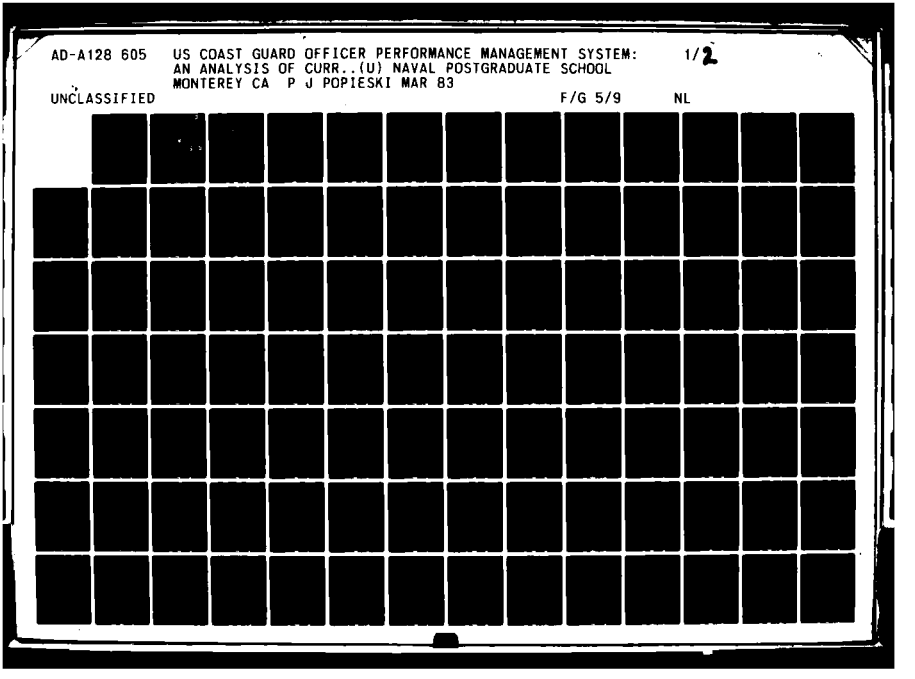
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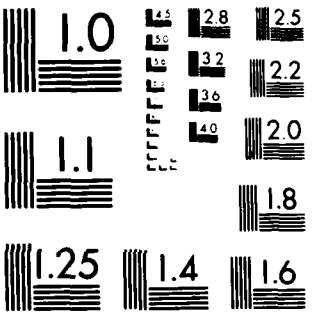

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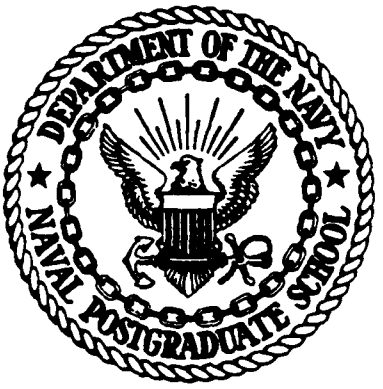

THESIS

U.S. COAST GUARD OFFICER PERFORMANCE MANAGEMENT SYSTEM: AN ANALYSIS OF CURRENT COMMITMENT LEVELS AND POTENTIAL EFFECTIVENESS INDICATORS

by

Patrick J. Popieski

March 1983

Thesis Advisor: R.A. Weitzman

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20. ABSTRACT (Continue on reverse side if necessary and identify by block number)
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use of behaviorally anchored rating scales (BARS) in the process of performance evaluation.

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The survey responses depict only limited acceptance of the OPMS. Hurdles which this system must successfully bridge may be basically perceptual in nature. However, perceptions often drive realities in organizations such as the Coast Guard and thus, must not be ignored. Factors that may be of concern for the Coast Guard include perceptions of (1) non-uniform applications, (2) minimum return on effort, (3) interference with pre-existing priorities, (4)conflict with the organizational context of the service, (5) system inequity, and (6) lack of support for OPMS by the organizational reward structure, among others.

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U. S. Coast Guard Officer Performance Management System: An Analysis of Current Commitment Levels and Potential Effectiveness Indicators

by

Patrick J. Popieski
Lieutenant Commander, United States Coast Guard
B.S., United States Coast Guard Academy, 1972

Submitted in partial fulfillment of the
requirements for the degree of

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ABSTRACT

The United States Coast Guard has implemented a performance appraisal system intended to enable personnel boards within the service to fairly select Coast Guard officers (for promotion, assignment, and schooling), while also providing for the professional development and counseling of the officers. This system, the Officer Performance Management System (OPMS), is based largely on the principles of management by objectives (MBO) and incorporates the use of behaviorally anchored rating scales (BARS) in the process of performance evaluation.

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I. INTRODUCTION

A. PURPOSE

The purpose of this thesis was to perform an assessment of the current attitudes and perceptions of U.S. Coast Guard officers concerning the recently implemented Officer Performance Management System (OPMS). This assesment was accomplished by using the results of a survey instrument designed and administered by the author to a sample of five-hundred (500) Coast Guard officers. The resultant analyses depicted areas of common perception as well as areas of diversified opinion.

One hope guiding this thesis effort was that the findings would support the optimism expressed by the Coast Guard Headquartes Staff, (G-OPES), that the OPMS is well accepted by the officer corps. If this were indeed the case, then this thesis would lend credence to the optimistic attitudes of the Headquarters Staff.

If the survey results turned out to be unsupportive, however, then it would appear that the Officer Performance Management System (OPMS) might be encountering resistance by the officer corps. Hopefully, the survey results would identify areas of significant resistance if they exist. Likewise, areas of significant support for the OPMS could be identified.

The basic hypothesis of this thesis, then, is that the attitudes of the Coast Guard officer corps in general are consistent with the opinions expressed by staff elements of Coast Guard Headquarters, (G-P-3), relative to the acceptance and efficacy of OPMS as a viable instrument for evaluation, appraisal and development of the Coast Guard officer corps.

1. Authorization and Development

This study was done with the concurrence and direction of the Coast Guard Headquarters Evaluation Group and staff (G-P-3). In compliance with minimum guidelines established by this group, as related through CWO S.B. Wehrenberg, U.S.C.G., the author developed a survey instrument. This instrument was administered by the author. Data analysis was conducted at the Naval Postgraduate School, Monterey, California, computer facilities using the Statistical Package for the Social Sciences (SPSS) as adapted for the IBM 3033 computer. When completed, duplicate data summaries were prepared and forwarded to Coast Guard Headquarters, (G-P-3), Washington, D.C..

2. The Study Concept

From the onset of the officer performance evaluation, essentially from the beginning of World War I, the Coast Guard has used the term "Officer Fitness Reporting" to describe the reporting processes. With the implementation of the Officer Performance Management System, the term was changed to " Officer Performance Reporting ". The function of evaluation is described in terms of process rather than function. These subtle changes in terms address more exactly the functions of the reports and the rating officials. Officers who now evaluate others are reminded by the titles that they are reporting on their performance of military duties, and in so doing, on their implied ability to perform future duties. Reporting officers are answering the basic questions of "How did the officer do the duties assigned?", and "How can the officer do the duties assigned?".

In order to answer these questions, the OPMS uses three forms which are applied using the techniques, concepts, and principles of management by objectives (MBO). The OPMS is ambitious in scope and length; it is the developmental brain-child of Headquarters (G-OPES) staff. This office was resporsible for the design and implementation of the OPMS . Further, this office and the same individuals are responsible for the monitoring, analysis, revision, and final evaluation of the success or failure of the OPMS within the service. It is expected that these individuals would have some degree of ownership in the ultimate success of the system.

Thus, the results of this study may be read with the keenest interest in the office of G-P-3. Data and analyses which support their analysis will lend credibility to those analyses. Conversely, data and analysis which do not support their findings may give rise to additional research and analyses.

3. Organization

This thesis presupposes no direct knowledge of the present Coast Guard Officer Performance Management System nor the Officer Fitness Reporting System which it replaced. Likewise, it assumes that the reader will have little or no direct knowldege of the history, evolution, nor research and development which preceded the implementation of the OPMS. Therefore, a historical review will follow this section . The remaining chapters of the thesis will address design and implementation of appraisal systems in general,and the methodology, results and analysis of the survey instrument designed to assess current acceptance levels for the OPMS by the Coast Guard officer corps.

B. BACKGROUND AND LITERATURE REVIEW

The Coast Guard has long used a method of narrative and numerical evaluations for the purposes of officer personnel management. These reports on the fitness of an officer were prepared semi-annually. They formed the core of an officer's personal file. This file was then used to determine the suitability of each officer for promotion, assignment, and schooling. Linking this reporting system to promotion and assignment greatly magnified the impact of the evaluation process on the individual officer.

Before proceeding further, it is necessary to view the development of personnel appraisal in the Coast Guard in a historical context.

1. First Reports in Military

The year 1890 is generally considered as the initial establishment of a formal reporting system in the military, this stemming from efforts in the U.S. Army to develop a system for reporting the relative worth of Army officers within the service. This resulted from social pressures of the day. The influence of the "scientific management community" and Taylorism was growing as a social force. Additionally, it was at this time that the historical billeting and posting practices of the Army gave way to the needs of global expansionism of U.S. influence. Officers who had once been posted at the same regiment as many relatives were formed into new regiments as the Army grew and the structure changed [Ref. 1].

The first efforts at evaluating U.S. military officers predates this system, however, to the Continental Army in revolutionary times. The most widely known examples of early reports are those emanating from Brig. General Lewis Cass in 1813, as related by Dilworth [Ref. 2].

2. First Records of PA in Coast Guard

There are few records of the former services which combined to form the present day entity of the service which suggest that any performance appraisal was conducted in the earliest years of its existence. During the revolutionary period through 1900, promotion in the officer ranks was accomplished primarily as a function of seniority and other less specific dictums of the period. However, with the advent of the principles of "scientific management" and the rise in influence of Taylorism, all U.S. Military organizations experienced an increased exposure to performance appraisal systems.

The U.S. Lifesaving Service was combined with the U.S. Revenue Marine (formerly the Revenue Cutter Service) in 1915 by an act of the U.S. Congress which created the U.S. Coast Guard. For the first time in the service's history, a formal system of records was created to effect promotion within the newly created organization.

During both World Wars, the Coast Guard operated as an adjunct to the U.S. Navy. As such, Navy fitness reporting procedures, policies , and forms were adopted by the service. This was done essentially as an administrative convenience to the Navy. Thus, much of the organizational legend regarding fitness reporting, appraisal, and promotion policy are direct descendants of the Navy policy for that period. Officers were promoted solely on a fully qualified basis, did not compete within their pay grade for promotion, and were promoted only when (a) service needs allowed, and (b) they were fully qualified for the next higher grade as depicted by their file of fitness reports [Ref. 3].

Even though the Coast Guard was recognized as a separate military and armed uniform service in 1949, a long delay since we fought alongside and as part of the U.S. Navy

in all wars since the American Revolution , the service maintained many past Navy promotion policies through the 1950's. However, with the passage of the Kerrins-Stephens legislation in 1964, the United States Coast Guard finally adopted service specific officer promotion and appraisal system.

3. Best Qualified Promotion

The officer promotion system was changed to reflect the impacts of the Kerrins-Stephens legislation in 1964. A new form of fitness report was designed by Mr. Joseph Collins and implemented by the service. Promotions were then made on the basis of a best qualified as described by the new report forms. Promotion became competitive within the ranks as promotion zones defined the number of officers eligible for consideration, yet permitted less than all of the zone to be promoted. Additionally, the legislation required a pyramidal billet structure for the service, implemented the policy of " up or out" which today characterizes military careers.

The Coast Guard Officer Fitness Reporting System remained stolid, with few revisions and without major change until 1 January 1982. At this point it was summarily replaced with the Officer Performance Management System (OPMS). The factors which caused the change are subject to debate. The Coast Guard Officer Fitness Reporting System may have been outmoded, inflated, unwieldy, not psychometrically sound, or not liked from its inception to its demise. These factors may have led to efforts to upgrade the system over time.The publishing and subsequent adoption of the GUIDELINES of the 1978 Equal Employment Opportunity Commission by the federal bureaucracy may well have hastened this process.

4. Dynamics for Change

These changes in the rules for performance appraisal were among many that led then Commandant of the Coast Guard, Admiral John B. Hayes, to direct the establishment of a staff element to study the system and provide recommend change for the future. This led to the contracting of the General Research Corporation, McClean, Va., as an external research agency to assist in the development of a replacement for the then current Officer Fitness Reporting System. The GRC effort began in March of 1980.

Coast Guard Commander Nicholas H. Allen and Mr. Bradford P. Sharp headed this research effort for the Coast Guard; Mr. Daniel J. Tobin, Dennis G Faust, Ph. D., and Robin Lovely were key researchers for GRC [Ref. 4: ch.1].

C. GENERAL RESEARCH CORPORATION

The General Research Corporation, Final Report to the Coast Guard, March 1981, was issued three months subsequent to the decision to implement the OPMS. The report provided specific conclusions relevant to the development of a prototype officer performance appraisal system and the organizational context and environment to be encountered by that system. The conclusions are pertinent to the state of the art at that time, the effectiveness of implementation, and the long term effectiveness of any performance appraisal system adopted by the service for the officer corps.

1. General Research Corporation Final Report

The report of the GRC to the Coast Guard identified clearly that there were dysfunctions in the fitness reporting process. Additionally, General Research Corporation recomended specific changes to the process of officer personnel management in the Coast Guard . General Research Corporation

cast the tenor of its analysis within the framework of the organizational context of the Coast Guard. This final report to the service cites several perceptions which will impact on general systems effectiveness of any perfromance appraisal efforts directed at the Coast Guard officer corps in general [Ref. 4:ch.4-6,].

2. GRC System Conclusions

The study groups conclusions are listed below:

1. The current system has been adequate in the past and possesses varying degrees of loyalty and acceptance from the leadership, officer corps, and system users.

2. The current fitness reporting system does not take advantage of state-of the-art advances, nor does it meet the suggested design features of the Uniform Guidelines (EEOC GUIDELINES 1978).

3. The current system, while at present adequate to the promotion and assignment function, lacks discipline and is on a rapid-obselence course.

4. Because the current system is essentially an event oriented rather than a process-oriented system, it is inadequate in terms of improving performance through effective counseling and is vague in its relationship to actual performance requirements and standards.

5. The current system is narrow in its orientation in that it assigns a single powerful role to the reporting officers to the detriment of the roles that other members of the evaluation chain should be playing.

6. There is little or no training in regard to evaluation training and responsibilities in the current system

7. The Coast Guard officer corps is becoming progressively more qualified.

8. The fitness reporting system for the 1980's will be under greater scrutiny both internally and externally. Therefore, it is increasingly likely that the system will be required to show that it adequately performs its intended functions and conforms to the Uniform Guidelines.

9. The fitness reporting system for the 1980's must be an open, " above board " system prepared to meet the challenges ard achieve the support and confidence of the officer corps.

10. The fitness reporting system for the 1980's needs to better accomodate the performance improvement function and better assist the organization in the management of its work effort.

11. The fitness reporting system for the 1980's should be expanded from an event-oriented system to a more dynamic perfcrmance cycle orientation.

12. The above may require more performance appraisal training for all Coast Guard officers.

3. GRC System Recommendations

Following the field testing of a prototype form and associated process intended to replace the then current Officer Fitness Reprcting System, GRC issued the following recommendations to the Headquarters Staff and Study Grcup [Ref. 4:ch.4].

In general it is recommended that :

The revisions to the existing system follow the forms and procedures ued in the prototype evaluation.

Recognizing the limitations of the field research activity, that all policies, procedures, and forms be reverified in a major operational field test prior to implementation.

A comprehensive set of separate instructions be developed to support officer fitness reporting. These instructions be contained in a separate manual rather than in chapter form in the Personnel Manual. These instructions should contain a performancestandards section if significant data are available from the Coast Guard job task analysis project.

A strong training program in performance apparaisal be developed and institutionalized within the Coast Guard. Determination of the type, quantity, and desired level of training to carry out fitness reporting requirements should be an objective of the operational field test.

A comprehensive information program be developed for the officer corps explaining the need for and purposes of the fitness reporting system revisions.

A comprehensive system for monitoring the plan be developed. It is not expected that any performance appraisal system will remain effective if not continually monitored.

D. COAST GUARD TRANSITION TO OPMS

1. OPMS, MBO, and Army OER

The development of the Coast Guard OPMS is not a direct result of the General Research Corporation findings. Forms, procedures, and policies were revised to reflect some of the recommendations of these external consultants. Additionally, the internal study group established a performance apppraisal system which also included internal design parameters not necessarily known to General Research Corporation. The result is a system that incorporates not only features of the GRC prototype, but also contains many parallel forms, policies, and procedures of the U.S. Army's Officer Evaluation Reporting System which was finalized in 1979 [Ref. 5]. The close resemblence of the Coast Guard forms and processes to the U.S. Army system may stem from GRC's close association with the development of the Army program. It remains to be seen whether the two systems will bear close resemblence in the future.

To describe the two systems as parallel is appropriate. The major differences, perhaps the only differences, in the systems are the inclusion of behaviorally anchored rating scales (BARS) by the Coast Guard and the semi-annual versus annual Coast Guard reporting requirements. Although this is a rather global comparison of the two systems, it is adequate for the purpose of this study. Both systems are essentially MBO, process-oriented officer performance management systems. Both systems use an appraisal support form and a performance reprot form. The intermediate

purposes and end uses of each system are the same. This comparison has been drawn to enable future researchers to utilize the similarities to combine data bases as may be appropriate.

2. Overview of OPMS

Essentially, OPMS is composed of a cyclic appraisal and evaluation process which is guided by the mandatory compilation of data and journal type log keeping. As a system which includes goal and objective setting as a process for developmnet of individual potential and the integration of personal and organizational goals, the Coast Guard Officer Performance Management System is a classical application of Drucker's management by objectives [Ref. 6].

3. Purpose of OPMS

The purpcses of the OPMS are threefold as described by U.S. Coast Guard Instructions [Ref. 7]. Appropriate sections of text are set forth below.

> Purpose. The Coast Guard Officer Performance Management System (OPMS) serves three main purposes in that it:
>
> 1. Provides relevant, credible information necessary for making important management decisions primarily in the areas of promotion, and to a certain extent, assignment.
>
> 2. Fosters the development and improved performance of individual officers, and thu, the quality of the officer corps, through its requriements for effective performance counseling.
>
> 3. Enhances organizational effectiveness by a means of structure for more clearly assigning responsibilities and defining relationships between people and tasks within the chain of command .

4. OPMS Principles

The Officer Performance Management System is operated under the following principles of design and execution:

1. OPMS is an integral part of managing the organization...
2. OPMS is continuous...
3. OPMS measures correct and relevant dimensions of performance...
4. OPMS limits subjectivity...
5. OPMS is constructive...
6. OPMS fosters consistency...

These principles, simply stated, form the basis of extensive organizational policy concerning the uses, applications and execution of the data generated for the OPMS. A more detailed review of these principles is available in the Coast Guard Instructions which implemented and govern OPMS [Ref. 7].

5. Roles, Functions, Forms, and Process

Additionally, the implementing instructions established roles and functions of officer within the governance of the OPMS. These include defined roles of

Commanding Officer
Reported on Officer
Supervisor
Reporting Officer
Reviewer
District Personnel
Commandant (G-PO)

Each of the roles identified has specifically enumerated tasks and responsibilities. The authority defined by the instructions are essentially top down. It is of interest, however, that the responsibilities for reporting are , at least initially, from the bottom up. It is the duty of the Reported on Officer (ROO) to initiate reports, seek assistance, and develop his performance. [Ref. 7].

There are three forms integral to the OPMS. Generally, these forms are used to document performance, report performance and assess future potential of the reported on officer (ROO). These forms are defined as follows:

Officer Performance Support Form (OSF). The form used to assist the delineation of duty tasks, and the enhancement of organizational communications, performance counseling, and performance reporting.

Officer Performance Report (OPR). The report used by OPMS to report on the performance and potential of an officer.

Officer Performance Report Continuation Form. The form used to present additional comments and evaluations that do not fit in the space allotted on the OPR .

The articulation of roles, forms, and time frames are provided in the form of a flow chart in the Commandant's Instructions. At the risk of oversimplification, it is enough to state that the OSF is the central document of the MBO process. Supervisors and reported on officers develop this document at the onset of any reporting period (semi-annually) and center a dialogue on its contents. This form is periodically reviewed and revised during the reporting period. At the completion of the period, this form is used in support of developing the OPR. The OPR is forwarded via the chain of command to Coast Guard Headquarters where it forms the core of the officer's personnel file. This form

may be used in the basic functions of promotion, assignment, and selection for training or special assignments. It is a powerful document. [Ref. 7].

It is an intent of the OPMS, however, that process of developing these forms be stressed more than the impact of the forms themselves. The goal-setting, feedback, and counseling features--essentially the people process MBO functions of the Officer Performance Management System-- are what distinguish it from the Officer Fitness Reporting System it replaced.

E. SUMMARY

This concludes the introductory section of this study. The reader should now be prepared to delve into broad industry issues of design and implementation in the following chapter. From this point, the author will develop an awareness of design criteria, an evaluation process, and the results of a survey developed and administered in an attempt to fulfill the evaluation requirements in part.

II. PERFORMANCE APPRAISAL DESIGN AND IMPLEMENTATION

A. INTRODUCTION

> " Many times...I have come to realize that a fervent speech, or a painstakingly well written document, may be worth no more than the good will and patient cooperation of those who say they subscribe to it. The multiplication of documents, resolutions, exhortations, and declamatory statements seems to be the major growth business of the age. I fear we too often lay more stress words than on the stark necessity of deeds to back them up..."
>
> D. D. Eisenhower

These words from D.D. Eisenhower succinctly point out the major hurdle encountered by those who would make policy today [Ref. 8]. It may be all too simple to voice support of a policy and concurrently vow silently to let it wither on the vine rather than oppose that policy in public. Likewise, even those who truly support policy are often hard tasked to transform their intents into consistent action in support of that policy. Thus, it is vital at the outset of an endeavor,such as changing major personnel policy, to ensure that the policy is well supported, well understood, and readily supportable by the organization for which designed.

B. STEPPING STONES IN PA DESIGN

1. Examine the Givens

It is likely that that few organizations are in the position of designing a formal appraisal system for the first time. More likely, organizations are apt to revise an existing system to meet changing times, new personnel and

changed work specifications. How prevalent these revisions can be was revealed in a study of major corporations. Teel's results indicate that the overwhelming majority of systems are modified every three to five years. Additionally, his study indicates that minor revision and evolutionary change is more prevalent than major, revolutionary change in this area [Ref. 21].

Thus, before an organization launches a major effort to redesign an operating PA system, it is important to examine what is already in place, ie:- to examine the givens. Some leading questions put forth by DeVries (et al) are:

1. What problems or issues have created the need for redesign?
2. What existing organizational committment is there for redesign?
3. What can realistically be done during a specified time period?
4. What resources exist to carry out the work?
5. How important is it to design or revise the formal PA system?

It is highly likely that the process of PA design and revision is never ending, a Sysisphean task. Even those systems that are working well today will undoubtly require change in the future, near or distant, as the factors which determine the jobs evaluated will undoubtedly change. Thus it is necessary to ask and re-ask the foregoing, even at a time when the design or revision has just been implemented.

2. Choosing the Development Group

Currently, industry trends indicate that many PA systems are designed by the company's corporate-level personnel department. A 1977 study by Lazer and Wikstrom indicates approximately 73-75% of new PA systems grow from

corporate staffs, about 7-15% grow from division-level staffs, and internal or external consultants account for the remainder.

There are three general groups who could participate in the design stage namely, (1) outside counsultants, (2) inside consultants or change agents, and (3) line managers and employees. There are advantages and disadvantages in directing that any one of these groups conduct the design of a system without external influence.

Outside consultants who are specialists in PA will likely have the technical expertise to provide a psychometrically sound PA system. However, their lack of inside knowledge will limit their awareness of the nuances of organizational context, and thus, will limit their ability to intergrate the PA system with preexisting organization systems. Additionally, the cost of their services necessarily dictates that the association of an organization with external agents is of the short term. This factor may induce many shortfalls of insight not readily obvious to the cursory observer.

On the other hand, internal human resource specialists may have great insight to the structure, legend and operating context of their organiation . Yet their product may be limited by a paucity of indepth, state-of-the- art knowledge of current PA technology. Additionally, internal change agents may often find themselves without the support structure necessary to effect legitimate change. They may in fact lack credibility within their own organization simply because they are part of that organization and not outsiders! Finally, the authority of internal consultants is sometimes limited by internal organizational politics.

In contrast to either of the foregoing groups is the final group, line managers and employees. Whereas this group may be lacking technical expertise with the myriad

innerworkings of a PA system, they do have the most expert knowledge of the day to day uses of work at hand and the evaluation system in place. They are in a unique position to provide the most realistic and accurate input concerning the nature of the work, performance criteria, and useable appraisal methods.

3. A Combination of Talents

The rational approach in resolving the issue of who can provide the best information in design a a new system is to include elements of each of the forementioned groups at the outset of the design process. Each group is able to to make unique contributions to the process. Finally, it is critical that this design group be representative of the major segments of the organization and have the credibility and authority necessay to win the acceptance of their design by top management as well as lower echelon members of the organization [Ref. 10].

4. Evaluate the Organizational Context

The organizational context into which PA systems must be integrated to be effective have recently been addressed. Kane and Lawler [Ref. 11], and Wexley [Ref. 12], describe factors which must be synthesized when implementing new systems into an environment. That a PA system must interface with many systems already in place as well as future changes to these systems is a foregone conclusion. Many factors resultant from these areas of interplay must be acknowledged, accounted for and dealt with. Failure to recognize and address these factors from the design stage can severely limit the success of any PA program.

5. Consistency with Management Philosophy and Practice

Performance appraisal programs do not exist in a void. Rather, they tend to be central to many related managerial functions. Generally, they are existant in the middle of highly structured, hierarchical organizational processes. In such hierarchical organizations, it is likely that responsibility for strategic decisions belongs to the senior management. Likewise, performance appraisal functions generally belong to the senior member of a manager-employee pair [Ref. 10]. This is certainly so in military organizations. In the Coast Guard context, many regualtions have been produced to assure that the appraiser is senior to the appraisee in the past. Thus any new appraisal system must take this organizational proclivity into account from the design stage . Failure to do so might be to invite added resistance to an unneeded change.

When organizations with a strong hierarchical structure, typified by the military, enter into PA programs involving mutual goal setting, sharing, and two-way communication, dysfunctional behavior can be a result. The factor responsible for the dysfunction is the inconsistency between the PA roles (of openness, sharing, and mutual ownership of strategic goals) and the general operating procedures of following orders.

The degree of democracy, delegation,and openness implicitly required in effective particpative PA approaches may render a performance appraisal system meaningless in a traditionally strong, top-down organization such as military unit [Ref. 10:p. 99].

Thus, it is critical at the outset of PA design to ensure that the design is consistent with management philosophy and practice.

6. Conflict with the Nature of Mangerial Work

Efforts by Mintzberg [Ref. 13], McCall [Ref. 14], and Bennis [Ref. 15], to observe and characterize the nature of managerial work have been enlightening. These studies reveal that the manager's job most often consists of brief, varied, fragmented activities. Additionally, it has been shown that managers prefer to deal with current issues and non-routine tasks. Mintzberg's study went on to characterize most of managers' action as ad hoc, reactionary rather than planned.

Performance appraisal, on the other hand, requires a process characterized by relatively long, intense, and concentrated activity focusing on past performance. The general format for PA tends to be one of high structure and periodic routine. Appraisal frequently requires planned, formal interactions between manager and employee in which interruptions are not allowed.

This is certainly the case with appraisal techniques within the Coast Guard. Policy makers have continually stressed that good leaders counsel in private. Legal actions have required formality to grow to immense proportions when negative behaviors are denoted. Reports of fitness of officers for general and specific duties are closely held, not revealed, and subject to great censure if misdistributed.

Therefore, it becomes more obvious that designers must be sensitive to the nature of managerial work when designing an appraisal system . Failure to account for the nature of the beast may place the system in direct conflict with the very people most needed to make it work.

7. Compliance with Legal Requirements

Federal regulations regarding equal employment opportunity, adverse impact, and equity have grown with the adoption of the 1978 Equal Employment Opportunity Commission Guidelines [Ref. 16]. Additionally, employee litigation has increasingly enjcined management in suit to assure fairness in appraisal. During the next decades, regulation of appraisal functicns is most likely to increase rather than decrease.

8. Administration of Performance Appraisal

The source of policy and procedure regarding performance appraisal are important cues to its organzational impact. There are several echelons where theses may emenate-for example, from central corporate headquarters, regional offices, or local line management. Each source may a differing impact on the appraisal system. Not only do directives carry different connotations dependent upon their source, but they may imply totaly different positions of power and authority. Thus,the efficacy of policy may be dependent upon the political or bureaucratic position of the source of the policy. This point is best described in Allison's analysis of the "Cuban Missile Crisis" [Ref. 17].

Additionally, the uses of performance appraisal vary from office to office, level to corporate level. For example, a line manager may use appraisal to encourage, reward, or dismiss an employee. Performance appraisal in the field may well be aimed at growth and development of the employee. At the corporate level, however, performance appraisal may take on the appearance of being soley an administrative function.

Performance appraisal systems with employee growth and development as their objective are best operated from positions close to operating units, rather than from corporate headquarters. The primary concern with administrative functions of appraisal tends to overshadow the developmental function of systems housed in a central corporate headquarters [Ref. 10: ch. 6].

Thus, it is critical that designers plan for this bias when designing and implementing appraisal systems which nominally concern themselves with growth and development of the employees.

9. Integration with other Human Resource Programs

Appraisal is often a stated basis, or core, of an organization's human resource development program. Often other programs such as pay, advancement, retention, and training opportunities are keyed to an appraisal system, at least on paper.

In reality, however, managers are often unable to use PA as the basis for rewards or punishments, due a lack of, or overabundance of, rewards. At times there may be far too few rewards for anyone to share. Conversely, in times of growth and expansion, everybody shares the wealth regardless of personal merit.

Even in corporations that emphasize merit-based pay systems, appraisal is often not integrated as a system to determine merit. Though on paper the system might appear as the functional link to merit pay increases, it is often subverted to meet other needs of management. Teel [Ref. 9], reveals that many managers have forced appraisal ratings to fit salary decisions in an effort to provide equity or avoid on the job conflict.

Contrastingly, some orgranizations treat other human resource programs (such as salary, promotion, and selection programs) as totally separate from the appraisal process. This is certainly to in the Coast Guard where line officers are admonished that " it is not your duty to determine promotability when evaluating an officer's performance" and where pay decisions are left largely to Congress and the Secretary of the Department of Transportation. Thus, an appraisal system may appear as a redundancy in organizations wherein the basic functions of appraisal are usurped by other systems.

DeVries [Ref. 10:p. 101], warns "that if a PA program is redundant with another human resource program, or if its timing restricts its usefulnesss for other personnel decisions it will be treated superficially or forced into inappropriate uses to preserve other programs".

10. Top Management Support

Michael Beer [Ref. 18] cites lack of top management support as a critical factor that is cited for many incidences of failure with appraisal systems. "Top Management" is a fairly loose term. In an effort to more closely identify what is meant , DeVries [Ref. 10:p.. 102], lists the following factors to clarify what this construct infers:

1. Failure to place major responsibility for PA implementation where the program can be effectively carried out.

2. Failure to allocate the resources necessary to effectively implement PA (money, time, staff).

3. Failure to consider how PA must fit with other human resource programs.

4. Failure to identify a clear, organizational policy consistent with operating management philosophy.

5. Failure to include effective appraisal practices as one criterion in the managerial reward structure.

6. Failure tc actively monitor PA procedures tc and data for indicatcrs of EEOC compliance.

An additional factor, often enumerated, is the failure tc provide a credible, visible spcnsor for performance appraisal. Far too often, top executives espcuse the importance cf performance apparaisal for others and disregard it themselves.

C. DESIGN SUMMARY

Planners, designers, and architects of human nature as well as physical constructions realize that any major constructive effcrt will stand only so well as its base will support it. Thus, it is vital that the initial analysis and design be systematic, global, and aimed at reducing system generated hazards that would impact on the users. It would be best if everycne were to gain from the implementation of a new appraisal system; as a minimum, cne would assume that the design would ensure that nc one would be worse off as a result of this event.

D. STEPPING STONES TO EFFECTIVE IMPLEMENTATION

Implementaticn is the critical stage of transforming all the hard work and handiwork of the design stage into an effective operating system that accomplishes the intended task within the limits of the criteria established by the design concepts. This system must usually be integrated into a complex maze of value systems and organizational procedures that can be overwhelming.

This task usually falls to the internal consultant or the organization's personnel staff. Nystrom [Ref. 19], depicts scme problems associated with this manuever. Personnel staffs, thcugh often in the best organizational or

administrative seat for implementing such a program, may have a reputation of such narrow focus or limited success within the organization so as to lack the requisite credibility to effectively implement a new appraisal system. Down-the-line employees are often skeptical of the motives of internal staff members who may have a large stake in, or much to gain from, an organizational change of this nature. It is not important whether this skepticsim stem from fact or experience. However, it is vital to recognize this common perception and concurrent distrust as a factor which may weaken even the best planned implementation effort.

Additionally, new programs even when highly polished and far removed from internal politics, are often viewed as simply " another personnel program " . To avoid this jaundice, as it were, top management may be well advised to scrutinize who, exactly, is leading the effort of implementation. By the judicious use of members highly respected for their leadership qualities and credibility, top management might avoid limiting the effectiveness of a new appraisal program from its point of inception. Conversely, top management may only blame itself if it chooses to overlook this point upon implementation, only to find they have spent a lot of time and effort on an appraisal program with limited impact and effectiveness because it is perceived as " just another personnel program " [Ref. 19].

1. Training Programs

There is some controversy regarding the extent of training necessary when implementing a new appraisal program. One guideline might be to measure the amount of " newness " in the program, or to asses the amount of change or effectiveness which the design intends to accomplish from the change to the new system. One might conclude that there is a direct, lineal relationship involved. Yet, two recent

survey efforts still reflect a difference of opinion on the need for training. Lazer and Wikstrom [Ref. 20], depict that about 75% of industry conducts some type of training upon implementation. However, Locher and Teel's results point to only about a 25% incidence of training concurrent with new systems [Ref. 9].

Regardless of what the incidence or extent of initial training efforts may be, these initial efforts are just that, initial. There is no guarantee that personnel, knowing what is required of them, will be either able or willing to provide it. This is the function of training, education, and system discipline. Although appraisal skills required are a functionof the type of system in use, two widely accepted skill-sets are (a) performance measuement or rating skills, and (b) feedback or communication skills. A system based on the principles of management by objectives would also require high competency in goal setting process [Ref. 10].

How these skills are best acquired is subject to debate. Argyris would assert that these skills are learned by doing [Ref. 22]. Recent studies done separately by Ivancevich [Ref. 23], and Latham [Ref. 24], indicate that these skills(performance measurement and communication skills) are best acquired through practical training and experience as is often available in a school or laboratory situation. Additionally, rater training has been shown to reduce psychometric errors by raters. This was detailed by Klimoski [Ref. 25] in a study of of rater errors published in 1974. It should be noted that the effect of this type of training is short lived. Thus, periodic refresher training is necessary.

Finally, there is evidence to suggest that employees can benefit from training programs which depict how to receive performance appraisal, especially in participative

programs such as MBO-based appraisal systems. Four issues seem relevant in this regard. First,these programs permit employees to participate more actively in their own PA than they did without them. Second, these programs provide for a cadre of monitors who may well be willing and able to maintain the integrity of the system over a longer time period than without this training. Thirdly, this same cadre often may advance to the management level and be or become appraisers themselves. Lastly, most personnel who give appraisals to others also receive them themselves; thus, the training program may certainly flow full circle and have wide application .

Although the rationale of providing training seems obvious, this training is often not accomplished by organizations implementing new appraisal systems. This fact may be a main factor in the failing by many systems to meet their stated performance appraisal goals. An excellent example of this point is provided by Beer [Ref. 18], where he relates his experience at implementing an MBO program at the Corning Glass Works in 1977.

2. Pilot Testing Programs

Before buying a new car, most of us will take the time to drive it first. The same logic that guides us in personal expenditures should also be applied to the expenditure of great resource (time, effort, and money) in our professional lives. A performance appraisal system must be tested before it is placed into the organization who must from that day forth " ride " on it. The new system can be validated, modified, and standardized in a testing situation before it is given the broadest implementation.

It is important at this point to opt for success. Choose a test bed that is (a) representative of the whole organization, and (b) likely to have a successful test

experience. If the event is successful, then those who underwent the experience can form a cadre of missionaries who can advocate the use of the system from their own experiences. Since this group may well become advocates, it is critical to analyze who they are before you test the system on them. Likewise, it is necessary to design a system test, or prototype, that is highly likely to be successful with this group.

For example, if the group is perceived as deviants within the organization, the appraisal system may be severely crippled by their association with it. Conversely, if the test group is composed of credible, powerful figures in the organization and they become advocates, well, then this is a very satisfactory situation.

In a military organization, this latter group is usually known as the top management, the leaders, the policy makers, or the senior officers. They have the authority to make or break any policy or procedure. It is vital to have this group on board with a successful effort from the beginning. Successful change strategy in military organizations is from the top down, not vice-versa.

3. Maintenance Functions Necessary for Successful PA

Many new programs have not survived due mainly to lack of nurture following implementation. Interventions when necessary, are most successful when the strategist observes some ongoing continuum for change. A simple model for change is the Kolb-Frohman model for intervention [Ref. 26]. Essentially, this calls for an ongoing strategy for change which does not end at implementation. Likewise, implementation of a new performance appraisal system should not end at day one, but rather continue throughout the life of that system within the organization.

Maintenarce functions which continually encourage the use of the syetm may spell the difference between success and failure. The organization must provide a reward structure that encourages managers to use the system in the fashion designed [Ref. 27]. Additional functions that may keep the syetm rolling on the paths to effectiveness include reminder services, continued training and consultation with human resource professionals, and actions by top management in consonance with the system principles spell the minimum level of support requisite for success.

4. Evaluation of Effectiveness

The objective evaluation of system effectiveness is often the most ommitted stage of the implementation process. It is a critical issue, knowing that the system is functioning as intended and accomplishing the tasks required, yet it is not accomplished in many instances. Reasons for this are varied. Often, it is easy to assume there is little value in knowing whether the system is functioning properly unless it can be linked directly with production or profit. At times, those who are responsible for directly advocating or implementing a new system may block objectives analysis as a resultant of the personal impacts that the analysis might have. Evaluation of performance appraisal system can indeed be risky ventures at least.

As a continuation of the stepping stone approach so far presented, the following questions are posed as appropriate probes for the evaluation process.

1. Was the system installed as designed?

2. Are the employees using the system as it was designed to be used?

3. Are the systems intended purposes and outcomes being accomp ished?

4. Does the perfcrmance appraisal system fit within the organizational context, particularly in terms of other human resource programs?

There are various types of changes which can be instituted along the way. Essentially, each negative answer to the preceding questions would lead back to the design and implementation stages. A simplistic management control system that asks these questions does not need to meet the parametric requirements of classical research, rather it need only collect data relevant to the intended tasks and design of the system.

E. CONCLUSION

1. This discussion may have painted a monstruous spectre for perfcrmance appraisal, not unlike that of a small craft at sea, caught in an ocean storm, expending its total energy in simply keeping afloat, with no prospect of ever reaching the shore. Yet the effort must clearly be made; appraisals, no matter how subjective or system-deficient must be made, and data-based systems to manage the information thus complied must be used.

Despite the controversey, two guidelines may appear worth following. First, performance appraisal must be understandable to those who use it, regardless of type, content, procedure or purpose. If it is not clearly articulated and understood, then the system holds no chance of being effective within the context of its original purpose. Secondly, performance appraisal must make sense in relation to other business systems. Although effective appraisal is rarely a cure, ineffective appraisal is often a symptom of ineffective management. Thus, rather than adding to the organizational dysfunction, it should contribute to the well being of the institution upon which it has been implemented **[Ref. 10:ch. 6]**.

In summary, the implementation of a personnel appraisal system requires that the employees have (a) at least one good reason to try it, (b) adequate competencies to use it effectively, and (c) a way to make it part of their ongoing jobs rather than a peripheral duty.

Additionally, there must be a positive reward system within the organizational culture to encourage the effective use of the appraisal system.

III. METHODOLOGY

A. INTRODUCTION

The methodology of the study consisted of developing a target sample for the survey, a target for the results of data collection effort, developing a survey instrument that was relevant in terms of the targets, administering the survey instrument, and finally, interpreting the what the data depict in formats that are relevant to the target audience(s).

B. RELIABILITY AND VALIDITY

Two extremely important properties that all instruments should possess are reliability and validity. Reliability reflects the degree to which the results of the measurement are free from error, that is, attributable to systematic sources of variance [Ref. 28]. Validity reflects the degree to which a measure actually measures what it purports to measure [Ref. 29:p. 75].

1. Reliability

Reliability of measures refers most to the repeatability of the measure, that the results can be duplicated within normal limits by additional performances of the measure. For example, geographical surveying techniques are classified according to their inherent ability to measure the same geophysical dimensions with repeated accuracy. in other words, according to the reliability of the technique. This is analogous to the issue of reliability in the psychometric sense as well.

Three general methods of ensuring reliability of psychometric measures are (a) test and re-test, (b) equivalent form testing, and (c) split-half testing. The survey of the Coast Guard officer corps included equivalent forms of the same question in an effort to measure the reliabilty of the survey instrument.

A measure of the reliability of the survey may be developed by examining the correlation bewteen these forms in a representative sample of officers.

2. Validity

The validity of measures generally is discussed in terms of one or more of the following types: (a) content, (b) construct, (c) criterion-related, (d) face, (e) incremental, (f) convergent and discriminant,and (g) synthetic validity. Content validity deals with the ability of the measure to cover the range or domain of the subject matter in question. Construct validity deals with the ability to measure abstract variables such as thought processes or intelligence. Criterion related validity involves the power of the measure as a predictor of some other attribute, for making inferences relative to issues not measured directly. Face validity is exactly that: a measure that appears, at least superficially, to measure what it purports to measure. Incremental validity refers to the ability to measure "somewhat better" than other tools already available. A new test or procedure would probably need incremental validity before researchers would adopt it over some method already in use. Convergent or divergent validity refers to the extent that measures are assessed on their ability to confirm the results already shown by other methods. For example, a test may have convergent validity when the measured values converge on values demonstrated by another test known to be valid. Finally, there is synthetic or

job-component validity. This final measure is relevant when developing tests to measure job skills. A measure would have synthetic validity for a skin diver if it involved separate valid measures of different skin-diving skills [Ref. 30:ch. 4].

C. SELECTING THE SAMPLE

Three basic requirements needed to be met by the sample. First, the sample had to be from all career fields of the Coast Guard. Hopefully, a representative sample would enhance the logic of extrapolating the results to the whole population sampled . The cell size of the sample areas selected should be large enough to provide statistical significance to the inferences made from the results and enahnce the reliability of the statistics developed from the sample. Finally, to be free from regional biases, the sample should be drawn from all geographic areas of assignment for Coast Guard officers [Ref. 30:ch. 6].

D. INSTRUMENTATION

1. General Development

The survey instrument was developed in a classic manner as described best by Payne [Ref. 31]. Most basically, a review of the present literature on the subjects related to personnel appraisal led to a superficial understanding of the general issues. Then, through a process of personal interviews, telephone debates, and observation in seminars related to the issues, the framework for questioning became clear. Using questionnaires developed for the pilot testing program, incorporating issues that were identified by the General Research Corporation in the developmental stages of OPMS [Ref. 4:ch. 3] and including the

results of much interview time, the author was able to synthesize the line of questioning into a group of questions that appeared contextually acceptable.

Central to this effort were the works of Payne [Ref. 31] and the Fort Hood Questionaire Construction Manual [Ref. 32]. These two resources were invaluable in the process of developing the survey instrument. Each of these resources is rich in logic and further reference. These two sources should not be overlooked by those who are in the business of survey development.

2. Data Collection

Upon receipt of the surveys, the raw data were coded and entered into an SPSS data file. These data are entirely numerical.

Some subjectivity exists in the data coding . The best and worst features of the OPMS, as solicited by questions R2 and R3, were segregated into two categories. This appeared rational at the beginning of the coding effort. Later, it became apparent that this data could be better represented if coded into five categories.

3. Content Analysis

Analysis of the comments is essentially left undone and really demands attention. As a minimal level of analysis, all of the comment pages have been photostatically reproduced and forwarded to the Headquarters Analysis Group for their review.

Additionally, selected remarks will be used in the reporting of results to demonstrate the meaning of the numbers, where appropriate. The remarks will also be used to depict the wide range of controversy surrounding the isssues. Finally, an appendix containing representative remarks is included in this study.

These efforts, however, do not do justice to the great amount of effort made by the respondents to accurately and frankly identify their positions concerning the OPMS. It is the sincere hope of the author that the net effect of the remarks is not insignificant.

4. Caveats of Analysis

The interpretation of data is always a subjective function. There is more a question of what degree of subjectivity exists rather than one of its very existence. A major source of this subjectivity can be demonstrated by viewing the organizational context in which decisions are made. Considering the three major models of organizational decision making, that is the rational, bureaucratic, and political models, one can demonstrate that the same data set may receive entirely opposite analysis as a result of the organizational context of analysis. This dichotomy is a result of the basic assumptions of the models and the differing processes of analysis. Significant determinants of data interpretation are (a) type of organization conducting the analysis, (b) position of analyst in that organization, (c) stakeholder(s) in that organization relative the conclusions of analysis, and (d) whether the data support or threaten the position of the organization or the analyst. Thus, the tenor of the analysis may largely be dependent upon where you sit at the time of analysis [Ref. 17].

Additionally, the numerical differences in the data and the nuances of interpretation are seldom as simple as they seem. Rather, they tend to stem from profound difference in approaches to complex problems. Issues of this type are seldom resolved when reduced to mere arithmetic relationships, because the differences lie in the mind of the analyst.

Finally, though the differences in interpretation may be philosophically great, they often stem from minor differences in numbers. A few hundredths of a percentage point may spell the difference between success and failure for some adversaries. Yet, the magnitude of the difference may seem lilliputian at best.

Thus one might readily accede to the multiple realities inherent in the analysis of data by keeping these simple maxims in mind:

1. " It depends..."- on your point of view, on your stake in the game, on your belief in the power of the data, etcetra...

2. "It's not that simple..."- other factors are involved, the data is not representative, the test is not reliable, etcetera...

3. " The differences are not that great..."-even though they may be irreconciliable, etcetara...

Nonetheless, the opinion of researchers may vary greatly, and vehement discussion often eminates from adamant stands on subtle differences which are not readily discernible by the cursory examination of the data. This may well be the case with the data collected here; however, it is essential that an effort is made to analyze these results.

E. SAMPLE DEMOGRAPHICS

The sample consisted of five hundred active duty Coast Guard Officers. The demographic breakdown of this sample is shown through the SPSS CROSSTABS feature. The CROSSTABS are included in this section. [Ref. 33].

1. Breakdown by Grade

The sample includes paygrades O1 through O6, Ensign through Captain. The mailing of surveys included 500 officers of these grades who were stationed throughout the geographic domain of Coast Guard billets. Additionally, this mailing included all accepted career fields for Coast Guard officers. The analysis of responses that follows will be predicated on the grade of the respondents. Thus, it is appropriate at this point to demonstrate the representative nature of the sample. The percentages for the SAMPLE RESULTS are as measured by the survey. The percentages for the ACTUAL POPULATION are as legislated by Congress. These are listed in [Ref. 34]. The legislated percentage of O1's and O2's is combined as 35.25%.

The frequency distributions are shown as Table I.

2. Breakdown by Career

Eight major career fields were utilized to select the officers to be polled. The sample distribution by carreer field is shown as Table II.

3. Breakdown by Duty Assignment

Additionally, the demographic analysis provides the ability to breakdown the respondents by the category of duty assignment. Nine major levels of assignment were included in the data gathered. The sample distribution by duty assignment is shown as Table III.

4. Breakdown by Roles and Effects

Two additional features were measured by the demographic data collected. The role(s) of the respondents within the OPMS, and the number of officers effected by the respondents through these roles.

TABLE I

Officer Distribution by Grade

	SAMPLE RESULTS		ACTUAL POPULATION
CATEGORY LABEL	ABSOLUTE FREQ	REL FREQ (PCT)	REL FREQ (PCT)
CAPTAIN	20	7.5	6.15
COMMANDER	22	8.3	12.00
LCDR	86	32.5	18.00
LIEUTENANT	62	23.4	28.00
LT JUNICR GRADE	64	24.2	35.25
ENSIGN	10	3.8	-
NO RESPONSE	1	0.4	-
TOTAL	265	100.0	

```
GRADE
CODE
I
1. ********** (     20)
I  CAPTAIN
I
2. ********** (     22)
I  COMMANDER
I
3. ************************************************** (     86)
I  LCDR
I
4. ******************************** (     62)
I  LIEUTENANT
I
5. ******************************** (     64)
I  LT JUNIOR GRADE
I
6. ****** (     10)
I  ENSIGN
I
I.........I.........I.........I.........I.........I
0        20        40        60        80       100
FREQUENCY
0
 VALID CASES     264       MISSING CASES     1
```

It is an accurate assumption that the roles portrayed are sequential and hierarchical. That is, that if a respondent indicates a role as Reporting Officer, he also fills the basic functions of Reported on Officer and Supervisor, as well. Thus, though it is not clearly shown in the SPSS breakdown of the data, each supervisor is also a reported on officer. The subordinate roles can be augmented by the reader in this manner, if he so chooses.

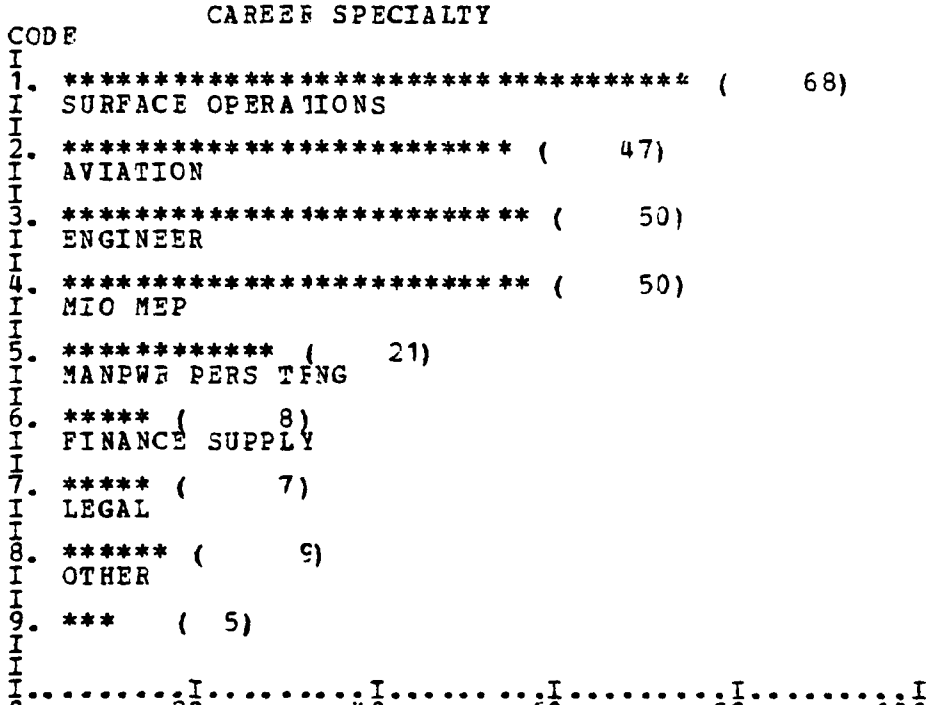
TABLE II

Sample Distribution by Career Field

CAREER SPECIALTY

CATEGORY LABEL	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
SURFACE OPERATIONS	68	25.7	25.7	25.7
AVIATION	47	17.7	17.7	43.4
ENGINEER	50	18.9	18.9	62.3
MIO MEP	50	18.9	18.9	81.1
MANPWR PERS TRNG	21	7.9	7.9	89.1
FINANCE SUPPLY	8	3.0	3.0	92.1
LEGAL	7	2.6	2.6	94.7
OTHER	9	3.4	3.4	98.1
NO RESPONSE	5	1.9	1.9	100.0
TOTAL	265	100.0	100.0	

CAREER SPECIALTY



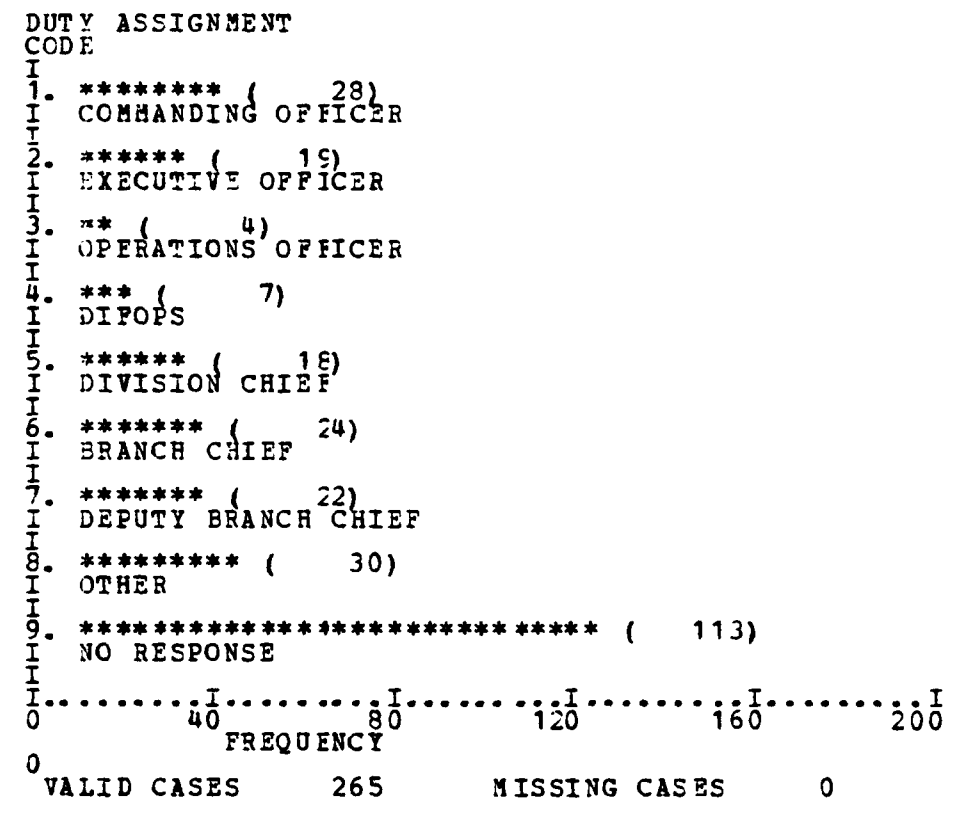
VALID CASES 265 MISSING CASES 0

The final demographics, roles in OPMS, number of officers supervised, and number of officers supervised and reported on are shown in Tables IV, Table V, and Table VI , respectively.

TABLE III

Distribution by Duty Assignment

CATEGORY LABEL	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
COMMANDING OFFICER	28	10.6	10.6	10.6
EXECUTIVE OFFICER	19	7.2	7.2	17.7
OPERATIONS OFFICER	4	1.5	1.5	19.2
DIFOPS	7	2.6	2.6	21.9
DIVISION CHIEF	18	6.8	6.8	28.7
BRANCH CHIEF	24	9.1	9.1	37.7
DEPUTY BRANCH CHIEF	22	8.3	8.3	46.0
OTHER	30	11.3	11.3	57.4
NO RESPONSE	113	42.6	42.6	100.0
TOTAL	265	100.0	100.0	



VALID CASES 265 MISSING CASES 0

TABLE IV

Distribution by OPMS Roles

CATEGORY LABEL	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
REPORTED ON OFFICER	127	47.9	47.9	47.9
SUPERVISING OFFICER	64	24.2	24.2	72.1
REPORTING OFFICER	40	15.1	15.1	87.2
REVIEWING OFFICER	33	12.5	12.5	99.6
OTHER ROLE	1	0.4	0.4	100.0
TOTAL	265	100.0	100.0	

PRESENT ROLES IN OPMS
CODE

1. ********** (127)
   REPORTED ON OFFICER
2. ********** (64)
   SUPERVISING OFFICER
3. ********** (40)
   REPORTING OFFICER
4. ********* (33)
   REVIEWING OFFICER
5. * (1)
   OTHER ROLE

0 ..... 40 ..... 80 ..... 120 ..... 160 200

FREQUENCY

VALID CASES 265 MISSING CASES 0

F. SUMMARY

These tables present the data as of 7 February 1983. At this point in time, 265 responses were received by the author. Additional, responses will be included in the historical files to be provided to the Commandant, U.S. Coast Guard, if received. However, the data analysis will proceed from this point predicated on 265 cases.

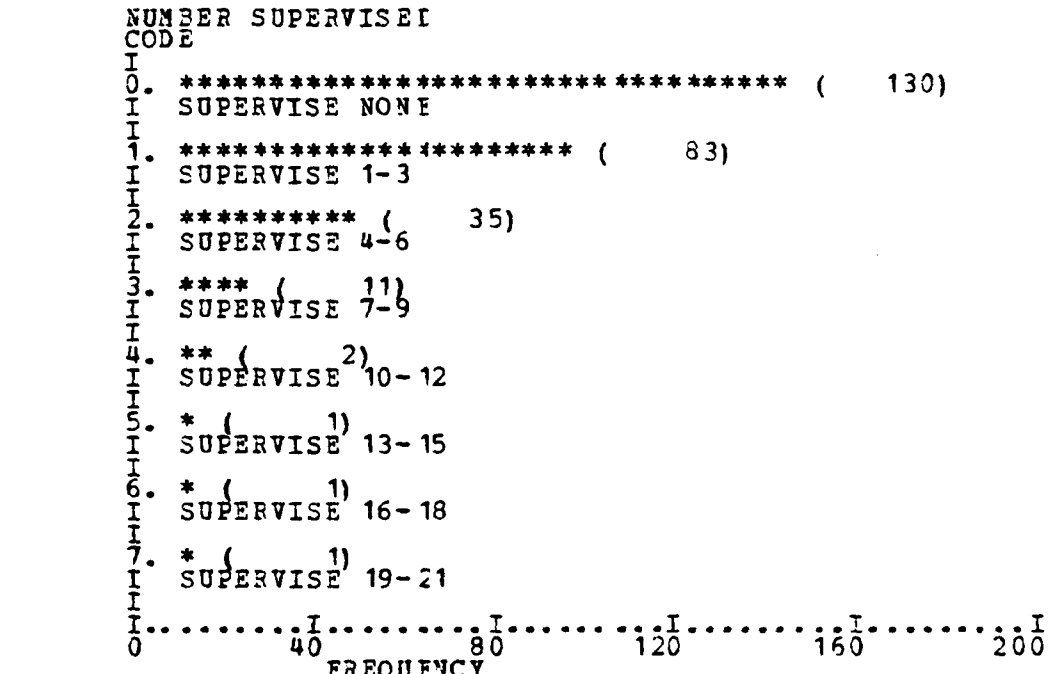
The following chapter will present responses to significant issues posed by the author's survey effort.

TABLE V

Distribution by Number Supervised

CATEGORY LABEL	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
SUPERON NONE	130	49.1	49.2	49.2
SUPERON1-3	83	31.3	31.4	80.7
SUPERON4-6	35	13.2	13.3	93.9
SUPERON7-9	11	4.2	4.2	98.1
SUPERON10-12	2	0.8	0.8	98.9
SUPERON13-15	1	0.4	0.4	99.2
SUPERON16-18	1	0.4	0.4	99.6
SUPERON19-21	1	0.4	0.4	100.0
NO RESPONSE	1	0.4	MISSING	100.0
TOTAL	265	100.0	100.0	

FILE NONAME (CREATION DATE = 02/01/83)

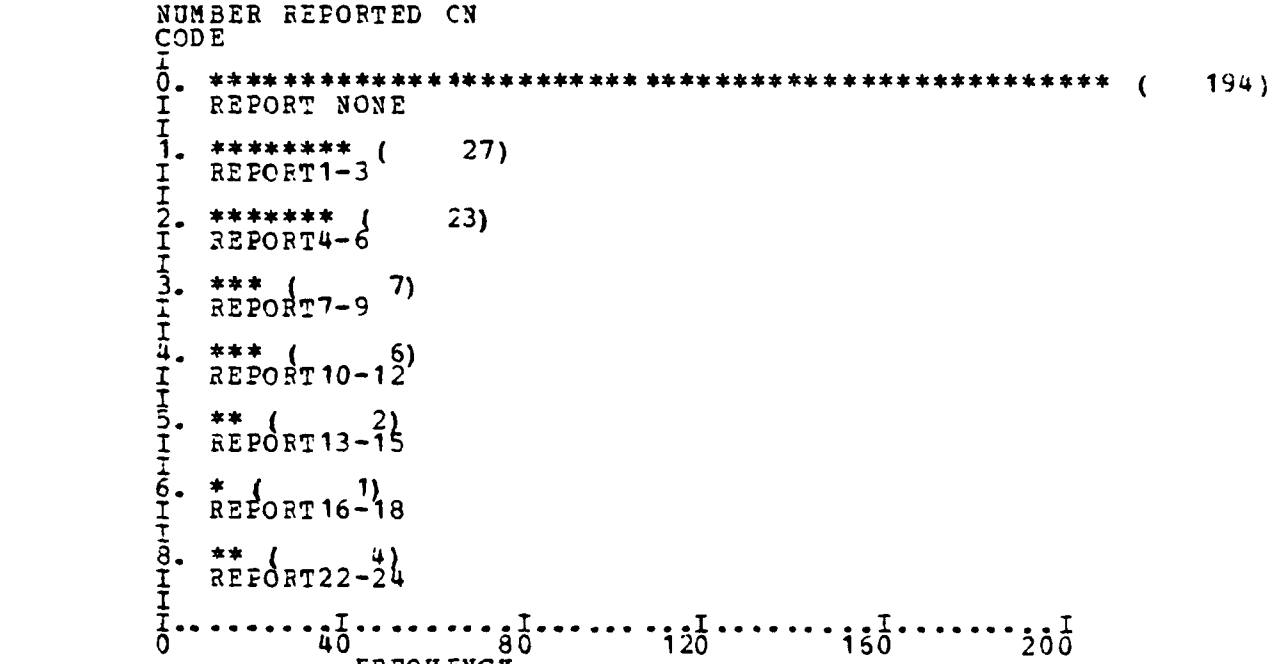


VALID CASES 264 MISSING CASES 1

TABLE VI

Distribution by Number Reported On and Supervised

CATEGORY LABEL	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
REPORT NONE	194	73.2	73.5	73.5
REPORT1-3	27	10.2	10.2	83.7
REPORT4-6	23	8.7	8.7	92.4
REPORT7-9	7	2.6	2.7	95.1
REPORT10-12	6	2.3	2.3	97.3
REPORT13-15	2	0.8	0.8	98.1
REPORT16-18	1	0.4	0.4	98.5
REPORT22-24	4	1.5	1.5	100.0
NO RESPONSE	1	0.4	MISSING	100.0
TOTAL	265	100.0	100.0	



VALID CASES 264 MISSING CASES 1

IV. SURVEY RESULTS

A. SURVEY ANALYSIS

The author's analysis is centered on issues of great concern. If the OPMS is to be utilized to its fullest potential, then it must be accepted by the officer corps. It is unclear at this point what the exact level of acceptance should be to spell acceptance. A " preponderance " of the data should support the OPMS if it is to be concluded that the system has been been accepted.

What exactly constitutes a preponderance is also unclear. Surely, if the data are ,say, four-to-one in one direction or the other, that is preponderence in the author's mind. Perhaps even a two-to-one ratio is " preponderance ". Where the data are less clear-cut than this, the reader will have to decide for himself whether the data are in support of or contrary to the OPMS.

In this regard, the repsonses to the survey questions have been categorized in two classes , "Agree" and "Do not Agree ". Neutral repsonses have been included in the "Do not Agree" category. This has been done to sharply demonstrate the dichotomy of the response sets between those who did clearly state their agreement with the statements posed and those who did not state their agreement with the statements. A more specific breakdown of the responses is included in Apperdix A.

1. Overall Reaction of the Officer Corps

The overall reaction to the OPMS was measured by the first statement of the survey, R1. This element is quoted below. The response to this question is shown in the following summary, Table VII.

R1 "Considering all of your experiences so far with the OPMS process, what is your overall reaction to the entire System?"

TABLE VII

Overall Reaction to the OPMS

R1	Positive	Not Positive
Capt	40.0%	60.0%
CDR	31.8%	68.2%
LCDR	39.6%	60.4%
LT	42.6%	57.4%
LTJG	57.8%	42.2%
ENS	60.0%	40.0%
Distribution		
By Total Sample	44.9%	55.1%

The response to this question shows that the officer corps is split in its reaction the the OPMS. The best means of analyzing these results may be in terms of what the expected results might have been. If the reader required an overwhelming statistic, for or against, to support an hypothesis, then these results clearly do not support the reader's hypotheses. In the author's mind, this table shows lukewarm support of the OPMS in general terms, not on specific issues.

A different presentation of these same data may allow the reader to draw a different view of the data. An example of this is provided in Table VIII. In this table, a three column format may allow the reader to think in specific terms concerning those who do not support the OPMS with their positive responses on the survey. This presentation does not clarify the issues in the mind of the author.

Rather, it serves to cloud the response dichotomy. As such, this format will not be used in further analyses and is

TABLE VIII
Overall Reaction to the OPMS

R1	Positive	Neutral	Not Positive
Capt	40.0%	25.0%	35.5%
CDR	31.8%	40.9%	27.3%
LCDR	39.6%	44.2%	16.2%
LT	42.6%	34.4%	23.0%
LTJG	57.8%	31.3%	10.9%
ENS	60.0%	40.0%	00.0%
Distrib By Tot Sample	44.9%	36.9%	18.2%

provided here for informational purposes only.

These same data presented in a differing format still permit the conclusion that only 44.9% of the respondents would voice their support of the OPMS, and by default that the remaining sector of the sample would not voice their support. The reader will find the frequency of response to each question in Appendix A.

2. <u>OPMS is Uniformly Applied</u> ?

The perceptions of the officer corps concerning the uniform application of the OPMS were gathered through the use of three questions, A9, A10, A11. The first issue is question A9 which is quoted below. The response to question A9 is shown in Table IX.

A9 "The OPMS is being applied uniformly to all grades of Coast Guard officers."

TABLE IX

OPMS is Applied Uniformly by Grade ?

A9	Agree	Do not Agree
Capt	15.8%	64.2%
CDR	18.2%	81.8%
LCDR	10.1%	89.9%
LT	8.3%	91.7%
LTJG	12.9%	87.1%
ENS	22.2%	77.8%
Distribution By Total Sample	12.0%	88.0%

In this instance, the data do demonstrate alarming mistrust of the application of the OPMS. The perception of the officer corps is clearly that the OPMS is not applied uniformly to all grades of Coast Guard officers. Efforts to disprove this perception may well be necessary for corps-wide acceptance of the OPMS.

Survey element A10 is quoted below. The response to this element is shown in Table X.

A10 "The OPMS is being applied uniformly in all career fields for Coast Guard officers."

A summary of this dimension affirms the mistrust revealed in question A9. To the author, this mistrust is quite alarming !

Survey element A11 tests this issue yet another way, by duty assignment. While it was intended that this question specifically measure attitude as a function of geographic area of assignment, or district, retrospective analysis of the question may reveal that this question does not explicitly accomplish this task. Thus, the analyses is left in

TABLE X

OPMS is Applied Uniformly by Careers ?

A10	Agree	Do not Agree
Capt	11.1%	88.9%
CDR	4.8%	95.2%
LCDR	6.7%	93.3%
LT	5.1%	94.9%
LTJG	15.9%	84.1%
ENS	00.0%	100.0%
Distribution		
By Total Sample	9.0%	91.0%

more general terms. This survey item is quoted below; the results are shown in Table XI.

A11 "The OPMS is being applied uniformly in all duty assignments throughout the Coast Guard."

Analysis of this question demonstrates the pervasive perception that the OPMS is not used the same way everywhere in the Coast Guard, nor in every career field, nor is it perceived to be applied the same way to every grade.

3. OPMS is Worth the Effort ?

The attitudes of the officer corps regarding the relative payback of the OPMS were measured using questions A24, A25, and A26. The responses to these questions are summarized in tabular form.

TABLE XI

OPMS Applied Uniformly by Assignm't?

All	Agree	Do not Agree
Capt	11.1%	88.9%
CDR	00.0%	100.0%
LCDR	6.6%	93.4%
LT	00.0%	100.0%
LTJG	11.8%	88.2%
ENS	00.0%	100.0%
Distribution By Total Sample	5.7%	94.3%

Question A24 measures the attitude regarding the worth of the effort in counseling subordinates. The responses are reported in Table XII.

A24 "The time and effort I spend on documenting, counseling, and feedback with my juniors are worth it."

A summary of these data is that there is some ambiguity in the perceptions of the officer corps on this issue. Certainly, the response to the question does not show that the officer corps clearly perceives that the effort required by the OPMS by seniors towards their juniors is " worth it ". This indicates lukewarm commitment to this facet of the OPMS at best.

Question A25 tests this issue in another direction, towards seniors. The question is quoted here; the results are reported in Table XIII.

TABLE XII

Effcrt Spent on Juniors Worth It?

A24	Agree	Do not Agree
Capt	47.4%	52.6%
CDR	36.3%	63.7%
LCDR	59.3%	40.7%
LT	36.5%	63.5%
LTJG	26.7%	73.3%
ENS	42.9%	57.1%
Distribution By Total Sample	43.5%	56.5%

A25 "The time and effort I spend on documenting, counseling, and feedback with my superiors are worth it."

TABLE XIII

Effcrt Spent on Seniors Worth It?

A25	Agree	Do not Agree
Capt	26.4%	73.6%
CDR	27.2%	72.8%
LCDR	57.3%	42.7%
LT	43.3%	52.7%
LTJG	70.3%	29.7%
ENS	50.0%	50.0%
Distribution By Total Sample	52.1%	47.9%

A summary of these data affirms the ambivalence of the officer corps, this concerning whether the OPMS process is " worth it " when working with seniors. The mixed acceptance of these issues may indicate a lukewarm commitment to the use of these processes by Coast Guard officers, especially the senior grades of Captain and Commander. This may undermine the entire OPMS.

Question A26 measures this dimension overall by asking whether the OPMS pays back what is put into it. The responses are shown in Table XIV.

A26 "In general, the OPMS pays back what I put into it."

TABLE XIV

OPMS has a Good Payback ?

A26	Agree	Do not Agree
Capt	31.6%	68.4%
CDR	22.7%	77.3%
LCDR	38.8%	61.2%
LT	36.6%	63.4%
LTJG	57.1%	42.9%
ENS	50.0%	50.0%
Distribution By Total Sample	41.3%	58.7%

These responses confirm what what has been hinted at in the preceeding two questions. With only 41.3% of the entire corps perceive a valid payback, the OPMS is not on strong ground. More importantly, the senior officers, those

with the power to make or break a policy and who are also in the key-use roles in the system, are decidedly negative on this issue.

4. There is Time for Another Priority ?

The attitudes of the officer corps concerning priorities, workload and additional OPMS priorities was measured using questions A27, A28, and A29.

Question A27 concerns on-the-job time available for the performance of OPMS duties. The results are ambivalent; they are shown in Table XV.

A27 "I have enough time on my job to perform my OPMS duties."

TABLE XV

There is Enough Time on the Job ?

A27	Agree	Do not Agree
Capt	40.0%	60.0%
CDR	27.3%	72.7%
LCDR	40.7%	59.3%
LT	48.3%	51.7%
LTJG	62.5%	37.5%
ENS	60.0%	40.0%
Distribution By Total Sample	47.2%	52.8%

The data on this issue are ambivalent when viewed overall. Once again, however, 04's, 05's, and 06's are decidedly negative.

Question A28 seeks response to another issue, whether OPMS duties hinder the performance of other duties assigned to Coast Guard officers. The results are shown in Table XVI.

A28 "The performance of my OPMS duties does not hinder the performance of my other primary duties."

TABLE XVI

OPMS Does Not Hinder Primary Duty ?

A28	Agree	Do not Agree
Capt	60.0%	40.0%
CDR	31.8%	68.2%
LCDR	45.3%	54.7%
LT	46.6%	53.4%
LTJG	54.7%	45.3%
ENS	70.0%	30.0%
Distribution By Total Sample	48.8%	51.2%

A summary of this table indicates that the perception of the officer corps is counter to the hypothesis. The response to A28 does indicate ambivalence of the officers sampled in the survey process.

Question A29 seeks similar information in another dimension, whether collateral duties are hindered by the OPMS duties. The responses are shown in Table XVII.

A29 "The performance of my OPMS duties does not hinder the performance of my collateral duties."

TABLE XVII

OPMS Does Not Hinder Collaterals ?

A29	Agree	Do not Agree
Capt	60.0%	40.0%
CDR	31.8%	68.2%
LCDR	38.9%	61.1%
LT	41.6%	58.4%
LTJG	57.9%	42.1%
ENS	60.0%	40.0%
Distribution By Total Sample	46.0%	54.0%

A summary analysis of this response again indicates ambiguity. Certainly, the officer corps is not strong in support of this issue. This issue remains as an area of concern.

5. Any Felt Need for Improvement ?

Whether or not there is a felt need for change is an important factor in instituting any change in an organization. The strength of this felt need was measured by questions A35, A36, A37, and A38.

Survey element A35 questions whether the supervisors are performing their duties as perceived by the officers reported on. The results are shown in Table XVIII.

A35 "My supervisor is performing his OPMS duties as required by the regulations."

TABLE XVIII

Supervisors Perform OPMS Duty ?

A35	Agree	Do not Agree
Capt	40.0%	60.0%
CDR	45.4%	54.6%
LCDR	43.1%	56.9%
LT	42.6%	57.4%
LTJG	57.8%	42.2%
ENS	60.0%	40.0%
Distribution By Total Sample	47.1%	52.9%

These data definitely indicate a problem here. When more than half of the senior officer corps indicates that their seniors are not performing their OPMS functions, then a red flag should wave in the face of the analyst. This type of non-performance indicates a problem; whether the problem lies with the people or the system is not revealed the data.

Question A36 suggests that no improvements are necessary for the OPMS evaluation process. The officer corps does not support this suggestion. The results are shown in Table XIX.

A36 "No improvemnts to the OPMS are necessary to make it an effective tcol for performance evaluation."

TABLE XIX

Nc Improvements for OPMS PE ?

A36	Agree	Do not Agree
Capt	5.3%	94.7%
CDR	00.0%	100.0%
LCDR	4.7%	95.3%
LT	4.9%	95.1%
LTJG	14.1%	85.9%
ENS	10.0%	90.0%
Distribution By Total Sample	6.9%	93.1%

An analysis of these data indicates an overwhelming felt need for improvement in the performance evaluation process as posed by question A36.

Question A37 poses the same issue, but refers to the promotion and selection process. The response to this is is shown in Table XX.

"No improvements to the OPMS are necessary to make it an effective tool for selecting qualified officers for promotion."

A37

The respcnse indicates overwhelming dissatisfaction with this dimension of the OPMS. This is definitely an area for concern regarding the organizational context or "system

TABLE XX

No Changes to OPMS / Promotion ?

A37	Agree	Do not Agree
Capt	10.5%	89.5%
CDR	00.0%	100.0%
LCDR	5.9%	94.1%
LT	4.9%	95.1%
LTJG	11.0%	89.0%
ENS	10.0%	90.0%
Distribution By Total Sample	6.9%	93.1%

fit" of the OPMS with pre-existing human resource programs. This degree of felt need for change may well stand in the way of any further acceptance of this system by the officer corps.

Survey element A38 rephrased the issue and questions the felt need for immediate improvements in the OPMS selection and promotion functions. The response is shown in Table XXI.

A38 "Immediate improvemnts to the OPMS are necessary to make it an effective tool for selecting qualified officers for promotion."

This equivalent form of the preceeding question confirms the felt need for change to the OPMS along the dimension of selection and promotion. This may well hinder the acceptance of this appraisal function of the OPMS.

TABLE XXI

OPMS Improvements Necessary ?

A38	Agree	Do not Agree
Capt	88.8%	11.2%
CDR	90.9%	9.1%
LCDR	84.7%	15.3%
LT	83.4%	16.6%
LTJG	78.1%	21.9%
ENS	80.0%	20.0%
Distribution By Total Sample	83.4%	16.6%

6. OPMS is Organizationally Right ?

The question of organizational fit is vital. It is absolutely necessary that a performance appraisal system be perceived as "right for the organization" for that system to succeed. A measure of the attitudes of Coast Guard officers concerning this dimension was gathered using questions A39, A40, and A41.

Question A39 tests the overall perception of "right fit " for the OPMS and counseling, development, and supervisory functions. The responses on this issue are shown in Table XXII.

A39 "As an organization, we are doing the right thing by using this system (OPMS) for development and supervision."

TABLE XXII

OPMS Fits Supervision / Growth ?

A39	Agree	Do not Agree
Capt	60.0%	40.0%
CDR	45.4%	54.6%
LCDR	65.1%	34.9%
LT	54.1%	45.9%
LTJG	79.7%	20.3%
ENS	80.0%	20.0%
Distribution By Total Sample	64.6%	35.4%

An analysis of question A39 indicates a more positive ratio for OPMS, nearly two to one in favor. Yet the support is not overwhelming.

Question A40 poses this issue on another dimension, rightness for selection and promotion functions. Table XXIII has the results.

A40 "As an organization, we are doing the right thing by using this system (OPMS) as the basis for promoting qualified officers."

The response to this issue, A40, is nearly the reverse of the previous results. This may indicate clear ambivalence of the officer corps concerning the separate issues posed by the questions.

The OPMS is a system of management by objectives (MBO). One cannot deny this fact. Attempts to disguise this basic issue may be perceived as insulting, if not at least condescending, by the the corps. The officer corps is not

TABLE XXIII

OPMS Fits Selection / Promotion ?

A40	Agree	Do not Agree
Capt	35.0%	65.0%
CDR	22.7%	77.3%
LCDR	30.6%	69.4%
LT	26.2%	73.8%
LTJG	32.8%	67.2%
ENS	50.0%	50.0%
Distribution by Total Sample	30.5%	69.5%

opposed to MOB, per se, as may have been feared previously. By testing the attitudes of Coast Guard Officers relevant to MBO , question A41 attempts to measure how the corps, overall, perceives the " rightness of fit " for MBO and the Coast Guard. Table XXIV demonstrates the response of the sample to the issue of " rightness " of MBO for the Coast Guard officer management system.

A41 "Management by objectives is an appropriate approach to military personnel management for use in the Coast Guard."

A summary of these data on MBO indicates a fair support base for MBO, at least superficially.

7. Do We Really Know Enough to be Fair?

Equity is an ever present issue in evaluating the efficacy and acceptance of an appraisal system. To be fair-- to one's self, as well as to others-- requires a degree of

TABLE XXIV

MBO Right Personnel Management ?

A41	Agree	Do not Agree
Capt	65.0%	35.0%
CDR	63.7%	36.3%
LCDR	56.5%	43.5%
LT	64.0%	36.0%
LTJG	71.9%	28.1%
ENS	70.0%	30.0%
Distribution By Total Sample	64.6%	35.4%

knowledge concerning the integration and articulation of this system, OPMS , and its relationship with the promotion and selection process as well as other human resource programs. To measure the perceptions of the officer corps on this feature, equity, questions A12, SK5, SK6, and SK7 were used in the survey.

Question A12 poses the issue of clarity in the use of numbers in the OPR. Essentially, for the assignment of any evaluation to be equitable, the constructs used to make up that evaluation must be clear to all. There is no room for confusion on marks. Table XXV provides the breakdown of the response to this issue.

A12 "The documentation and instructions provided with the OPMS assure there is no confusion in assigning numerical evaluations to Coast Guard officers."

TABLE XXV

Instructions Prevent Confusion ?

A12	Agree	Do not Agree
Capt	15.0%	85.0%
CDR	9.1%	90.9%
LCDR	11.6%	88.4%
LT	8.2%	91.8%
LTJG	27.0%	73.0%
ENS	20.0%	80.0%
Distribution By Total Sample	16.0%	84.0%

The response to the issue, as presented by question A12, clearly points to a problem for the OPMS. Again, those who most use the OPMS are those most negative . This is an alarming response to the author. It is a cause for great concern for those who would seek to improve any facet of the OPMS.

To test this issue further, Questions SK5 and SK6 ask for response concerning the assignment of numbers on the OPR and the subsequent impact of the numbers that might be assigned. The results are shown in Table XXVI and Table XXVII respectively.

SK5 "The numerical evaluation of three is what the majority of officers should receive."

TABLE XXVI

Most Officers Receive 3's on OPR?

SK5	Agree	Do not agree
Capt	65.0%	35.0%
CDR	52.4%	47.6%
LCDR	62.8%	37.2%
LT	57.6%	42.4%
LTJG	53.1%	42.9%
ENS	80.0%	20.0%
Distribution By Total Sample	59.2%	40.8%

The response to question SK5 is inconclusive by itself; it merely shows ambivalence regarding the assignment of the number three on the OPR. Yet, when question SK6 is considered with these data, then the confusion on this matter becomes apparent. Many officers think that it is proper to assign the majority of officers the number three; yet, they overwhelmingly perceive that a three is insufficient for promotion.It would be logical to infer that these same officers would foster the nonpromotion of the majority of the corps; yet, this is obviously not the case in fact! Thus, the ambivalence results from confusion regarding the process of assigning numbers to the OPR and lack of clarity concerning their impact on promotion. Certainly, this issue looms to block successful integration and acceptance of the OPMS.

SK6 "The numerical evaluation of three is sufficient to assure the promotion of a qualified officer."

TABLE XXVII

A 3 is Sufficient for Promotion?

SK6	Agree	Do not Agree
Capt	10.0%	90.0%
CDR	4.8%	95.2%
LCDR	10.7%	89.3%
LT	11.9%	88.1%
LTJG	22.2%	77.8%
ENS	20.0%	80.0%
Distribution By Total Sample	64.6%	35.4%

The equity of the OPMS is further explored by question SK7. This question probes the issue of fairness as a function of system knowledge. Table XXVIII shows the response the responses to this issue.

SK7 "I am satisfied that I know enough concerning the value of numerical marks to be fair to myself and others."

The strength of this response, when viewed in the context of the preceeding two questions, indicates an area of concern for the OPMS. The dichotomy of response on questions SK5 and SK6 points to confusion. The stark statement gathered in SK7 indicates summarily that the groundwork for inequity has been laid and may well permeate the OPMS unless this issue is dealt with. Clearly 90.0% of the senior officers polled are confused on these issues. There is basis for alarm here.

TABLE XXVIII

We Know Enough to be Fair?

SK7	Agree	Do not agree
Capt	25.0%	75.%
CDR	23.8%	76.2%
LCDR	17.6%	82.4%
LT	13.3%	86.7%
LTJG	16.1%	83.9%
ENS	20.0%	80.0%
Distribution By Total Sample	17.4%	82.6%

8. Do We Know What Performance is Neccessary for Promotion ?

The objectives of appraisal systems may be many and varied. The essential ingredient is that they are delineated. A specific function of the OPMS is the link of appraisal to promotion. An appraisal system so linked to promotion can be most effective by clearly and consistently advertising and rewarding the global set of behaviors, activities, and actions that it desires of those whom it would serve to promote. Behaviorists teach us that an organization may best modify behavior, or develop the professionalism of the officer corps, by effectively advertising what behavior is desired, and then stroking that behavior through the organizational reward system, that is the appraisal system. To this end, an appraisal system must have clear goals and clear rewards. The path between the two needs to be clear, consistant, and unobstructed.

To measure the perceptions of the officer corps regarding this issue, questions R25, SK12a, and SK12b were used.

Question R25 poses the issue of clarity versus confusion concerning numbers which are assigned to an officer's OPR, and the impact of those numbers on promotability. The paradigm is, essentially, that where confusion reigns, clarity of purpose is lost. Table XXIX displays the overall reaction of the sample to this issue.

R25 "I am confused concerning the impact that the numbers on the OPR have on the promotability of officers."

TABLE XXIX

Numbers and Promotability Confusing?

R25	Agree	Do not Agree
Capt	68.4%	31.6%
CDR	77.3%	22.7%
LCDR	77.9%	22.1%
LT	82.0%	18.0%
LTJG	81.2%	18.8%
ENS	80.0%	20.0%
Distribution By Total Sample	79.0%	21.0%

The response to R25 is quite revealing. Clearly 70.0% of the senior officers polled are not certain of the impact their appraisals may have . This type of uncertainty breeds the inflationary trends that were cited as the basis for scrapping the previous FA system, the Officer Fitness Reporting System.

This issue is further explored with questions SK12A and SK12B. Here the issue is whether the OPMS helps an officer to determine which performance(s) are organizationally rewarded with promotion. The summary results are shown in Table XXX and Table XXXI.

SK12A "My knowledge of the OPMS enables me to determine what perfcrmance is necessary to assure the promotion ... of deserving juniors."

TABLE XXX

Know What is Required of Juniors?

SK12A	Agree	Do not Agree
Capt	15.0%	85.0%
CDR	19.0%	81.0%
LCDR	21.6%	78.4%
LT	6.9%	93.1%
LTJG	22.0%	78.0%
ENS	14.3%	85.7%
Distribution By Total Sample	17.1%	82.9%

SK12B "My knowledge of the OPMS enables me to determine what perfcrmance is necessary to assure the promotion ... of myself."

TABLE XXXI

Know What is Required of Self?

SK12B	Agree	Do not Agree
Capt	15.0%	85.5%
CDR	14.3%	85.7%
LCDR	20.0%	80.0%
LT	10.0%	90.0%
LTJG	26.5%	73.5%
ENS	20.0%	80.0%
Distribution		
By Total Sample	18.5%	81.5%

The responses to these last two questions demonstrate unequivocally that the officer corps does not know what performance is necessary to assure promotion and that the OPMS does little to foster the type of performance desired by the service, since it is unknown . Multitudes of behaviorists would find this to be quite alarming. Given that a stated objective of the OPMS was the growth and development of the officer corps, one might conclude that it has failed to meet its objectives on the basis of these last two responses.

B. CONCLUSIONS

These findings tend to support the thesis put forth by Bhatia in a study of personnel appraisal in government [Ref. 35]. Bhatia's study discloses that fewer than 8.3% of the Fortune 500 companies report highly successful MBO implementations. He goes on to question the efficacy of MBO in government organization by asking bluntly, " Can it really work?"

The initial analyses of the survey results indicate that the support base requisite for success does not exist today in the U.S. Coast Guard. Rather, there is at best a lukewarm acceptance of the service's major MBO effort, the OPMS. Where there is resistance to the OPMS, it is rampant.

The respondents to this study, and by extension, the Coast Guard Officer Corps, show high resistance to the OPMS in areas of (1) uniform applicability of the system, (2) payback-- whether it is worth the effort, (3) priority-- that it interferes with existing priorities, (4) organizational context-- whether it is right for the service, (5) equity-- that it may not fairly measure performance or potential, and (6) reward structure-- that the system does not adequately identify behaviors necessary for promotion and consequently does not stroke positive behavior. As a result, it should come as no surprise that there is an overwhelming felt need for improvement or change to the OPMS.

1. Uniformity

The analyses reveal unquestionably that the OPMS is percieved to be applied to the officer corps in a non-uniform fashion. The officer corps believes that the application of the OPMS is a function of grade, career field, and district of assignment. The author will not debate whether this belief is based in fact or not. The reality is that the officers believe it to be true. This is a devastingly devisive perception that may have negative consequences not only for the OPMS, but for corps unity as well.

2. Payback

The analyses of the data support the position that the OPMS is not worth the time and effort it requires, that the organizational payback for using the system does not

foster its use. This perception of the officer corps may prevent the OPMS from being accepted as the thing to do. The OPMS in its present form may take a back seat to more rewarding tasks.

3. Priority

The analyses of the data support the position that there is not enough time for the new priorities mandated by the OPMS. This system hinders the performance of other primary and collateral duties performed by the senior officers polled. The OPMS will likely be placed on the proverbial "back burner" as intervening priorities override the demands of the OPMS.

4. Organizational Context

The analyses of the data support the position that the OPMS is only moderately well fitted into the organizational context of the Coast Guard. While there appears to be moderate support for the OPMS in the supervision and growth functions, there is abject opposition to the system in the selection and promotion functions. The OPMS must be more closely tailored to the organizational context of the Coast Guard to gain greater acceptance.

5. Equity

The analyses of the data strongly support the position that the OPMS is inherently unfair, even at this early stage, because of the widespread confusion concerning the impacts and uses of the numbers and the limited understanding by the corps of the value of numerical marks when assigned. This issue of inequity must be viewed in the greater context of the links among performance evaluation, promotion, and the career impacts of successive non-selection. The Officer Fitness Reporting System, which was

replaced by the CPMS, was replaced in a large part due to these issues. It is inappropriate to bridle ourselves with a massive appraisal system that is not at least incrementally more effective in this dimension than the one it replaced.

6. Reward Structure

The analyses of the data support the position that the officer corps does not know what performance is necessary for promotion and that the OPMS does little to foster the type(s) of performance desired by the service, since that performance is unknown. Behaviorists tell us that it is appropriate to stroke desired behavior in order to reinforce that behavior. This appraisal process does not stroke desired behavior, largely because that behavior remains undefined by the OPMS. Behaviorally anchored rating scales (BARS) have not had the desired effect in this regard.

7. Need for Change

The analyses of the data overwhelmingly support the position that there is a felt need for change to the OPMS. Exactly what change and when is unclear. However, the previous six dimensions certainly reflect conditions that are ripe for improvement The perceptions of the corps, whether accurate or not, are truly what will drive this appraisal system to success or failure. It is not too early at this point to focus attention on apparent trouble spots within the system.

C. WHERE TO GO FROM HERE ?

The preliminary analyses of the data collected by this research effort indicate the foregoing conclusions to be substantially supportable. Additional, in-depth analyses of these data most assuredly will support the conclusions

implied herein . It is hoped and intended that the Coast Guard Headquarters (G-OPES) staff will use these data for the betterment of the appraisal systems to the collective good of all Coast Guard officers. This research project reveals the collective response of a highly representative sample of the officer corps. Their frank opinions should not go unheeded.

APPENDIX A

OPMS STUDY: THE SURVEY

Introduction

Thank You.. for taking the time to participate in this survey. Hopefully, it will not require more than 30 minutes to complete.

We would like to have your FRANK RESPONSE to the following questions. These questions concern the operation of the Officer Performance Management System (OPMS). We hope to learn of your present Reactions, Attitudes, and Knowledge concerning this system.

The information gained from the analysis of your responses will be used at Headquarters to evaluate the effectiveness of the Officer Performance Management System (OPMS).

Additionally, your responses will form an essential portion of a research project at the Naval Postgraduate School, Monterey, California. This project is being conducted by a Coast Guard Officer.

You have been selected through a random process. This process intends to sample the opinion of a representative cross-section of active duty Coast Guard Officers.

Your responses will be (1) Anonymous and (2) Confidential. There is no mechanism included in this survey designed to link the remarks back to the individual making these remarks.

Knowing this, we hope you will be encouraged to make frank and honest responses to the questionnaire.

We will ask you for some limited demographic information. This will be used to validate the sampling process. It is important to us to know the type of officers responding to this survey. This information will have no other usage.

For clarity, the use of abbreviations in this questionnaire is limited. The following terms will be abbreviated:

Officer Performance Management System	(OPMS)
Officer Support Form	(OSF)
Officer Performance Report	(OPR)
Leadership and Management School	(LAMS)

Thank You

Demographics

Please indicate your response to each of the following questions and subquestions by placing a check mark in the parentheses (__).

Example

What is the color of your eyes?

(a) Blue	(43)	
(b) Brown	(60)	
(c) Green	(38)	Miss
(d) Other (Please Specify)	(23)	101

End of Example

(1) What is (are) your present role(s) in the OPMS process?

My role includes action

(a) as the reported on officer.	(127)
(b) as the supervising officer.	(64)
(c) as the reporting officer.	(40)
(d) as the reviewer officer.	(33)
(e) Other (Please specify)	(01)

---

(2) How many reporting cycles have you completed?

(a) one cycle	(97)
(b) two cycles	(137)
(c) three cycles	(23)
(d) This is my first cycle.	(07)
(e) Other (Please specify).	(01)

---

(3) In general terms, what is your area of career specialty?

(a)	Surface Operations	(68)	
(b)	Aviation	(47)	
(c)	Engineering	(50)	
(d)	Marine Inspection/Protection	(50)	
(e)	Manpower/Pers/Training/Education	(21)	
(f)	Financial/Logistics	(08)	
(g)	Legal	(07)	Miss
(h)	Other (Please specify)	(09)	05

---

(4) Where is your present assignment?

Afloat (40) Ashore (225)
Duties Assigned:

CO(28) XO(19) EO(04) OPS(07) DIFOPS(18)
DIVCH (24) BRCH (22) DEPBRCH (30) OTHER(113)

(5) What is your present grade?

(a)	Captain	(20)	
(b)	Commander	(22)	
(c)	Lieutenant Commander	(86)	
(d)	Lieutenant	(62)	
(e)	Lieutenant(junior grade)	(64)	
(f)	Ersign	(10)	Miss
(g)	Warrant (W1 through W4)	(00)	01

(6) How many officers do you report on as a supervisor?

_____ (Please enter the correct number)

None	(130)	
1 - 3	(83)	Miss
More than 3	(51)	01

(7) How many officers do you report on as a reporting officer?

_____ (Please enter the correct number)

None	(194)	

1 - 3 (27)

4 - 6 (23)

More than 15 (05) 01

We do not desire any further demographic information. Please continue on to the next section of this survey.

Survey Instructions

Thank You.. for coming this far in the survey!

If you do not wish to continue, please seal the edge of the survey booklet and retufn it by mail . We will be sorry if you don't continue. We still wish to thank you for the data that you have provided at this point.

If you do wish to continue, please read on. You will finc the questions to be relevant and thought provoking.

The fcllowing questions are designed to capture your frank cpinions. For simplicity in scoring the data, most quest- ions have multiple-choice answers. You may select as many or as few of the responses which apply to you.

In the event that we have not been able to include an appro- priate response cption, please provide a narrative comment which best describes your response. Space has been provided at each question for this purpose.

For the questions that follow, please place a check ( ) in the parentheses that correspond to ycur response.

Please write any additional comments directly on the survey fcrm in the space provided.

Again, Thank You.

Section I

(1) Considering all of your experiences so far with the OPMS process, what is your overall reaction to the entire system?

(a)	Very positive	(10)	
(b)	Positive	(107)	
(c)	Borderline	(97)	
(d)	Negative	(39)	MISS
(e)	Very Negative	(09)	02

(1a) What is the best part of using OPMS?

Counseling (28) Feedback (76) Other (137)

Missing (24)

(1b) How good is this best part of OPMS?

(a)	Superior	(17)	
(b)	Outstanding	(54)	
(c)	Excellent	(89)	
(d)	Very Good	(49)	
(e)	Good	(27)	MISS
(f)	Borderline	(10)	15

(1c) What is the worst part of using OPMS?

Paperwork (38) Time (108) Other (100)

Missing (19)

(1d) How bad is this worst part?

(a)	Extremely bad	(55)	
(b)	Very bad	(43)	
(c)	Bad	(36)	
(d)	Unsatisfactory	(44)	
(e)	Poor	(43)	MISS
(f)	Borderline	(34)	10

(2) What are your overall reactions to the readability of the following documents which describe how to use and operate the OPMS?

Desk Guide

(a) Very positive (39)
(b) Positive (152)
(c) Borderline (50)
(d) Negative (08) MISS
(e) Very Negative (01) 15

COMDTINSTR 1611.10

(a) Very positive (18)
(b) Positive (136)
(c) Borderline (87)
(d) Negative (11) MISS
(e) Very Negative (03) 10

(3) In general, what is your reaction to the clarity of directions provided by the following documents?

Desk Guide

(a) Very positive (23)
(b) Positive (164)
(c) Borderline (54)
(d) Negative (06) MISS
(e) Very Negative (01) 15

COMDTINSTR 1611.10

(a) Very positive (13)
(b) Positive (143)
(c) Borderline (87)
(d) Negative (08) MISS
(e) Very Negative (04) 10

(4) In general, what is your reaction to the overall consistency of the directions and guidance provided by these two documents?

(a) Very positive (10)
(b) Positive (172)
(c) Borderline (63)
(d) Negative (07) MISS
(e) Very negative (01) 12

(5) In general, what has been your overall reaction to the feedback you have received during the evaluation cycle (six months)..

from your supervisor?

(a) Very positive (29)
(b) Positive (112)
(c) Borderline (65)
(d) Negative (11)
(e) Very negative (04)
(f) None received (44)

from your reporting officer?

(a) Very positive (20)
(b) Positive (74)
(c) Borderline (46)
(d) Negative (09)
(e) Very negative (03)
(f) None received (113)

(6) In general, what is your overall reaction to the negative feedback you may have received during your evaluation cycle..

from your supervisor?

(a) Very positive (18)
(b) Positive (89)
(c) Borderline (28)
(d) Negative (17)
(e) Very negative (02)
(f) None received (111)

from your reporting officer?

(a) Very positive (07)
(b) Positive (55)
(c) Borderline (34)
(d) Negative (08)
(e) Very negative (02)
(f) None received (159)

(7) In general, what is your overall reaction to the positive feedback you may have received during your evaluation cycle...

from your supervisor?

(a) Very positive (33)
(b) Positive (132)
(c) Borderline (43)
(d) Negative (04)
(e) Very negative (00)
(f) None received (53)

from your reporting officer?

(a) Very positive (25)
(b) Positive (77)
(c) Borderline (43)
(d) Negative (04)
(e) Very negative (01)
(f) None received (115)

(8) What has been your reaction to the accuracy of the information which is included on your Officer Performance Report, as the Reported on Officer?

(a) Very positive (37)
(b) Positive (142)
(c) Borderline (57)
(d) Negative (15) MISS
(e) Very negative (05) 09

(9) How would you describe the skill of your superiors in providing the feedback you have received in the OPMS cycle..

your supervisor?

(a)	Very competent	(31)
(b)	Competent	(101)
(c)	Borderline	(77)
(d)	Incompetent	(16)
(e)	Very Incompetent	(05)
(f)	None received	(35)

your reporting officer?

(a)	Very competent	(33)
(b)	Competent	(71)
(c)	Borderline	(57)
(d)	Incompetent	(07)
(e)	Very Incompetent	(05)
(f)	None received	(92)

(10) How much training on your OPMS duties have you received from the Coast Guard? (Please estimate.)

Weeks___ Days___ Hours___

(10a) Where did you receive this training?

(a)	CG TRACEN L.A.M.S.	(08)	When?_____
(b)	Implementation team	(111)	
(c)	On the job training	(12)	
(d)	Coast Guard Seminars	(87)	
(e)	Other, please specify	(14)	

Combiration (31)

No training received (02)

(11) How much training on supervision and evaluation using the principles of objective and goal setting have you received from the Coast Guard? (Please estimate.)

Weeks___ Days___ Hours___

(11a) Where did you receive this training?

(a)	CG TRACEN L.A.M.S.	(33)	When?_____
(b)	Implementation team	(41)	
(c)	On the job training	(20)	
(d)	Coast Guard Seminars	(43)	
(e)	Other, please specify	(19)	

Combination (28)

No training received (82)

(12) How much training on interpersonal relations, conflict resolution, or counseling techniques have you received from the Coast Guard? (Please estimate.)

Weeks___ Days___ Hours ___

(12a) Where did you receive this training?

(a)	CG TRACEN L.A.M.S.	(59)	When?_____
(b)	Implementation team	(18)	
(c)	On the job training	(17)	
(d)	Coast Guard Seminars	(26)	
(e)	Other, please specify	(38)	

Combination (35)

No training received (72)

(13) In general, how would you describe this training overall?

(a)	Exceptionally good	(59)	
(b)	Somewhat good	(87)	
(c)	So-so	(48)	
(d)	Somewhat poor	(22)	MISS
(e)	Exceptionally poor	(14)	35

(14) In general, what is your reaction to the adequacy of the training?

(a)	Very adequate	(30)	
(b)	Adequate	(93)	
(c)	Borderline	(58)	
(d)	Inadequate	(35)	MISS
(e)	Very Inadequate	(22)	27

(15) How would you describe the effectiveness of the training you have received on your OPMS duties?

(a)	Very effective	(05)	
(b)	Effective	(115)	
(c)	Borderline	(92)	
(d)	Ineffective	(34)	MISS
(e)	Very Ineffective	(11)	08

(16) How would you describe your current level of training regarding your counseling and appraisal duties?

(a)	Very adequate	(22)	
(b)	Adequate	(106)	
(c)	Borderline	(77)	
(d)	Inadequate	(40)	MISS
(e)	Very Inadequate	(09)	11

(17) How would you describe the ability of your reporting officer in performing his OPMS counselling and appraisal duties?

(a)	Very competent	(29)	
(b)	Competent	(108)	
(c)	Borderline	(87)	
(d)	Incompetent	(21)	MISS
(e)	Very Incompetent	(13)	07

Please indicate the degree to which you agree or disagree with the following statements by placing a check mark (___) in the appropriate parenthesis.

(18) I am frustrated when I try to get definitive answers concerning the significance of the numbers on the OER.

(a)	Strongly agree	(84)	
(b)	Agree	(69)	
(c)	Neutral	(80)	
(d)	Disagree	(20)	MISS
(e)	Strongly disagree	(08)	04

(19) In general , the amount of time required for my OPMS duties has not been excessive.

(a)	Strongly agree	(20)
(b)	Agree	(69)
(c)	Neutral	(32)

(d)	Disagree	(64)	MISS
(e)	Strongly disagree	(79)	01

(20) In general, the number of officers I supervise is not excessive.

(a)	Strongly agree	(74)	
(b)	Agree	(88)	
(c)	Neutral	(52)	
(d)	Disagree	(03)	MISS
(e)	Strongly disagree	(07)	41

AD-A128 605 US COAST GUARD OFFICER PERFORMANCE MANAGEMENT SYSTEM: AN ANALYSIS OF CURR..(U) NAVAL POSTGRADUATE SCHOOL MONTEREY CA P J POPIESKI MAR 83 2/2

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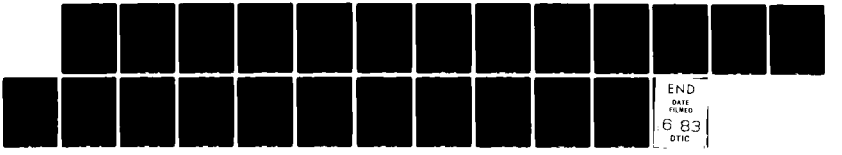

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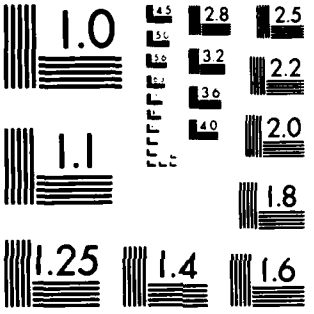

(21) In general, the number of officers I supervise and/or report on is about right.

(a)	Strongly agree	(31)	
(b)	Agree	(74)	
(c)	Neutral	(82)	
(d)	Disagree	(21)	MISS
(e)	Strongly disagree	(13)	44

(22) In general, my superiors have been able to devote enough time to me to meet my OPMS needs.

(a)	Strongly agree	(12)	
(b)	Agree	(76)	
(c)	Neutral	(47)	
(d)	Disagree	(74)	
(e)	Strongly disagree	(54)	

(23) Right now, OPMS takes too much time to do it right.

(a)	Strongly agree	(103)	
(b)	Agree	(64)	
(c)	Neutral	(43)	
(d)	Disagree	(44)	MISS
(e)	Strongly disagree	(10)	10

(24) Right now, I really like using the OPMS for counseling and supervising but I do not like the idea of using it as a basis for promotion.

(a)	Strongly agree	(27)	
(b)	Agree	(54)	
(c)	Neutral	(90)	
(d)	Disagree	(63)	MISS
(e)	Strongly disagree	(26)	05

(25) I am confused concerning the impact that the numbers on the OPR have on the promotability of officers.

(a)	Strongly agree	(102)	
(b)	Agree	(105)	
(c)	Neutral	(32)	
(d)	Disagree	(19)	MISS
(e)	Strongly disagree	(05)	02

Section II

Please indicate how you feel concerning the following statements.

(1) The OPMS is a good way, overall, to accomplish per- formance evaluation in the Coast Guard.

(a)	Strongly agree	(17)	
(b)	Agree	(108)	
(c)	Neutral	(68)	
(d)	Disagree	(47)	MISS
(e)	Strongly disagree	(23)	02

(2) Use of the OPMS is a good way to select qualified officers for promotion.

(a)	Strongly agree	(13)	
(b)	Agree	(93)	
(c)	Neutral	(81)	
(d)	Disagree	(59)	MISS
(e)	Strongly disagree	(27)	02

(3) The OPMS provides me with the information that I need to perform my duties.

(a)	Strongly agree	(28)
(b)	Agree	(106)
(c)	Neutral	(49)
(d)	Disagree	(59)
(e)	Strongly disagree	(21)

(4) The OPMS provides me with the information I need to assess my promotion potential.

(a)	Strongly agree	(05)	
(b)	Agree	(43)	
(c)	Neutral	(54)	
(d)	Disagree	(104)	MISS
(e)	Strongly disagree	(57)	02

(5) The OPMS will provide the promotion boards with the information needed to fairly and accurately promote qualified officers.

(a)	Strongly agree	(08)

(b) Agree (50)
(c) Neutral (87)
(d) Disagree (74)
(e) Strongly disagree (42)

(6) A primary function of the OPMS is to provide accurate information to help..

(a) promotion boards to select qualified officers for promotion. (50)

(b) assignment panels to select qualified officers for appropriate positions. (06)

(c) detailers to make assigment decisions. (05)

(d) provide performance feedback to enhance the personal growth of the officers corps. (101)

(e) Other (Please specify) (10)

Combiration above (92)

Missing (01)

(6a) Which function of the OPMS is the most important to you?

(a)	Promotion boards	(02)
(b)	Assignment panels	(10)
(c)	Detailer's decisions	(06)
(d)	Performance feedback	(128)
(e)	Other (Please specify).	(08)

Combiration above (20)

Missing (01)

(7) The OPMS provides a fair and accurate evaluation of my past performance.

(a)	Strongly agree	(07)	
(b)	Agree	(126)	
(c)	Neutral	(66)	
(d)	Disagree	(42)	MISS
(e)	Strongly disagree	(15)	15

(8) The OPMS provides a fair and accurate assessment of my future potential as a Coast Guard officer

(a)	Strongly agree	(06)	
(b)	Agree	(73)	
(c)	Neutral	(96)	
(d)	Disagree	(67)	MISS
(e)	Strongly disagree	(17)	06

(9) The OPMS is being applied uniformly to all grades of Coast Guard Officers.

(a)	Strongly agree	(01)
(b)	Agree	(29)

(c)	Neutral	(106)	
(d)	Disagree	(66)	MISS
(e)	Strongly disagree	(50)	13

(10) The OPMS is being applied uniformly in all career fields for Coast Guard officers.

(a)	Strongly agree	(01)	
(b)	Agree	(21)	
(c)	Neutral	(116	
(d)	Disagree	(61)	MISS
(e)	Strongly disagree	(47)	19

(11) The OPMS is being applied uniformly in all duty assign- ments throughout the Coast Guard.

(a)	Strongly agree	(00)	
(b)	Agree	(14)	
(c)	Neutral	(106)	
(d)	Disagree	(68)	MISS
(e)	Strongly disagree	(59)	18

(12) The documentation and instructions provided with the OPMS assure there is no confusion in assigning numerical evaluations to Coast Guard Officers.

(a)	Strongly agree	(03)	
(b)	Agree	(39)	
(c)	Neutral	(55)	
(d)	Disagree	(123)	MISS
(e)	Strongly disagree	(43)	02

(13) I have been able to find satisfactory answers to all my questions concerning the OPMS from the written instructions provided with the system.

(a)	Strongly agree	(03)	
(b)	Agree	(79)	
(c)	Neutral	(64)	
(d)	Disagree	(104)	MISS
(e)	Strongly disagree	(13)	02

(13a) The Headquarters (G-OPES) Staff have been helpful in providing satisfactory answers to the questions I have posed to them concerning the OPMS.

(a)	Strongly agree	(07)	
(b)	Agree	(33)	
(c)	Neutral	(57)	
(d)	Disagree	(18)	
(e)	Strongly disagree	(26)	MISS
(f)	Does not apply to me	(122)	02

(14) The training provided at the initial stage of OPMS is all that will be required by me in my career.

(a)	Strongly agree	(04)	
(b)	Agree	(32)	
(c)	Neutral	(43)	
(d)	Disagree	(129)	MISS
(e)	Strongly disagree	(50)	07

(15) No further training is required for me to perform my OPMS duties.

(a)	Strongly agree	(07)	
(b)	Agree	(63)	
(c)	Neutral	(41)	
(d)	Disagree	(118)	MISS
(e)	Strongly disagree	(34)	02

(16) No further training is required for my superiors to perform their OPMS duties.

(a)	Strongly agree	(03)	
(b)	Agree	(35)	
(c)	Neutral	(64)	
(d)	Disagree	(106)	MISS
(e)	Strongly disagree	(54)	03

(17) No further training is required for my juniors to perform their OPMS duties.

(a)	Strongly agree	(03)	
(b)	Agree	(29)	
(c)	Neutral	(65)	
(d)	Disagree	(105)	MISS
(e)	Strongly disagree	(38)	25

(18) My questions concerning use of the OPMS can be resolved by my immediate rating superiors.

(a)	Strongly agree	(01)	
(b)	Agree	(58)	
(c)	Neutral	(70)	
(d)	Disagree	(105)	MISS
(e)	Strongly disagree	(28)	03

(19) My questions concerning use of the OPMS can be resolved by Commandant (G-OPES Staff).

(a)	Strongly agree	(08)	
(b)	Agree	(81)	
(c)	Neutral	(124	
(d)	Disagree	(34)	MISS
(e)	Strongly disagree	(05)	13

(20) There is no confusion concerning the assignment of numerical evaluations on the OPR.

(a)	Strongly agree	(01)
(b)	Agree	(24)
(c)	Neutral	(44)

(d)	Disagree	(117)	MISS
(e)	Strongly disagree	(74)	05

(21) I have no questions concerning the impact of numbers assigned on my OPR.

(a)	Strongly agree	(04)	
(b)	Agree	(19)	
(c)	Neutral	(19)	
(d)	Disagree	(127)	MISS
(e)	Strongly disagree	(93)	03

(22) I have no questions concerning the impact of the numbers I assign to my officers on their OPR(s).

(a)	Strongly agree	(02)	
(b)	Agree	(10)	
(c)	Neutral	(68)	
(d)	Disagree	(83)	MISS
(e)	Strongly disagree	(62)	40

(23) As a counseling and developmental tool, the OPMS is a good method.

(a)	Strongly agree	(75)	
(b)	Agree	(147)	
(c)	Neutral	(27)	
(d)	Disagree	(09)	MISS
(e)	Strongly disagree	(04)	03

(24) The time and effort I spend on documenting, counseling, and feedback with my juniors are worth it.

(a)	Strongly agree	(34)	
(b)	Agree	(62)	
(c)	Neutral	(73)	
(d)	Disagree	(40)	MISS
(e)	Strongly disagree	(13)	43

(25) The time and effort I spend on documenting, counseling, and feedback with my superiors are worth it.

(a)	Strongly agree	(42)	
(b)	Agree	(92)	
(c)	Neutral	(54)	
(d)	Disagree	(53)	MISS
(e)	Strongly disagree	(17)	07

(26) In general the OPMS pays back what I put into it.

(a)	Strongly agree	(34)	
(b)	Agree	(73)	
(c)	Neutral	(65)	
(d)	Disagree	(62)	MISS
(e)	Strongly disagree	(26)	05

(27) I have enough time on my job to perform my OPMS duties.

(a)	Strongly agree	(16)	
(b)	Agree	(108)	
(c)	Neutral	(35)	
(d)	Disagree	(56)	MISS
(e)	Strongly disagree	(48)	02

(28) The performance of my OPMS duties does not hinder the performance of my other primary duties.

(a)	Strongly agree	(20)	
(b)	Agree	(108)	
(c)	Neutral	(37)	
(d)	Disagree	(62)	MISS
(e)	Strongly disagree	(36)	02

(29) The performance of my OPMS duties does not hinder the performance of my collateral duties.

(a)	Strongly agree	(19)	
(b)	Agree	(101)	
(c)	Neutral	(37)	
(d)	Disagree	(62)	MISS
(e)	Strongly disagree	(36)	03

(30) My supervisor has taken enough time with me to be able to complete the reports required by OPMS.

(a)	Strongly agree	(07)	
(b)	Agree	(93)	
(c)	Neutral	(53)	
(d)	Disagree	(71)	MISS
(e)	Strongly disagree	(37)	04

(31) I am confident that I will be promoted if I typically receive three's (3's) as a numerical mark on my Officer Performance Report.

(a)	Strongly agree	(04)	
(b)	Agree	(13)	
(c)	Neutral	(58)	
(d)	Disagree	(95)	MISS
(e)	Strongly disagree	(88)	07

(32) I am not afraid to risk failure by stretching my goals on the OSF.

(a)	Strongly agree	(31)	
(b)	Agree	(97)	
(c)	Neutral	(55)	
(d)	Disagree	(61)	MISS
(e)	Strongly disagree	(20)	01

(33) I am confident that an individual would still be selected for promotion even if he did not reach all of his goals as stated on the OSF.

(a)	Strongly agree	(15)	
(b)	Agree	(128)	
(c)	Neutral	(54)	
(d)	Disagree	(48)	MISS
(e)	Strongly disagree	(12)	08

(34) I have established the proper rapport with my supervisor to receive an accurate performance evaluation.

(a)	Strongly agree	(25)	
(b)	Agree	(136)	
(c)	Neutral	(57)	
(d)	Disagree	(27)	MISS
(e)	Strongly disagree	(17)	01

(35) My supervisor is performing his OPMS duties as required by the regulations.

(a)	Strongly agree	(20)	
(b)	Agree	(104)	
(c)	Neutral	(46)	
(d)	Disagree	(57)	MISS
(e)	Strongly disagree	(37)	01

(36) No improvements to the OPMS are necessary to make it an effective tool for performance evaluation.

(a)	Strongly agree	(00)
(b)	Agree	(18)
(c)	Neutral	(55)

(d)	Disagree	(104)	MISS
(e)	Strongly disagree	(86)	02

(37) No improvements to the OPMS are necessary to make it an effective tool for selecting qualified officers for promotion.

(a)	Strongly agree	(02)	
(b)	Agree	(16)	
(c)	Neutral	(58)	
(d)	Disagree	(110)	MISS
(e)	Strongly disagree	(76)	03

(38) Immediate improvements to the OPMS are necessary to make it an effective tool for selecting qualified officers for promotion.

(a)	Strongly agree	(55)	
(b)	Agree	(73)	
(c)	Neutral	(89)	
(d)	Disagree	(35)	MISS
(e)	Strongly disagree	(08)	05

(39) As an organization, we are doing the right thing by using this system (OPMS) for development and supervision.

(a)	Strongly agree	(45)	
(b)	Agree	(125)	
(c)	Neutral	(48)	
(d)	Disagree	(35)	MISS
(e)	Strongly disagree	(11)	01

(40) As an organization, we are doing the right thing by using this system (OPMS) as the basis for promoting qualified officers.

(a)	Strongly agree	(14)	
(b)	Agree	(66)	
(c)	Neutral	(94)	
(d)	Disagree	(65)	MISS
(e)	Strongly disagree	(24)	02

(41) Management by objectives is an appropriate approach to military personnel management for use in the Coast Guard.

(a)	Strongly agree	(39)	
(b)	Agree	(129)	
(c)	Neutral	(51)	
(d)	Disagree	(33)	MISS
(e)	Strongly disagree	(11)	02

Section III

(1) In general, I know what numerical evaluations to assign my officers when completing the OPR.

(a)	Strongly agree	(06)	
(b)	Agree	(71)	
(c)	Neutral	(74)	
(d)	Disagree	(57)	MISS
(e)	Strongly disagree	(09)	48

(2) My junior officers know exactly what marks to expect on the basis of the narrative I have provided.

(a)	Strongly agree	(02)	
(b)	Agree	(45)	
(c)	Neutral	(109)	
(d)	Disagree	(48)	MISS
(e)	Strongly disagree	(07)	54

(3) The reporting officer knows what numerical marks to assign when the narrative is properly completed.

(a)	Strongly agree	(03)	
(b)	Agree	(62)	
(c)	Neutral	(94)	
(d)	Disagree	(79)	MISS
(e)	Strongly disagree	(11)	16

The following questions refer to section seven (7) of the Officer Performance Report, Adherence to Coast Guard Standards.

(4) A numerical evaluation of three on any item in section seven is an excellent mark.

(a)	Strongly agree	(03)	
(b)	Agree	(12)	
(c)	Neutral	(53)	
(d)	Disagree	(148)	MISS
(e)	Strongly disagree	(45)	04

(5) The numerical evaluation of three is what the majority of officers should receive.

(a)	Strongly agree	(18)	
(b)	Agree	(137)	
(c)	Neutral	(62)	
(d)	Disagree	(33)	MISS
(e)	Strongly disagree	(11)	04

(6) The numerical evaluation of three is sufficient to assure the promotion of a qualified officer.

(a)	Strongly agree	(05)	
(b)	Agree	(30)	
(c)	Neutral	(83)	
(d)	Disagree	(109)	MISS
(e)	Strongly disagree	(31)	07

(7) I am satisfied that I know enough concerning the value of numerical marks to be fair to myself and others.

(a)	Strongly agree	(05)	
(b)	Agree	(40)	
(c)	Neutral	(55)	
(d)	Disagree	(113	MISS
(e)	Strongly disagree	(46)	06

(8) I am satisfied that I know enough concerning the value of numerical marks to advise my juniors when they have questions.

(a)	Strongly agree	(02)	
(b)	Agree	(32)	
(c)	Neutral	(65)	
(d)	Disagree	(96)	MISS
(e)	Strongly disagree	(39)	31

(9) In practice this section is always written by the reporting officer, not by someone else at his direction.

(a)	Strongly agree	(20)	
(b)	Agree	(64)	
(c)	Neutral	(77)	
(d)	Disagree	(71)	MISS
(e)	Strongly disagree	(25)	08

This concludes the questions that are solely concerned with section seven (7) of the OPR.

(10) My supervisor has complied with the OPMS counseling requirements without undue prompting by me.

(a)	Strongly agree	(25)	
(b)	Agree	(86)	
(c)	Neutral	(35)	
(d)	Disagree	(76)	MISS
(e)	Strongly disagree	(40)	03

(11) My initial, mid-period, and end-of-period counseling sessions were conducted by my supervisor within the time limits established by Commandant.

(a)	Strongly agree	(24)	
(b)	Agree	(77)	
(c)	Neutral	(29)	
(d)	Disagree	(90)	MISS
(e)	Strongly disagree	(41)	04

(12) My knowledge of the OPMS enables me to determine what performance is necessary to assure the promotion...

of deserving juniors.

(a)	Strongly agree	(06)	
(b)	Agree	(34)	
(c)	Neutral	(83)	
(d)	Disagree	(88)	MISS
(e)	Strongly disagree	(25)	29

of myself.

(a)	Strongly agree	(06)	
(b)	Agree	(42)	
(c)	Neutral	(73)	
(d)	Disagree	(105)	MISS
(e)	Strongly disagree	(35)	04

(13) I am certain of what actions are required of me by the OPMS.

(a)	Strongly agree	(15)	
(b)	Agree	(179)	
(c)	Neutral	(40)	
(d)	Disagree	(22)	MISS

(e) Strongly disagree (07) 02

(14) I know which office to call in my District to resolve issues of conflict concerning the OPMS.

(a)	Strongly agree	(21)	
(b)	Agree	(107)	
(c)	Neutral	(35)	
(d)	Disagree	(72)	MISS
(e)	Strongly disagree	(20)	10

(15) I know which office to call at Headquarters to resolve issues of conflict concerning the OPMS.

(a)	Strongly agree	(27)	
(b)	Agree	(125)	
(c)	Neutral	(32)	
(d)	Disagree	(62)	MISS
(e)	Strongly disagree	(16)	03

(16) I have the skills that are required to carry out all my OPMS duties.

(a)	Strongly agree	(30)	
(b)	Agree	(153)	
(c)	Neutral	(36)	
(d)	Disagree	(37)	MISS
(e)	Strongly disagree	(06)	03

(17) My superiors have the skills required to carry out their OPMS duties.

(a)	Strongly agree	(20)	
(b)	Agree	(135)	
(c)	Neutral	(60)	
(d)	Disagree	(39)	MISS
(e)	Strongly disagree	(08)	03

(18) My juniors have the skills required to carry out their OPMS duties.

(a)	Strongly agree	(12)	
(b)	Agree	(92)	
(c)	Neutral	(88)	
(d)	Disagree	(28)	MISS
(e)	Strongly disagree	(07)	38

This is the end of the survey. An additional page is provided for your remarks.

When you have finished, please seal the edge of the survey booklet with tape or a staple, and return it by mail.

Comments

Please use the remaining space to provide whatever additional comments you may have.

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