	23
4	5	24
5	5	25

APPENDIX C

FREQUENCY OF RESPONSES FROM PEERS AND SUBORDINATES

Number of Ratees USAWC (Peers) Responded to: Column 1	Number of Responses: Column 2	Number of Ratees C&GSC (Subordinates) Responded to: Column 3
386	0	311
476	1	387
348	2	306
244	3	239
164	4	185
105	5	129
67	6	91
45	7	71
38	8	54
32	9	42
26	10	25
17	11	28
10	12	19
4	13	15
4	14	14
7	15	11
-	16	2
1	17	7
-	18	6
-	19	4
1	20	5
-	21	2
1	22	2
-	23	3
-	24	4
-	25	2
-	26	2
-	27	2
-	28	3
-	29	1
-	32	1
-	35	2
-	47	1
1976	TOTAL	1976
5233	Total Responses (Col 1 X Col 2) for AWC (Col 3 X Col 2) for C&GSC	7500
92	Average No. of Responses per Ratee:	32

APPENDIX D

FREQUENCY OF RESPONSE BY PEERS OF OFFICERS SELECTED BY THE BOARD

Column one indicates the number of responses by peers on the top ninety-five of column two.

The ninety-five in column two are the top ninety-five selected by the board. The number of ratees indicated in column two are grouped according to the number of responses they received, as indicated in column one.

The number of ratees indicated in column three are grouped according to the number of responses they received, as indicated in column one. These ratees were also (along with the respective ones in column two) in the top ninety-five as determined by the peers.

Column 1	Column 2	Column 3
0	5	-
1	11	3
2	15	5
3	12	-
4	6	1
5	6	2
6	7	1
7	6	-
8	9	1
9	5	-
10	4	-
11	4	-
12	2	1
13	1	-
14	1	-
20	1	-
	TOTAL 95	14

Percent agreement is 14

APPENDIX E

FREQUENCY OF RESPONSE BY PEERS OF TOP NINETY-FIVE SELECTED BY PEERS

Column one indicates the number of responses by peers on the top ninety-five of column two.

The ninety-five in column two are the top ninety-five selected by the peers. The number of ratees indicated in column two are grouped according to the number of responses they received, as indicated in column one.

The number of ratees indicated in column three are grouped according to the number of responses they received, as indicated in column one. These ratees were also (along with the respective ones in column two) in the top ninety-five as determined by the selection board.

Column 1	Column 2	Column 3
1	64	3
2	18	5
3	5	-
4	2	1
5	2	2
6	1	1
7	1	-
8	1	1
12	1	1
	TOTAL 95	14

Percent agreement is 14

APPENDIX F

FREQUENCY OF RESPONSE BY PEERS OF OFFICERS SELECTED BY THE BOARD BASED ONLY ON 259 NAMES SUPPLIED TO THE BOARD

Column one indicates the number of responses by peers on the top ninety-five of column two.

The ninety-five in column two are the top ninety-five selected by the board. The number of ratees indicated in column two are grouped according to the number of responses they received, as indicated in column one.

The number of ratees indicated in column three are grouped according to the number of responses they received, as indicated in column one. These ratees were also (along with the respective ones in column two) in the top ninety-five as determined by the peers.

Column 1	Column 2	Column 3
0	5	-
1	11	6
2	15	8
3	12	4
4	6	4
5	6	4
6	7	4
7	6	2
8	9	6
9	5	2
10	4	2
11	4	1
12	2	2
13	1	1
14	1	-
20	1	-
	TOTAL 95	45

Percent agreement is 48

APPENDIX G

FREQUENCY OF RESPONSE BY PEERS OF TOP NINETY-FIVE SELECTED BY PEERS BASED ON 259 NAMES SUPPLIED TO THE BOARD

Column one indicates the number of responses by peers on the top ninety-five of column two.

The ninety-five in column two are the top ninety-five selected by the peers. The number of ratees indicated in column two are grouped according to the number of responses they received, as indicated in column one.

The number of ratees indicated in column three are grouped according to the number of responses they received, as indicated in column one. These ratees were also (along with the respective ones in column two) in the top ninety-five as determined by the selection board.

Column 1	Column 2	Column 3
1	18	6
2	12	8
3	13	4
4	9	4
5	7	4
6	6	4
7	7	2
8	7	6
9	4	2
10	4	2
11	2	1
12	2	2
13	2	1
15	1	-
17	1	-
TOTAL	95	46

Percent agreement is 48

APPENDIX H

FREQUENCY OF RESPONSE BY PEERS OF BOTTOM NINETY-FIVE SELECTED BY PEERS BASED ON 259 NAMES SUPPLIED TO THE BOARD

Column one indicates the number of responses by peers on the bottom ninety-five of column two.

The ninety-five in column two are the bottom ninety-five selected by the peers. The number of ratees indicated in column two are grouped according to the number of responses they received, as indicated in column one.

The number of ratees indicated in column three are grouped according to the number of responses they received. As indicated in column one. These ratees, in the number indicated, were in the top ninety-five as determined by the selection board.

Column 1	Column 2	Column 3
0	21	5
1	21	5
2	10	3
3	13	2
4	11	-
5	7	1
6	2	
7	3	1
8	4	1
10	2	1
20	1	1
	TOTAL 95	20

Percent disagreement is 21

APPENDIX I

FREQUENCY OF RESPONSE BY SUBORDINATES OF OFFICERS SELECTED BY THE BOARD

Column one indicates the number of responses by subordinates on the top ninety-five of column two.

The ninety-five in column two are the top ninety-five selected by the board. The number of ratees indicated in column two are grouped according to the number of responses they received, as indicated in column one.

The number of ratees indicated in column three are grouped according to the number of responses they received, as indicated in column one. These ratees were also (along with the respective ones in column two) in the top ninety-five as determined by the subordinates.

Column 1	Column 2	Column 3
0	12	-
1	19	4
2	9	-
3	12	-
4	10	-
5	6	-
6	1	-
7	1	-
8	6	-
9	4	-
10	3	-
11	2	-
12	2	-
13	1	-
15	1	-
17	1	-
18	1	-
19	1	-
23	1	-
24	1	-
25	1	-
TOTAL	95	4

APPENDIX J

FREQUENCY OF RESPONSE BY SUBORDINATES OF TOP NINETY-FIVE SELECTED BY SUBORDINATES

Column one indicates the number of responses by subordinates on the top ninety-five of column two.

The ninety-five in column two are the top ninety-five selected by the subordinates. The number of ratees indicated in column two are grouped according to the number of responses they received, as indicated in column one.

The number of ratees indicated in column three are grouped according to the number of responses they received, as indicated in column one. These ratees were also (along with the respective ones in column two) in the top ninety-five as determined by the selection board.

Column 1	Column 2	Column 3
1	74	4
2	17	-
3	4	-
	TOTAL 95	4

APPENDIX K

FREQUENCY OF RESPONSE BY SUBORDINATES OF OFFICERS SELECTED BY THE BOARD BASED ON 259 NAMES SUPPLIED TO THE BOARD

Column one indicates the number of responses by subordinates on the top ninety-five of column two.

The ninety-five in column two are the top ninety-five selected by the board. The number of ratees indicated in column two are grouped according to the number of responses they received, as indicated in column one.

The number of ratees indicated in column three are grouped according to the number of responses they received, as indicated in column one. These ratees were also (along with the respective ones in column two) in the top ninety-five as determined by the subordinates.

Column 1	Column 2	Column 3
0	12	-
1	19	12
2	9	5
3	12	6
4	10	6
5	6	2
6	1	1
7	1	-
8	6	4
9	4	1
10	3	1
11	2	-
12	2	-
13	1	-
15	1	1
17	1	-
18	1	-
19	1	1
23	1	-
24	1	-
25	1	-
TOTAL	95	40

Percent agreement is 42

APPENDIX L

FREQUENCY OF RESPONSE BY SUBORDINATES OF TOP NINETY-FIVE SELECTED BY SUBORDINATES BASED ON 259 NAMES SUPPLIED TO THE BOARD

Column one indicates the number of responses by subordinates on the top ninety-five of column two.

The ninety-five in column two are the top ninety-five selected by the subordinates. The number of ratees indicated in column two are grouped according to the number of responses they received, as indicated in column one.

The number of ratees indicated in column three are grouped according to the number of responses they received, as indicated in column one. These ratees were also (along with the respective ones in column two) in the top ninety-five as determined by the selection board.

Column 1	Column 2	Column 3
1	26	12
2	17	5
3	16	8
4	8	7
5	7	2
6	3	1
7	3	-
8	5	4
9	2	1
10	3	2
11	1	-
12	1	1
14	3	-
15	1	1
19	1	1
	TOTAL 95	45

Percent agreement is 47

APPENDIX M

FREQUENCY OF RESPONSE BY SUBORDINATES OF BOTTOM NINETY-FIVE SELECTED BY SUBORDINATES BASED ON 259 NAMES SUPPLIED TO THE BOARD

Column one indicates the number of responses by subordinates on the bottom ninety-five of column two.

The ninety-five in column two are the bottom ninety-five selected by the subordinates. The number of ratees indicated in column two are grouped according to the number of responses they received, as indicated in column one.

The number of ratees indicated in column three are grouped according to the number of responses they received, as indicated in column one. These ratees, in the number indicated, were in the top ninety-five as determined by the selection board.

Column 1	Column 2	Column 3
0	37	12
1	15	5
2	6	1
3	7	2
4	6	-
5	5	3
6	5	-
7	3	-
8	3	1
9	2	1
10	1	-
11	1	1
12	1	1
13	1	1
18	1	1
19	1	-
TOTAL	95	29

Percent disagreement is 30

APPENDIX N

COMPARISON OF PEER RATED TOP NINETY-FIVE WITH SUBORDINATE RATINGS FOR THE SAME GROUP

Column one indicates the number of officers the peers rated in the top ninety-five; column two indicates the number of responses which they received; column three indicates the number of responses for the same group from the subordinate ratings; column four indicates the number of officers of this group the subordinates also placed in the top ninety-five.

Column 1		Column 2	Column 3	Column 4
-		0	25	-
64		1	22	11
19		2	9	1
5		3	12	-
1		4	8	-
2		5	7	-
1		6	5	-
1		7	3	-
1		8	-	-
-		9	1	-
1		12	-	-
-		13	1	-
-		15	1	-
-		22	1	-
95	TOTAL		95	12

APPENDIX O

COMPARISON OF PEER AND SUBORDINATE
RANK ORDER OF MERIT ON A SELECTED BASIS

Column one is the peer rank order of merit based on the number of ratings in parenthesis; column two is the subordinate rank order of merit based on the number of ratings in parenthesis; column three indicates if the ratee was in the 259 names submitted to the board.

Column 1	Column 2	Column 3
919 (15)	495 (9)	No
792 (13)	217 (8)	No
548 (10)	822 (24)	Yes*
983 (10)	696 (8)	No
300 (8)	714 (11)	No
16 (22)	19 (47)	No
404 (11)	546 (14)	No
667 (20)	156 (8)	Yes*
313 (9)	455 (35)	No
831 (12)	166 (12)	No
471 (14)	451 (19)	Yes*
647 (10)	697 (8)	No
233 (10)	708 (16)	Yes
357 (11)	592 (11)	Yes*
302 (12)	710 (14)	Yes
451 (8)	373 (12)	No
145 (11)	354 (9)	Yes*
395 (10)	604 (13)	No
160 (11)	411 (11)	Yes
287 (9)	719 (18)	No
316 (24)	223 (10)	Yes
602 (9)	231 (11)	Yes*
260 (12)	603 (28)	No
199 (17)	168 (19)	Yes
389 (8)	844 (23)	No
263 (10)	466 (23)	No
388 (13)	888 (28)	No
520 (9)	390 (17)	No
106 (8)	594 (25)	Yes*
116 (8)	181 (12)	Yes*

*Selected by the board in the top ninety-five.