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NAF (NONAPPROPRIAT. (U) AIR FORCE HUMAN RESOURCES LAB
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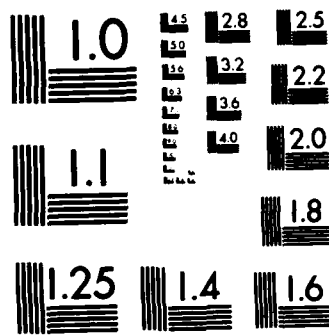
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**HUMAN
RESOURCES**

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**NONAPPROPRIATED FUND EMPLOYEES: DEVELOPMENT
OF REVISED NAF EMPLOYEE APPRAISAL FORM**

By

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Brooks Air Force Base, Texas 78235**

July 1984

Final Paper for period January 1982-September 1983

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The Public Affairs Office has reviewed this paper, and it is releasable to the National Technical Information Service, where it will be available to the general public, including foreign nations.

This paper has been reviewed and is approved for publication.

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19. ABSTRACT (Continue on reverse if necessary and identify by block number) The Air Force Nonappropriated Fund (NAF) employee appraisal form (AF Form 2544, NAF Supervisor's Appraisal) was revised in format and content. A joint Air Force Human Resources Laboratory and Office of Civilian Personnel Operations working group initially identified a set of 30 preliminary appraisal factors that had face validity for inclusion in an employee appraisal system. Further working group review reduced the set to 23 items. These were then presented to a group of airman basic trainees for the purpose of determining if the items were readable and understandable. Minor modifications were made to the wording of the items based upon this review. Air Staff review and recommendations further reduced the list to 20 items. The items were then presented to supervisors of approximately 1,500 NAF employees. The supervisors ranked the 20 items on the basis of essentiality (criticality) to the position held by the employee concerned and, in addition, the supervisor rendered an experimental performance evaluation on the employee using each of the appraisal items that was applicable to the position held by the employee. A 5-point rating scale (1 = less than satisfactory; 5 = outstanding) was used in the rating process. A zero rating indicated that the item was not applicable to the employee being evaluated. Supervisory ranking/rating data were provided to a nine-member selection board who selected, edited, and rewrote a final set of 13 appraisal items. Eleven of the appraisal items are used to evaluate all NAF employees (if applicable to the position), with two additional items reserved for NAF supervisory personnel. The selection board also approved the inclusion of an annual performance rating with a 5-point rating scale (1 = unsatisfactory; 5 = outstanding). The revised form (AF Form 2544, NAF Employee Appraisal) was accepted by OCPO/MPKMN on 30 September 1983 with an expected implementation date early in 1984.					
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**NONAPPROPRIATED FUND EMPLOYEES: DEVELOPMENT
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By

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**Lonnie D. Valentine, Jr., Chief
Force Acquisition Branch**

This publication is primarily a working paper. It is published solely to document work performed.

TABLE OF CONTENTS

	Page
I. Introduction	4
II. Procedure	5
Preliminary Appraisal Item Determination	5
Job-Relatedness Determination (Content Validity)	7
Operational Appraisal Item Selection and Format Determination	8
III. Results	9
IV. Summary and Recommendation	12
References	13
Appendix A: Appraisal Items Selected from the Civilian Potential Appraisal System	14
Appendix B: NAF Supervisor's Appraisal, AF Form 2544, March 1980	16
Appendix C: Performance Appraisal Behavioral Dimension Review and Evaluation Format	19
Appendix D: Tentative List of 23 Appraisal Items Reviewed by AF/MPK	23
Appendix E: NAF (Nonappropriated Fund) Supervisor's Experimental Appraisal	26
Appendix F: Field Input Provided to the Selection Board	34

LIST OF ILLUSTRATIONS

Figure	Page
1 Revised AF Form 2544	10

LIST OF TABLES

Table	Page
1 Percentage of Basic Airmen Responding Affirmatively to Five Questions about Appraisal Items	6
2 Employee Sample Demographics	8
3 Essentiality Ranking of 20 Appraisal Items	9
C-1 List of Appraisal Items	22
F-1 Supervisors' Mean Experimental Performance Ratings	35

PREFACE

This effort concludes Request for Personnel Research (RPR) 81-07, Nonappropriated Fund (NAF) Supervisory Appraisal of Employee Performance. It was performed under work unit 77341001, Development of Air Force Civilian Appraisal Systems.

Appreciation is expressed to the following military and civilian members of the United States Air Force who willingly gave of their time and expertise in this effort: Ms. Charlene Bradley (AF/MPK), Ms. Loraine C. Buchanan (12ABG/SSB), Mr. John Burke (OCPO/MPKMN), Mr. Roger Feedham (OCPO/MPKMN), Ms. Pat Golub (6570ABG/SSRY), Mr. William Hurst (SA-ALC/SSB), Major E. T. McSweeney (AFMPC/MPCSM), Ms. Boots Riley (OCPO/MPKMN), Major Frank S. Salinas (AFMPC/MPCSOH), and Mr. William Stacy (OCPO/MPKE).

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Nonappropriated Fund Employees: Development
of Revised NAF Employee Appraisal Form

I. INTRODUCTION

There is a relatively small group of United States Air Force civilian employees (approximately 25,000) who are not paid from the Treasury of the United States. This group, Nonappropriated Fund (NAF) employees, is regulated, controlled, and protected by a special set of rules and regulations; although, in certain cases, some of the regulations that apply to Appropriated Fund employees may also apply to the NAF employees. Consequently, these employees are not affected by the Civil Service Reform Act (CSRA) of 1978, which required development of new appraisal systems for civilian employees (Senior Executive Service, General Manager, General Schedule, and Federal Wage Grade employees).

The most pertinent Air Force regulation (AFR) for Air Force NAF employees is AFR 40-7, Nonappropriated Funds Personnel Management and Administration. Since NAF employees were not affected by the newly developed Job Performance Appraisal System (JPAS), the Civilian Potential Appraisal System (CPAS), the General Manager Appraisal System (GMAS), or the Senior Executive Appraisal System (SEAS), the Office of Civilian Personnel Operations (OCPD/MPKMN) asked the Air Force Human Resources Laboratory (AFHRL) to develop a new or revised AF Form 2544, NAF Supervisor's Appraisal. This report addresses research and development (R & D) in response to that Request for Personnel Research (RPR 81-07, Nonappropriated Fund (NAF) Supervisory Appraisal of Employee Performance).

The major focus of RPR 81-07 was to develop a revised AF Form 2544 that would meet the Uniform Guidelines of 1978 (Federal Register, 1978). To meet the Uniform Guidelines, it is necessary that a selection instrument produce no adverse impact. As McCulloch (1981, p. 25) says, "Simply stated, as the term adverse impact has been defined in the Uniform Guidelines, there is no adverse impact if the worst-performing group is achieving at a rate of 80 percent as well as the best-performing group." The groups, for the purpose of the Uniform Guidelines, are those defined by their various racial and sexual identities. Whether adverse impact exists, however, can be determined only through comprehensive record keeping after a test or selection device (in this case, an appraisal form) has been implemented.

Action can be taken at the onset of this type of R & D to ensure that the approach incorporates a method of job analysis to ensure the job-relatedness (content validity) of the appraisal form, both during development and after implementation. It is inherent in rating/ranking tasks that a supervisor perform at least an informal job analysis of the employee's position. Without at least an informal job analysis, the supervisor would be unable to rank appraisal items on criticality or to decide which items were not applicable to the employee being evaluated. An appraisal form that has content validity and a well established development audit trail is defensible should an adverse impact situation arise.

The following ground rules for development of the new/revised AF Form 2544 were enumerated by OCPD personnel: (a) the format of the AF Form 2544 (March 1980) would not be substantially changed, (b) the scoring system would

not be substantially changed, and (c) the only substantial changes might involve the appraisal elements.

The purpose of this Technical Paper is to document the development of the revised appraisal form and thus provide an available audit trail. Statistical analyses were not performed, other than computation of simple means of supervisory ratings of appraisal items and criticality rankings.

II. PROCEDURE

Preliminary Appraisal Item Determination.

Since R & D had been recently completed at AFHRL on development and implementation of the CPAS (Gould, Black, & Cummings, in press), a set of job-related (content valid) appraisal items was readily available. Fourteen of the appraisal elements used in the CPAS (AF Form 1287, USAF Civilian Potential Appraisal) were judged to have face validity for use in the NAF employee appraisal system (see Appendix A). These appraisal items, referred to in CPAS as behavioral dimensions, did not have item headers (e.g., Approach to Work). Appropriate headers were, however, used in the experimental work done by Gould et al. (in press) in the development of the behavioral dimensions for the CPAS. These headers were added to the 14 CPAS dimensions to make them parallel with NAF appraisal items. These 14 elements were pooled with the 16 elements already in the March 1980 version of AF Form 2544 (see Appendix B).

A working group composed of AFHRL and OCPD personnel shortened this set of 30 items by deleting redundant elements that had resulted from merging the two lists. The following four CPAS items were deleted: Approach to work (1), Completion of Work (3), Understanding of Others (7), and Originality in Work (8). Three items from AF Form 2544, NAF Supervisor's Appraisal, were deleted (see Appendix B): Leadership (4), Interest and Enthusiasm (6), and Getting Along with People (10).

An interim set of 23 items remained which were rewritten into a similar format. In some cases, major changes in the wording were made to improve understanding. For example, item 3 of AF Form 2544 reads, "Cost Consciousness. Evaluate the employee's conservation of time and materials. Does the employee consider whether costs are justified before making or proposing changes?" This statement was rewritten (see Appendix C) as follows: "[COST CONSCIOUSNESS ON THE JOB] The employee does not waste time and makes efficient use of materials." In some cases the item header was changed (e.g., the CPAS item 6 header was changed from "Responsiveness to Instruction" to "Follows Instructions"). Changes made may be seen by comparing Appendices A and B with Appendix C. The appraisal items listed in Appendix C are annotated with the original source (i.e., CPAS or NAF) for easy reference.

The 23 items were reviewed for readability and understandability by two flights of airmen (N = 81) who were newly assigned to Lackland AFB for basic training. Flights of basic airmen are typically composed of recent Air Force enlistees and consist of young men and women possessing varying levels of education and varied racial and ethnic backgrounds from widely separated geographical areas.

The airmen were asked to read each appraisal item and to indicate whether (a) they understood the statement, (b) the statement made sense as written, (c) any words were not understood, (d) they could rewrite the statement in a clearer or easier to understand form, and (e) they would be satisfied to have their performance evaluated using the item. The airmen reported almost no difficulty in understanding the items or words, agreed that the items made sense, and they would have no objection to being evaluated on the statements; however, they could not rewrite the elements in a more simple manner.

Table 1 shows the percentage of airmen responding affirmatively to each of the five questions. On question 4, the affirmative responses ranged from a low of 13% for appraisal item 16 to a high of 51% for appraisal item 3.

Table 1. Percentage of Basic Airmen Responding Affirmatively to Five Questions About Appraisal Items (N = 81)

Appraisal Item	Question ^a				
	1	2	3	4	5
1	96	90	1	43	84
2	96	91	1	31	84
3	96	85	8	51	80
4	99	96	4	25	93
5	86	79	15	46	84
6	100	98	1	29	91
7	100	96	0	34	90
8	99	99	0	25	89
9	96	96	5	37	94
10	98	95	5	39	84
11	100	98	0	29	94
12	100	99	0	20	94
13	94	95	8	26	87
14	98	98	3	19	85
15	99	99	4	21	95
16	99	97	0	13	95
17	99	98	0	34	93
18	100	100	0	18	98
19	99	99	1	26	97
20	96	97	8	21	96
21	100	100	0	20	96
22	100	99	1	28	93
23	99	96	0	18	95

Note: See Table C-1, Appendix C, for appraisal item definition.

- ^aQuestion:
1. Did you understand the statement?
 2. Does the statement make sense to you?
 3. Are there any words in the statement you don't know or understand?
 4. Could you rewrite this statement so that it means the same, but is easier to read and understand?
 5. Would you be satisfied to know that your job performance was being evaluated using this statement?

Attempts by the airmen to rewrite the statements were judged unsatisfactory by the AFHRL and OCPD working group. However, since a few of the airmen had some difficulty in reading and/or understanding some of the items, the working group reviewed them again and made some minor revisions.

The revised items (see Appendix D) were submitted to the Director of Civilian Personnel (AF/MPK) for review. Suggestions made by the Chief, Employee Relations Division, Directorate of Civilian Personnel resulted in rewrite of several of the items for clarity and removal of additional redundancies, leaving a set of 20 appraisal items (see Appendix E). Deleted from the list were items 12 (Pride in Work), 15 (Attendance at Work), and 23 (Adaptability to Work). Items 10 (Ability to Work Under Pressure) and 17 (Cooperation with Others) were changed slightly, while the header for item 15 was changed from "Learning Ability" to "Adaptability to Work."

Job-Relatedness Determination (Content Validity)

The 20 tentative appraisal items were incorporated into an experimental appraisal booklet (see Appendix E) for field tryout of the rating scale and collection of supervisory essentiality (criticality) rankings of the appraisal items. A sample of NAF employee positions was identified (N = 2,000) from 46 of the largest Air Force bases within the Continental United States. The NAF sample specification was restricted to full-time employees at each base. Approximately 10% of the total NAF positions were randomly identified across all base functions, job series, pay schedules, and pay grades by base. Civilian Personnel Officers (CPOs) at the affected bases were asked to identify the supervisor of the employee filling an identified position in order to obtain performance ratings on the employees.¹ In the event a particular position was vacant, CPOs were asked to substitute positions with similar job types. Supervisors² were asked to rate employees on each of 20 appraisal items using a 5-point rating scale (1 = less than satisfactory; 5 = outstanding, with a zero indicating that the appraisal item was not appropriate or applicable to the position or the employee being evaluated).

In addition, each supervisor rank-ordered the appraisal items to reflect their essentiality (essentiality was defined for the supervisor in the data collection instrument shown in Appendix E) in evaluating the employee for his or her particular position. Thus, a supervisor rating more than one employee

¹NAF personnel record keeping is not automated and no centralized record of sex/racial/ethnic grouping is readily available. The final sample depended to a great extent on the ability of the CPO at the selected bases to provide an equitable sex/racial/ethnic balance from those NAF employees and supervisors willing to participate in this study. In addition, bases experience continually high turnover of NAF employees, resulting in rapid changes in assigned personnel, and substitutions were made by the CPO in some cases. For these reasons, caution should be used in projecting from this sample to the total NAF population.

²The exact number of individual supervisors was not specified. Since more than one employee of any particular supervisor might have been included in the sample, more than likely the number of rating officials was less than the number of employees rated.

could vary the ranking of the 20 items from one employee to another. Instructions to the supervisors directed that the most essential item be ranked number 1, with the least essential item receiving rank number 20. No tied ranks were permitted. Supervisors were also asked to add performance factors they considered essential in the NAF employee evaluation process. Only 20 supervisors added statements. These added items were reviewed by the working group but were judged to be either repetitious, previously considered and rejected, or specific to one particular job or individual. None was judged suitable for retention in the revised appraisal form.

Voluntary responses by the supervisors initially produced a return rate slightly higher than 75% of the employee sample (N = 1,501).³ This high return rate indicates that the supervisors were interested and took their experimental rating/ranking task seriously. Table 2 shows the sex and racial/ethnic classification of those employees who were evaluated.

Table 2. Employee Sample Demographics

Sex	Racial/Ethnic Grouping				Unknown	Total
	Black	Caucasian	Hispanic	Other		
Female	171	568	49	88	15	891
Male	153	374	53	19	9	608
Unknown					2	2
Total	324	942	102	107	26	1,501

Table 3 shows the appraisal item titles and the mean essentiality (criticality) rank order awarded to the items by the supervisors. The rank order of the items based on the supervisor's mean essentiality rank is also shown. Supervisors' mean essentiality ranking was derived by summing the ranks assigned by the supervisors to each appraisal item and then dividing by the total number of times the item was ranked.

Operational Appraisal Item Selection and Format Determination

A nine-member selection board, including both military and civilian employees from several Major Commands and Separate Operating Agencies from three San Antonio area military bases and from Washington, D.C., was convened to select a final set of appraisal items for the revised AF Form 2544. The board selected, rewrote, and edited a final set of appraisal items, using field input, together with the members' extensive knowledge and experience in

³An additional 226 (total N = 1,727; 86% of the employee sample) supervisory ranking/ratings were received too late to be included in these analyses.

Table 3. Essentiality Ranking of 20 Appraisal Items^a

Appraisal Item Title	Supervisors' Mean Rank	Rank Order	Appraisal Item Title	Supervisors' Mean Rank	Rank Order
Quality of work	4.08	1	Adaptability	11.13	11
Skill in work	5.73	2	Cooperation	11.54	12
Volume of work	5.88	3	Leadership	12.51	13
Dependability	7.08	4	Personal appearance	12.66	14
Self-sufficiency	7.94	5	Work habits	12.75	15
Follows instructions	8.80	6	Supervisory ability	13.31	16
Initiative	9.03	7	Safety mindedness	13.77	17
Authority acceptance	9.29	8	Speaking ability	13.84	18
Ability to work	9.43	9	Managerial ability	15.03	19
Cost consciousness	10.17	10	Writing ability	15.73	20

^aFor the operational definition and full title of each of the appraisal items, see Appendix E.

the NAF area. The board also established the final format of the revised AF Form 2544 which included a 5-point annual performance rating scale in addition to the appraisal item ratings. The annual performance rating was formerly rendered separately from the employee appraisal. Data from the supervisors' field input were provided to the board members to assist them in their tasks (see Table 3 and Appendix F).

III. Results

The final form approved by the board (see Figure 1) included 13 appraisal items (11 items applicable to all personnel and 2 items that are mandatory for use in evaluating supervisors only). When rating personnel, supervisors determine which of the 11 items applicable to all personnel are appropriate for rating the individual. Ten of the 11 all-employee items were ranked by the supervisors within the top 12 rank positions on essentiality (criticality) to the employee's job. While Managerial Ability was ranked 19, this probably reflects nonapplicability of that item to nonsupervisory employees (all 20 items were ranked regardless of the supervisory status of the employee). Items 2 (Volume of Work Performed), 5 (Ability to Work Under Pressure), 7 (Adaptability to Work), 9 (Skill in Work), 10 (Follows instructions), and 11 (Quality of Work Produced) were accepted by the selection board without change.

Minor changes were made by the board to items 1 (Cost Consciousness on the Job), 4 (Managerial Ability), 6 (Cooperation With Others), and 8 (Initiative). Item 3 (Dependability in Work) was originally called "Self Sufficiency." The change made by the board encompassed the intent of both the

SUPERVISORY APPRAISAL ELEMENTS (evaluate supervisors on both elements)			RATING
12. LEADERSHIP QUALITIES. The employee cooperates with others and gains the necessary cooperation of his or her subordinates as reflected by the subordinates willingness to accept or follow the supervisor's advice or suggestion.			
13. SUPERVISORY ABILITY. The employee performs supervisory tasks in an acceptable manner, such as directing and training others, overseeing and documenting work activities, selecting and evaluating personnel, or implementing management directives.			
RATING COMPUTATION FOR SUPERVISORY EMPLOYEES			
SUM OF RATINGS (elements 1 - 13)	BLOCK E	NUMBER OF ELEMENTS RATED	BLOCK F
ENTER THE TOTAL FROM THE RATING COLUMN		ENTER THE TOTAL NUMBER OF ELEMENTS ON WHICH THE EMPLOYEE WAS RATED	
RESULT	BLOCK G	FINAL SUPERVISORY RATING	BLOCK H
DIVIDE BLOCK 'E' BY BLOCK 'F' (ROUNDED TO NEAREST DECIMAL)		MULTIPLY BLOCK 'G' BY 10	
EMPLOYEE'S ANNUAL PERFORMANCE RATING (Check one box)			
1. <input type="checkbox"/> UNSATISFACTORY		4. <input type="checkbox"/> VERY GOOD	
2. <input type="checkbox"/> MINIMALLY SATISFACTORY		5. <input type="checkbox"/> OUTSTANDING	
DATE APPRAISED	PRINT OR TYPE NAME AND GRADE OF FIRST LEVEL (Rating) SUPERVISOR		DUTY PHONE
SIGNATURE OF FIRST LEVEL (Rating) SUPERVISOR			
DATE REVIEWED	PRINT OR TYPE NAME AND GRADE OF REVIEWING MANAGER		DUTY PHONE
SIGNATURE OF REVIEWING MANAGER			
DATE DISCUSSED WITH EMPLOYEE	EMPLOYEE'S SIGNATURE		
REMARKS			

dependability and self-sufficiency headers. Of the two supervisory items (items 12 and 13), item 12 (Leadership Qualities) was accepted as written, but item 13 (Supervisory Ability) was changed slightly, with both items reserved expressly for supervisors.

The 11 all-employee appraisal items were arranged in the revised AF Form 2544 in a random order and were followed by the two supervisory items. Separate, but identical, procedures to compute the employee's performance appraisal score were included on the form for nonsupervisors and supervisors, and an annual performance rating section (not previously included on the AF Form 2544) was approved by the board. Similar appraisal forms have been successfully defended in the courts (for example, see the discussion of Mastie v. Great Lakes Steel Corp., Gill v. Union Carbide Corp., and Stringfellow v. Monsanto Co. in McCulloch (1981, pp. 118-132)).

IV. SUMMARY AND RECOMMENDATION

Revision of the AF Form 2544 was based on careful and detailed review of candidate materials by several groups knowledgeable of the NAF job area and included review for understandability by a sample of Air Force basic trainees of varied background. Based on these analyses, it was recommended that the revised AF Form 2544 be accepted for operational implementation in the appraisal of NAF employees.

The revised AF Form 2544 was approved by the selection board on 8 September 1983 and accepted by OCPD/MPKMN on 30 September 1983. AFHRL delivered the final photo-ready copy of the form to the RPR requirements manager by letter in November 1983. Operational implementation is scheduled for 1984.

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APPENDIX A: APPRAISAL ITEMS SELECTED FROM THE
CIVILIAN POTENTIAL APPRAISAL SYSTEM

CIVILIAN POTENTIAL APPRAISAL SYSTEM ITEMS

1. [APPROACH TO WORK] The employee is energetic on the job; is willing to exert effort accomplishing tasks.
2. [SKILL IN WORK] The employee performs job-associated tasks well, whether they require physical, mechanical, technical, professional, or managerial skills; is considered very skillful on the job.
3. [COMPLETION OF WORK] The employee follows through well; accomplishes all tasks required to complete a job in a timely manner on his/her own.
4. [SELF-SUFFICIENCY] The employee works independently with little need for additional supervision or help.
5. [LEADERSHIP QUALITIES] The employee inspires others to action; accomplishes goals by having a positive influence on the behavior of others.
6. [RESPONSIVENESS TO INSTRUCTION] The employee understands and carries out oral or written instructions.
7. [UNDERSTANDING OF OTHERS] The employee understands the behavior of fellow workers, superiors, and subordinates and schedules work demands accordingly.
8. [ORIGINALITY IN WORK] The employee devises new solutions to problems; creates new methods and procedures for accomplishing objectives.
9. [PRIDE IN WORK] The employee takes pride in doing good work and producing a first-rate product; strives to be best at whatever he/she does.
10. [SPEAKING ABILITY] The employee explains, instructs, and converses with others in a clear and effective manner.
11. [WRITING ABILITY] The employee prepares written materials that are effective and easily understood.
12. [LEARNING ABILITY] The employee picks up new ideas and procedures quickly; is easy to instruct; can adapt to the demands of a new situation.
13. [SUPERVISORY ABILITY] The employee's ability to direct and train others, oversee and document work activities, select and evaluate personnel, implement management directives, or substitute for absent supervisor.
14. [MANAGERIAL ABILITY] The employee's ability to implement Air Force directives and regulations; plan, organize, and monitor work projects; represent the unit through demonstrations or briefings.

APPENDIX B: NAF SUPERVISOR'S APPRAISAL,
AF FORM 2544, MARCH 1980

NAF SUPERVISOR'S APPRAISAL

PRINT OR TYPE NAME OF EMPLOYEE BEING RATED (Last, First, Middle Initial)

SSAN

EMPLOYEE'S POSITION, TITLE AND GRADE

FUND AND CODE

RATING CODE:

1 - NEEDS IMPROVEMENT

2 - SATISFACTORY

3 - ABOVE SATISFACTORY

4 - VERY GOOD

5 - OUTSTANDING

APPRAISAL ELEMENTS

RATING

1. **QUALITY OF WORK PRODUCED.** Do completed work products consistently meet or exceed high standards of accuracy and thoroughness? If a supervisor, also consider quality of work produced within the organization supervised.

2. **VOLUME OF WORK PRODUCED.** Are time schedules met and a high rate of productivity maintained? If a supervisor, also consider rate of productivity within the organization supervised.

3. **COST CONSCIOUSNESS.** Evaluate the employee's conservation of time and materials. Does the employee consider whether costs are justified before making or proposing changes?

4. **LEADERSHIP.** (Supervisory positions only.) To what extent do others actively cooperate with this employee and follow his/her advice or suggestions? Is the organization supervised noted for high morale, productivity, and quality of work?

5. **PERSONAL APPEARANCE AND HABITS.** Evaluate the employee in terms of neatness and cleanliness in personal appearance, habits, and dress, according to the requirements of the position.

6. **INTEREST AND ENTHUSIASM.** How much interest does the employee show in his/her work? Does the employee get in a full day's work, exerting full effort every day?

7. **AUTHORITY ACCEPTANCE.** Does the employee respect the authority of his/her supervisor? Consider the extent the employee is willing to take legitimate orders without resentment.

8. **ABILITY TO WORK UNDER PRESSURE.** Does the employee operate effectively under pressure of deadlines? Can the employee meet a tight suspense date with a quality product and not become upset so that it affects his/her work?

9. **DEPENDABILITY.** Does the employee show dependability and reliability? Can the employee be relied upon to perform adequately when his/her supervisor is absent?

10. **GETTING ALONG WITH PEOPLE.** Does the employee work harmoniously with supervisors and co-workers? Do others like to work with him/her?

11. **INITIATIVE.** Does the employee show the desired initiative? Is the employee a self-starter?

12. **ATTENDANCE.** How dependable is the employee in attendance? Does the employee report absences promptly, and keep sick leave usage to a minimum?

13. **WORK HABITS.** Does the employee keep the work area clean, neat, and orderly? Does he/she take good care of all tools, materials, and equipment?

14. **COOPERATION.** Does the employee cooperate well with whomever he/she comes into contact? To what extent is he/she a good team worker and helpful with fellow workers?

15. **SAFETY MINDEDNESS.** Evaluate how knowledgeable the employee is in safety practices and in practicing them.

16. **ADAPTABILITY.** Evaluate how effectively the employee adjusts to new or changing situations without becoming upset and whether the employee shows a willingness to try out new ideas or operations.

RATING COMPUTATION (Rate the employee on each element, unless it is clearly not applicable to the employee's current job)

SUM OF RATINGS	BLOCK A	NUMBER OF ELEMENTS RATED	BLOCK B
ENTER THE TOTAL FROM THE RATING COLUMN		ENTER THE TOTAL NUMBER OF ELEMENTS ON WHICH THE EMPLOYEE WAS RATED	
RESULT	BLOCK C	FINAL RATING	BLOCK D
DIVIDE BLOCK 'A' BY BLOCK 'B' (ROUNDED TO NEAREST DECIMAL)		MULTIPLY BLOCK 'C' BY 10	

NOTE: The immediate supervisor will discuss the rating with the reviewing manager and the employee. Both supervisors and the employee will sign the appraisal before it is sent to the CCPO.

SUPERVISORY APPRAISAL (Continued)		
DATE APPRAISED	PRINT OR TYPE NAME AND GRADE OF FIRST LEVEL (RATING) SUPERVISOR	DUTY PHONE
SIGNATURE OF FIRST LEVEL (Rating) SUPERVISOR		
DATE REVIEWED	PRINT OR TYPE NAME AND GRADE OF REVIEWING MANAGER	DUTY PHONE
SIGNATURE OF REVIEWING MANAGER		
DATE DISCUSSED WITH EMPLOYEE	EMPLOYEE'S SIGNATURE	
REMARKS		

APPENDIX C: PERFORMANCE APPRAISAL BEHAVIORAL DIMENSION
REVIEW AND EVALUATION FORMAT

PERFORMANCE APPRAISAL BEHAVIORAL DIMENSION REVIEW AND EVALUATION

PLEASE ANSWER THE FOLLOWING QUESTIONS, BUT DO NOT PUT YOUR NAME OR SSAN ANYWHERE ON THIS SHEET OF PAPER.

1. Age in years? _____
2. Sex? _____
3. Race? _____
4. Educational level (circle 1 letter below):
 - a. Less than high school graduate.
 - b. High school graduate.
 - c. 1 year of college.
 - d. 2 years of college.
 - e. 3 years of college.
 - f. 4 years of college, but no degree.
 - g. College degree (BA, BS, or equivalent)
 - h. Some postgraduate work.
 - i. Advanced degree (MA, MS, or equivalent).
 - j. Advanced degree (PhD or equivalent).

THIS IS NOT A TEST, BUT MERELY AN ATTEMPT TO GET AN IDEA OF HOW WELL CERTAIN STATEMENTS ARE WRITTEN. ON EACH OF THE FOLLOWING PAGES IS A JOB PERFORMANCE EVALUATION STATEMENT THAT YOU ARE TO READ. FOLLOWING THE STATEMENT ARE SEVERAL QUESTIONS ABOUT THE STATEMENT. PLEASE ANSWER EACH QUESTION TO THE BEST OF YOUR ABILITY.

TURN THE PAGE AND START WITH THE FIRST STATEMENT AND THEN CONTINUE ON TO EACH FOLLOWING PAGE UNTIL FINISHED.

1. [QUALITY OF WORK PRODUCED] The employee completes work which meets or exceeds established standards of accuracy and thoroughness. (If employee is a supervisor, also consider the quality of work produced within the organization.)

DRAW A CIRCLE AROUND YOUR RESPONSE.

- | | | |
|--|-----|----|
| a. Did you understand the statement? | YES | NO |
| b. Does the statement make sense to you? | YES | NO |
| c. Are there any words in the statement that you don't know or understand? (If yes, draw a line under the word you do not know.) | YES | NO |
| d. Could you rewrite this statement so that it means the same, but is easier to read and understand? (If yes, rewrite the statement below - PLEASE PRINT.) | YES | NO |

- e. Assume for the moment that you are employed as a civilian.

Would you be satisfied to know that your job performance was being evaluated using this statement? (If no, state why you wouldn't like to be evaluated on this statement - PLEASE PRINT.)	YES	NO
---	-----	----

Table C-1. List of Appraisal Items

1. [QUALITY OF WORK PRODUCED] The employee completes work which meets or exceeds established standards of accuracy and thoroughness. (If employee is a supervisor, also consider the quality of work produced within the organization.) NAF 1
2. [VOLUME OF WORK PRODUCED] The employee meets time schedules and maintains expected rate of productivity. (If employee is a supervisor, also consider rate of production within the organization supervised.) NAF 2
3. [SKILL IN WORK] The employee performs job-associated tasks well, whether they require physical, mechanical, technical, professional, or managerial skills; is considered very skillful on the job. CPAS 2
4. [COST CONSCIOUSNESS ON THE JOB] The employee does not waste time and makes efficient use of materials. NAF 3
5. [LEADERSHIP QUALITIES] The employee cooperates with others and gains the full cooperation of his or her subordinates as reflected by the subordinates' willingness to accept or follow the supervisor's advice or suggestion. (Supervisory positions only.) CPAS 5 & NAF 4
6. [SELF-SUFFICIENCY] The employee works independently with little need for additional supervision or help. CPAS 4
7. [PERSONAL APPEARANCE AND HABITS] The employee maintains established levels of neatness and cleanliness in personal appearance, habits, and dress according to the requirements of the position. NAF 5
8. [FOLLOWS INSTRUCTIONS] The employee understands and carries out oral or written instructions. CPAS 6
9. [AUTHORITY ACCEPTANCE] The employee respects the authority vested in his or her supervisor and willingly accepts legitimate orders and directions without resentment or complaint. NAF 7
10. [ABILITY TO WORK UNDER PRESSURE] The employee works under pressure of deadlines and short suspenses and does not become upset so as to affect his or her work. NAF 8
11. [DEPENDABILITY IN WORK] The employee demonstrates dependability and reliability by working equally well regardless if supervisor is present or absent. NAF 9
12. [PRIDE IN WORK] The employee takes pride in doing good work. CPAS 9
13. [INITIATIVE] The employee is a self-starter and demonstrates initiative beyond immediately directed tasks. NAF 11
14. [SPEAKING ABILITY] The employee explains, instructs, and converses with others in a clear and effective manner. CPAS 10
15. [ATTENDANCE AT WORK] The employee strives to keep his or her absences from work to a minimum and promptly reports necessary known absences. NAF 12

16. [WRITING ABILITY] The employee prepares written materials that are effective and easily understood. CPAS 11

17. [LEARNING ABILITY] The employee picks up new ideas and procedures quickly; is easy to instruct; can adapt to the demands of a new situation. CPAS 12

18. [WORK HABITS] The employee maintains his or her work area in a clean, neat, and orderly manner; takes proper care of materials and equipment. NAF 3

19. [COOPERATION WITH OTHERS] The employee is a good team member, helpful with fellow workers; cooperates with whomever he or she contacts. NAF 14

20. [SUPERVISORY ABILITY] The employee demonstrates the ability to direct and train others, to oversee and document work activities, to select and evaluate personnel, to implement management directives, or to substitute for an absent supervisor. CPAS 13

21. [SAFETY MINDEDNESS] The employee uses safe work practices to ensure the health and well-being of self and co-workers. NAF 15

22. [MANAGERIAL ABILITY] The employee demonstrates the ability to plan, organize, and monitor work projects; represents the unit through demonstrations or briefings. CPAS 14

23. [ADAPTABILITY TO WORK] The employee accepts new or changing work situations without undue resistance and is willing to try new methods. NAF 16

APPENDIX D: TENTATIVE LIST OF 23 APPRAISAL
ITEMS REVIEWED BY AF/MPK

LIST OF APPRAISAL ITEMS REVIEWED BY AF/MPK

1. The employee completes work which meets acceptable standards of accuracy and thoroughness. [QUALITY OF WORK PRODUCED]
2. The employee meets time schedules and maintains expected rate of productivity. [VOLUME OF WORK PRODUCED]
3. The employee performs job-associated tasks well, whether they require physical, mechanical, technical, professional, or managerial skills; is considered very skillfull on the job. [SKILL IN WORK]
4. The employee does not waste time and makes efficient use of materials. (COST CONSCIOUSNESS ON THE JOB)
5. The employee cooperates with others and gains the full cooperation of his or her subordinates as reflected by the subordinates' willingness to accept or follow the supervisor's advice or suggestion. (Supervisory positions only) [LEADERSHIP QUALITIES]
6. The employee works independently with little need for additional supervision or help. [SELF-SUFFICIENCY]
7. The employee maintains established levels of neatness and cleanliness in personnal appearance, habits, and dress according to the requirements of the position. [PERSONAL APPEARANCE AND HABITS]
8. The employee understands and carries out oral and written instructions. [FOLLOWS INSTRUCTIONS]
9. The employee respects the authority vested in his or her supervisor and willingly accepts legitimate orders and directions without resentment or complaint. [AUTHORITY ACCEPTANCE]
10. The employee works under pressure of deadlines and short suspenses and does not become upset so as to affect his or her work. [ABILITY TO WORK UNDER PRESSURE]
11. The employee demonstrates dependability and reliability by working equally well regardless if the supervsor is present or absent. [DEPENDABILITY IN WORK]
12. The employee takes pride in doing good work. [PRIDE IN WORK]
13. The employee is a self-starter and demonstrates initiative beyond immediately directed tasks. [INITIATIVE]
14. The employee explains, instructs, and converses with others in a clear and effective manner. [SPEAKING ABILITY]
15. The employee strives to keep his or her absences from work to a minimum and promptly reports necessary known absences. [ATTENDANCE AT WORK]
16. The employee prepares written materials that are effective and easily understood. [WRITING ABILITY]

17. The employee picks up new ideas and procedures quickly; is easy to instruct; can adapt to the demands of a new situation. [LEARNING ABILITY]

18. The employee maintains his or her work area in a clean, neat, and orderly manner; takes proper care of materials and equipment. [WORK HABITS]

19. The employee is a good team member, helpful with fellow workers; cooperates with whomever he or she contacts. [COOPERATION WITH OTHERS]

20. The employee demonstrates the ability to direct and train others, to oversee and document work activities, to select and evaluate personnel, to implement management directives, or to substitute for an absent supervisor. [SUPERVISORY ABILITY]

21. The employee uses safe work practices to ensure the health and well-being of self and co-workers. [SAFETY MINDEDNESS]

22. The employee demonstrates the ability to plan, organize, and monitor work projects, represents the unit through demonstrations or briefings. [MANAGERIAL ABILITY]

23. The employee accepts new or changing work situations without undue resistance and is willing to try new methods. [ADAPTABILITY TO WORK]

APPENDIX E: NAF (NONAPPROPRIATED FUND) SUPERVISOR'S
EXPERIMENTAL APPRAISAL

AIR FORCE



**HUMAN
RESOURCES**

NAF

[NONAPPROPRIATED FUND]

SUPERVISOR'S EXPERIMENTAL APPRAISAL

LABORATORY

AIR FORCE SYSTEMS COMMAND

BROOKS AIR FORCE BASE, TEXAS 78235

USAF SCN 83-2
Expires 1 October 1983

PRIVACY ACT STATEMENT

AUTHORITY: 10 U. S. C., 8012, Secretary of the Air Force, Powers, Duties, Delegation by Compensation; and E.O. 9397, 22 Nov 43, Numbering System for Federal Account Relating to Individual Persons.

PRINCIPAL PURPOSE: This information will be used solely for Air Force Research and Development Purposes. Use of the Social Security Account Number is necessary to make positive identification of the individual and records.

ROUTINE USES: Information provided will be treated as confidential, will be used for official research purposes only by the Air Force Human Resources Laboratory, and will only be investigated and reported in group statistics. Although individuals are identified by name and SSAN, the research information obtained will be used only to improve or modify AF Form 2544, NAF Supervisor's Appraisal.

DISCLOSURE IS VOLUNTARY: However, failure to provide information would hinder the Air Force's ability to improve the effectiveness of the civilian personnel system.

INSTRUCTIONS

1. **PURPOSE:** The Air Force Human Resources Laboratory has been directed to revise the current NAF Supervisor's Appraisal, AF Form 2544. As part of this effort, it is necessary that NAF employee supervisors become involved to the extent of providing an experimental performance appraisal on some of their employees. Also, supervisors are asked to rank order some appraisal items that may be included on the revised AF Form 2544. There are three steps for you to complete in this performance appraisal. Each step is fully described to you. You should discuss this experimental performance appraisal with the employee being evaluated and you should emphasize to the employee that the experimental performance appraisal will not directly affect him or her. No record will be made of the appraisal, nor will any personnel action be taken because of this appraisal. This appraisal will only be used to assist in the revision of AF Form 2544.
2. **EMPLOYEE IDENTIFICATION:** The Civilian Personnel Office may have completed this section or, if not, will provide the information to be entered here.
3. **RATING OFFICIAL IDENTIFICATION:** Enter your name, pay classification and grade level (if military, your rank), and enter the date you completed the evaluation.
4. **DIRECTIONS:** Turn the page and read the directions for Step 1 and then continue on as you complete each step.
5. **COMPLETED APPRAISAL:** Return the completed booklet to the Central Civilian Personnel Office (CCPO).

IDENTIFICATION SECTION

EMPLOYEE'S NAME (Last, First, M.I.) Card 1 (01-18)	PAY CLASS & GRADE (19-22)	SSAN (23-31)
POSITION OR JOB TITLE (32-51)	JOB SERIES NUMBER (52-55)	BASE OR LOCATION (56-59)
RACE AND/OR NATIONAL ORIGIN A <input type="checkbox"/> American Indian or Alaskan Native B <input type="checkbox"/> Asian or Pacific Islander C <input type="checkbox"/> Black, not of Hispanic origin D <input type="checkbox"/> Hispanic E <input type="checkbox"/> White, not of Hispanic origin O <input type="checkbox"/> Other (60)	SEX [<input type="checkbox"/>] Male [<input type="checkbox"/>] Female (61)	TOTAL TIME AS NAF EMPLOYEE (exclude any time credited for military service) Years _____ & Months _____ (62-64)
RATING OFFICIAL'S NAME	PAY CLASS & GRADE (65-68)	DATE
<p>INFORMATION IN THIS BLOCK MAY BE ENTERED BY THE RATING OFFICIAL IF KNOWN, OTHERWISE THE CCPO IS RESPONSIBLE FOR ENTERING THE INFORMATION.</p> <p>1. Employee's last annual performance rating (from AF Fm 971) [<input type="checkbox"/>] None [<input type="checkbox"/>] Outstanding [<input type="checkbox"/>] Satisfactory (69)</p> <p>2. Employee's last appraisal score (from AF Fm 2544) _____ (70-71)</p>		

STEP 1: Numbering Appraisal Items (Rank Order Numbers)

In this step you will be entering numbers in Column 1 following each of the appraisal items on pages 1 through 3. To help you give a number to each of the items, please read the definition of an essential job performance item shown below.

The appraisal item reflects a major or critical job performance action on the part of the employee. Failure to evaluate the employee on this item would cause an incomplete evaluation to be rendered on the employee's job performance.

Now read each of the appraisal items carefully. Find the one that you think is the MOST ESSENTIAL of all. Place the number "1" next to the item using Column 1. Now choose the NEXT MOST ESSENTIAL item and place the number "2" in Column 1. The next most essential appraisal item should be marked number 3, and the one following that should be marked number 4. Continue placing a number after each item until all items have been given a number. The last number that you should enter is number 20. Please double check to make sure that you have given each appraisal item a number.

STEP 2: Listing Other Essential Appraisal Items

There is some blank space following the last appraisal item. Use this space to write in any appraisal items which you think have been left off the list and which you think are essential in evaluating the employee.

STEP 3: Rating the Employee

You will now use Column 2 to actually rate the employee on ALL of the appraisal items. Use the rating scale shown at the top of each page. Enter your ratings in Column 2 for each of the appraisal items. If you think that an item does not apply to the employee, enter "0" after the item in Column 2. If the appraisal item does apply to the employee, choose any number from 1 to 5 from the rating scale and enter the number in Column 2.

WHEN YOU HAVE COMPLETED THIS BOOKLET, RETURN IT TO THE CENTRAL CIVILIAN PERSONNEL OFFICE (CCPO). THANK YOU FOR YOUR ASSISTANCE IN THIS PROJECT.

APPRAISAL RATING SCALE		Rank Order Number	Appraisal Rating
<u>RATING</u>	<u>APPRAISAL</u>		
0	Not applicable		
1	Less than satisfactory		
2	Needs improvement		
3	Satisfactory		
4	Very good		
5	Outstanding		
APPRAISAL ITEMS		COL 1	COL 2
1. The employee completes work which meets acceptable standards of accuracy and thoroughness. [QUALITY OF WORK PRODUCED]			
2. The employee meets time schedules and maintains expected rate of productivity. [VOLUME OF WORK PRODUCED]			
3. The employee performs job-associated tasks well, whether they require physical, mechanical, technical, professional, or managerial skills; is considered very skillful on the job. [SKILL IN WORK]			
4. The employee does not waste time and makes efficient use of materials. [COST CONSCIOUSNESS ON THE JOB]			
5. The employee cooperates with others and gains the necessary cooperation of his or her subordinates as reflected by the subordinates' willingness to accept or follow the supervisor's advice or suggestion. (Supervisory positions only.) [LEADERSHIP QUALITIES]			
6. The employee works independently with little need for additional supervision or help. [SELF-SUFFICIENCY]			
7. The employee maintains established levels of neatness and cleanliness in personal appearance, habits, and dress according to the requirements of the position. [PERSONAL APPEARANCE AND HABITS]			
8. The employee understands and carries out oral and written instructions. [FOLLOWS INSTRUCTIONS]			
9. The employee respects the authority vested in his or her supervisor and willingly accepts legitimate orders and directions without apparent resentment or complaint. [AUTHORITY ACCEPTANCE]			

APPRAISAL RATING SCALE		Rank Order Number	Appraisal Rating
<u>RATING</u>	<u>APPRAISAL</u>		
0	Not applicable		
1	Less than satisfactory		
2	Needs improvement		
3	Satisfactory		
4	Very good		
5	Outstanding		
APPRAISAL ITEMS		COL. 1	COL. 2
10. The employee performs well under pressure of deadlines and suspenses. [ABILITY TO WORK UNDER PRESSURE]			
11. The employee demonstrates dependability and reliability by working equally well regardless if the supervisor is present or absent. [DEPENDABILITY IN WORK]			
12. The employee is a self-starter and demonstrates initiative beyond immediately directed tasks. [INITIATIVE]			
13. The employee explains, instructs, and converses with others in a clear and effective manner. [SPEAKING ABILITY]			
14. The employee prepares written materials that are effective and easily understood. [WRITING ABILITY]			
15. The employee picks up new ideas and procedures quickly; is easy to instruct; can adapt to the demands of a new situation. [ADAPTABILITY TO WORK]			
16. The employee maintains his or her work area in a clean, neat, and orderly manner; takes proper care of materials and equipment. [WORK HABITS]			
17. The employee works well with fellow workers and cooperates with whomever he or she contacts. [COOPERATION WITH OTHERS]			
18. The employee demonstrates the ability to direct and train others, to oversee and document work activities, to select and evaluate personnel, to implement management directives, or to substitute for an absent supervisor. [SUPERVISORY ABILITY]			

APPRAISAL RATING SCALE		Rank Order Number	Appraisal Rating
<u>RATING</u>	<u>APPRAISAL</u>		
0	Not applicable		
1	Less than satisfactory		
2	Needs improvement		
3	Satisfactory		
4	Very good		
5	Outstanding		
APPRAISAL ITEMS		COL 1	COL 2
19. The employee uses safe work practices to ensure the health and well-being of self and co-workers. [SAFETY MINDEDNESS]			
20. The employee demonstrates the ability to plan, organize, and monitor work projects; represents the unit through demonstrations or briefings. [MANAGERIAL ABILITY]			

APPENDIX F: FIELD INPUT PROVIDED TO
THE SELECTION BOARD

Table F-1: Supervisors' Mean Experimental Performance Ratings

Item	Mean Rating										Total Sample
	Female					Male					
	Black	Caucasian	Hispanic	Other	Total	Black	Caucasian	Hispanic	Other	Total	
1	4.00	4.35	4.12	4.30	4.25	4.00	4.15	4.01	4.47	4.12	4.20
2	4.03	4.42	4.10	4.13	4.31	4.00	4.12	4.03	4.47	4.09	4.22
3	4.00	4.37	3.95	4.31	4.26	4.01	4.21	4.01	4.42	4.15	4.21
4	3.95	4.27	3.97	4.14	4.17	3.75	4.00	3.64	4.26	3.91	4.07
5	4.00	4.26	3.78	4.18	4.17	3.96	4.10	3.88	4.12	4.04	4.11
6	4.18	4.40	4.18	4.34	4.33	4.00	4.17	4.03	4.47	4.13	4.25
7	4.47	4.61	4.57	4.53	4.56	4.20	4.16	4.09	4.31	4.18	4.40
8	4.06	4.41	4.06	4.04	4.28	4.03	4.16	3.77	4.36	4.10	4.21
9	4.13	4.45	4.10	4.27	4.34	4.25	4.26	4.15	4.31	4.24	4.30
10	3.99	4.31	4.00	4.17	4.20	3.91	4.09	3.96	4.00	4.03	4.13
11	4.25	4.54	4.32	4.40	4.45	4.16	4.24	4.05	4.42	4.22	4.35
12	4.00	4.38	4.10	4.31	4.27	3.88	4.08	3.83	4.26	4.01	4.17
13	3.92	4.22	3.69	3.83	4.09	3.83	4.06	3.64	4.00	3.97	4.04
14	3.89	4.09	3.58	3.80	3.99	3.64	3.93	3.65	4.00	3.84	3.93
15	3.91	4.31	4.00	4.05	4.18	3.90	4.11	3.98	4.26	4.04	4.13
16	4.12	4.41	4.28	4.32	4.33	3.95	4.03	4.01	4.47	4.03	4.20
17	4.08	4.37	4.04	4.14	4.27	4.16	4.17	4.03	4.47	4.17	4.23
18	4.03	4.20	3.71	4.08	4.12	3.85	4.02	3.78	3.80	3.95	4.05
19	4.17	4.41	4.12	4.20	4.32	4.19	4.31	4.16	4.42	4.27	4.30
20	4.00	4.22	3.67	4.00	4.12	3.80	4.02	3.67	4.33	3.95	4.05

RECEIVED

FILED

8