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## THESIS

AN ANALYSIS OF THE REPUBLIC OF  
KOREA ARMY OFFICER PERFORMANCE  
EVALUATION SYSTEM

by

Nam Gyu Park

June 1986

Thesis Advisor:

Richard A. McGonigal

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An Analysis of the Republic of Korea Army Officer  
Performance Evaluation System

by

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Submitted in partial fulfillment of the  
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ABSTRACT

The purpose of this thesis is to examine the Republic of Korea Army Officer Performance Evaluation System which is used to evaluate its officer personnel. This is accomplished by approaching the issues from two directions: the U.S. military evaluation system and an analysis of questionnaires and interview data based on a model, of the accuracy of a performance evaluation process.

It is concluded that the Republic of Korea Army Officer Performance Evaluation System must focus on rater motivation, feedback of rating results for developmental role of future performance as well as an evaluative role of past performance, attention must also be given to deficiencies resulting from using a relative rating system.

Finally, based on the foregoing analysis, an alternative for rater motivation and modification of the evaluation format are suggested to increase the efficiency and effectiveness of the current R.O.K. Army Officer Performance Evaluation System.

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## I. INTRODUCTION

### A. THESIS CONCEPT

In the revision of the Republic of Korea Army Officer Performance Evaluation System (ROKAOPES) implemented in 1983, the following statements were identified:

The final revision goal of the ROKAOPES for the future has to develop an absolute evaluation system to assess an individual's abilities, actual achievements, and the potential traits without contamination or skewing which results in inflation of marks. The goal must include a plan to develop strengths and to remove weaknesses in a system which the evaluation results are made known to the ratee very clearly.

Since such a system requires fairness and high accuracy on the part of the rater the new system must include a method of training raters. Since relative and absolute evaluations are accruing at the same raters will need assistance in becoming more consistent [Ref. 1: pp. 9-10].

The conceptual basis of this study is to determine if the ROKAOPES, as a mid-term review, is operated effectively and efficiently. A discussion of the issues raised by the above statements, relative to the major interests of each officer, is conducted to examine the effectiveness of the system.

### B. PURPOSE

According to the previous quotations, the R.O.K. Army is an officer performance evaluation system (OPES) revision to be used as a replacement (or supplement) in the event that current efforts don't meet the requirements in producing a reliable and more acceptable spread of marks, and of the absolute evaluation and of improvement of individual by "releasing" the results of one's rating. Top management in the R.O.K. Army may be making major decisions regarding the future of the current OPES. It is, of course, in the best

interests of the organization to reduce or to minimize the period of uncertainty associated with this decision. If the current system is temporary, then there is a need for a reevaluation of its many components. Therefore, the purpose of this thesis is to reevaluate and analyze the system by determining whether or not the ROKAOPES meets the established purpose of performance appraisal to provide information to support that decision making process.

#### C. SCOPE

To accomplish the purpose of the thesis, research has been directed into the following areas:

1. A study of pertinent performance evaluation literature
2. A review of the ROKAOPES and the U.S. military (Army, Navy, Air Force, and Marine Corps) evaluation system.
3. A critical analysis of the current ROKAOPES by an informational questionnaire designed to determine R.O.K. Army officers' perceptions and observations of OPES.
4. A study of deficiencies of the current system based on literature review and analysis.
5. Recommendations and/or modification implications based upon the foregoing analysis.

In particular, the study of this thesis highlights whether the OPES meets the evaluation purposes of the R.O.K. Army. Questionnaires were drawn from officers above the rank of major since they are senior officers who have more experience as a ratee and a rater under various evaluation systems. The developmental system which the R.O.K. Army does not yet adopt are also investigated through the U.S. military evaluation system. Finally, this research includes the system, the evaluation forms, and the usage of the results in the evaluation system. Factors such as promotion board, selection board, etc., are not considered.

#### D. METHODOLOGY

The methodology employed in developing a balanced discussion of pertinent issues entailed synthesizing

information acquired through letters, interviews, questionnaires, personal experience as a ratee and a rater, current regulations, and literature. Various controversial comments on the current system were obtained through interviews with five R.O.K. Army colonels and lieutenant colonels who had studied at Naval Postgraduate School. The U.S. military evaluation systems were investigated by consulting the personnel executive officers of each service and by studying the current regulations. For questionnaires, 237 officers above the rank of major were randomly selected from the Army War College and the Army Logistics School.

#### E. ORGANIZATION

This thesis contains 6 chapters. In the next chapter, the evaluation purpose, criteria, a model of the accuracy in a performance evaluation process, and evaluation format are discussed. The closing section of chapter II identifies the military environment for evaluation. Chapter III presents studies of the R.O.K. Army, and the U.S. Army, Navy, Air Force, and Marine Corps OPES. In the second section of Chapter III, the current evaluation system and its outline in the R.O.K. Army are briefly described. The next section in Chapter III identifies significant characteristics of the U.S. military evaluation system. In Chapter IV, the results of questionnaires and interviews are categorized into 3 aspects (the system policies, evaluation forms, and feedback of the rating results) and are analyzed for each category. Chapter V identifies strengths and deficiencies of the OPES in the R.O.K. Army. Chapter VI provides the conclusions inferred by the discussion and a list of specific recommendations for the R.O.K. Army policy makers for personnel management.



## II. THEORY AND CONTROVERSIES OF PERFORMANCE EVALUATION

### A. EVALUATION PURPOSE

The majority of performance evaluation systems today are used to justify wages and salary, to validate selection and promotion procedures, to set goals, to determine training needs, to provide counseling and feedback concerning performance, to compare employees' abilities and to find out their potential merits, and to provide a historical background to aid in the justification of personnel actions.

According to Cumming and Schwab [Ref. 2: pp. 4-7], performance evaluation is differentiated on the basis of whether the purpose of evaluation is to evaluate past performance or to develop future performance. The evaluative or judgemental role of performance evaluation focuses on the past activities for the purpose of making administrative decisions such as promotion, selection, placement, and so on. The developmental or counseling role focuses on improving performance or the potential for performance directly by aiding the employee in identifying areas for improvement and growth. Figure 2.1 shows the differences between the evaluative role and the developmental role.

Within Figure 2.1, the evaluative role implies that the rater will use various dimensions from the best to the worst level, such as outstanding to very poor, planned in order to make decisions concerning the ratee's performance. On the other hand, the developmental role focuses on improving the ratee's potentials and merits, or counseling. Therefore descriptive types such as essays or comments are generally used for this role.<sup>1</sup>

---

<sup>1</sup>Techniques for this theory include a Developmental Action Program (DAP), a Maintenance Action Program (MAP), and a Remedial Action Program (RAP). This author thinks that R.O.K. Army actually has various difficulties with these

	<u>Judgmental Role</u>	<u>Counseling Role</u>
Focus:	. On past performance	. On improvement in future performance
Objective:	. Improve performance by more effective personnel	. Improve performance through self-learning and reward administration growth
Method:	. Variety of rating and ranking procedures	. Series of developmental steps as reflected in management by objectives (MBO)
Role of Superior:	. To judge and to evaluate	. To counsel, help, or guide
Role of Subordinate:	. Passive or reactive, frequently to defend himself	. Active involvement in learning

Figure 2.1 The Judgmental Role and Counseling Role.

In conclusion, because of multi-purpose performance evaluations in the military, the function of a performance evaluation must be feedback focused on the improvement of the potentials of ratees, throughout not only past performance evaluation but also counseling, as a guide in the future.

#### B. CRITERIA OF PERFORMANCE EVALUATION

Criteria are standards that can be used as yardsticks for measuring how much the ratee achieved given objectives or missions during a rating period. This is very helpful in terms of promotion, selection, placement, and performance evaluation. It is used to predict a relationship between a test instrument such as performance evaluation forms and the ratee's actual work performance [Ref. 3: p. 102]. The work performance "score" of the individual to the work

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options, because of complicated procedures of these techniques. They are simply too energy intensive.

performance of the individual can be obtained by using a performance evaluation process. A performance evaluation process includes various imperfections such as bias, an incomplete evaluation system, and the misuse of its forms. Therefore, a major goal of performance evaluation is to reduce the imperfections. The criteria are reliability, validity, and accuracy.

1. Bias in the Performance Evaluation

Bias occurs when a rater evaluates a ratee based on conscious or unconscious prejudice, emotion, and subjective opinion.

a. Leniency and Severity

Leniency occurs when the rater marks the ratee's performance higher than the actual level of his performance, while severity occurs when the rater marks the ratee's performance lower than the actual level of his performance (See Figure 2.3). "By being lenient in rating subordinates, a supervisor avoids the unpleasant feedback and possible criticisms that may result from low evaluations" [Ref. 4: p. 385]. The rater may think that he motivates his subordinates or earns their loyalty by giving them high performance marks.

b. Central Tendency

Central tendency works to provide a rating of average or around the midpoint for all qualities. "This usually occurs as a result of the rater's lack of knowledge of the rates he is rating, or from haste, indifference, or carelessness" [Ref. 5: p. 329]. Central tendency, as with leniency or severity, happens most frequently and the rating results with central tendency actually are worthless because the ratings fail to discriminate among the rates. One way to minimize this bias is by clearly explaining the meaning of the various factors [Ref. 3: pp. 317-318].

c. Halo Effect

This occurs when one or two good or bad characteristics of the ratee influence on the rater's judgment of the overall performance. The effect also occurs by the group or team to which the ratee belongs. If the group or team, for example, gives the rater a good impression this may bias the evaluation of the team members. On an overall scale, "there is a possible halo effect that can accrue to an officer from where he has served or by virtue of his promotion status" [Ref. 6: pp. 452-468].

d. Recency

The recency of good or bad performance near the end of the evaluation period can influence the rater's judgment by failing to recognize an established good or bad record through the whole evaluation period.

e. Spillover Effect

This effect occurs when past performance rating results influence current ratings unfairly [Ref. 7: p. 13]. Because of this effect, "fast runner" may result in a similar rating for the current period regardless of the achievement of work performance.

f. Proximity Errors

Adjacent traits highly influence on a performance evaluation than remote traits timely or spatially. These results continue to occur even though different rating procedures and different kinds of rating techniques are adopted. Therefore, two ways to avoid these errors are (1) all ratees must be evaluated for one evaluation item, (2) similar items must be separately placed far enough, and (3) to give clear meaning among similar traits.

g. Logical Errors

These occur when raters conduct similar ratings on traits that look logically like related [Ref. 3: p. 318]. For example, if a ratee is quite diligent, his productivity

may also be highly rated because of his diligence. Therefore, "halo results from an apparent coherence of qualities in the same individual; logical errors result from an apparent logical coherence of various traits, irrespective of individuals" [Ref. 3: p. 318]. In order to avoid this, the rater can evaluate all ratees for one item, and then for the next item, and so on.

#### h. Contrast Effect

This occurs when a rater rates his subordinates based upon rater, himself. Therefore, "Same as me" may cause leniency and "Different from me" may cause severity [Ref. 7: p. 13].

### 2. Reliability

Reliability refers to "the minimum error or the consistency with which evaluations are made either by different raters or by the same rater at different times" [Ref. 8: p. 206]. Reliability can be measured by (a) parallel forms reliability, (b) test-retest reliability, and (c) split-half reliability. Parallel forms reliability is measured by correlating two alternative forms of the same test. Test-retest reliability achieved when the same test is taken by the same person through one form at two different times. Split-half reliability is a statistical test in which a population is split into two equivalent parts and taken to the same person for scoring and then the results are correlated.

### 3. Validity

Validity refers to "the degree of accuracy of an inference made about a direct relationship" between a performance evaluation form and the actual work performance of the ratee [Ref. 7: p. 347]. A reliable test (consistent) may not be valid, but a valid test is usually reliable (consistent). For instance, a rater and a senior rater can make the same decisions on a subordinate, but they may not

all be correct. The validity of an evaluation is generally discussed in terms of one or more of the following types : (a) Content and Face, (b) Construct, (c) Criterion related, (d) Incremental, (e) Convergent and Discriminant, and (f) Synthetic.

Content validity provides a measure of the relationship between evaluation items on a performance evaluation form and the actual performance of the ratee. Face validity is a form of content validity, and is the observed similarity of the raters between the content of an evaluation form and actual job content. If a test is content valid, it should appear to be actually job related. However, content validity, sometimes, is not covered by appearance. When a rater, for example, evaluates a rated officer' patriotism in the officer performance evaluation, each evaluation factor may not appear to have validity exactly. But if the rater choose one among those factors, it may be content validity [Ref. 7: pp. 347-348].

Construct validity deals with the ability to measure abstract variables such as thought processes or intelligence. Criterion-related validity is a statistical statement which describes the direct relationship between scores on a predictor such as results of an interview, test results and scores on a criterion measure such as a performance evaluation instrument [Ref. 7: p. 348]. There are two kinds of criterion-related validity, Concurrent and Predictive validity. Concurrent validity is the relationship between different measures obtained at the same time [Ref. 9: p. 17]. For example, suppose that every company must take the ATT (Army Training Test) twice a year and ATT consists of two parts, theoretical combat readiness test and implementation of tactical operation for the company soldiers during 5 days. The combat readiness test would be administered to all soldiers of the company and then, soon after, scores on

the tactical operation test of the soldiers would be obtained. If those soldiers who received high combat readiness test scores also received high scores on the tactical operation test and those with low combat readiness scores obtained low scores on the tactical operation test, the results would indicate a high positive correlation between the two sets of scores. The inference could, therefore, be made that the test appears to predict the performance of soldiers fairly well which is valid. Predictive validity is "the relationship between a measure at one point in time and another measure behavioral at a later time" [Ref. 9: p. 17]. In the example given earlier concerning the ATT, the combat readiness test would have been administered to the company at one time and then the scores on the tactical operation test would be obtained and the correlation between the two sets of scores would be determined. In this example, the ATT results could have been used as predictors of future combat success.

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 validity is shown when two or more methodologically distinct measures of the same trait are significantly correlated with each other" [Ref. 9: p. 21]. For example, a test may have convergent validity when the measured values converge on values demonstrated by another test known to be valid. Discriminant validity occurs "when the correlations among traits measured by different methods are larger than the correlations among different traits measured by the same method" [Ref. 9: p. 21]. Synthetic or job component validity is relevant when developing tests to measure job skills. In the example given earlier, the ATT would have synthetic validity for the

company soldiers if it involved separate valid measures of different subjects such as 16 required subjects, offensive, and defensive operation in order to measure the combat potential ability.

#### 4. Accuracy

"Accuracy implies both reliability and validity, but the reverse is not necessarily true. Accuracy is concerned not only with consistency of measurement (reliability) and with the construct being measured (validity) but also with the absolute level of performance" [Ref. 9: p. 23]. If the evaluation system accurately and precisely measured the "true" state of a given phenomenon, it would be the best alternative tool in the performance evaluation. However, accuracy and preciseness in the evaluation system concern "the statistical characteristics" of evaluation in the actual work performance [Ref. 10: p. 68]. Figure 2.2 explains this situation.

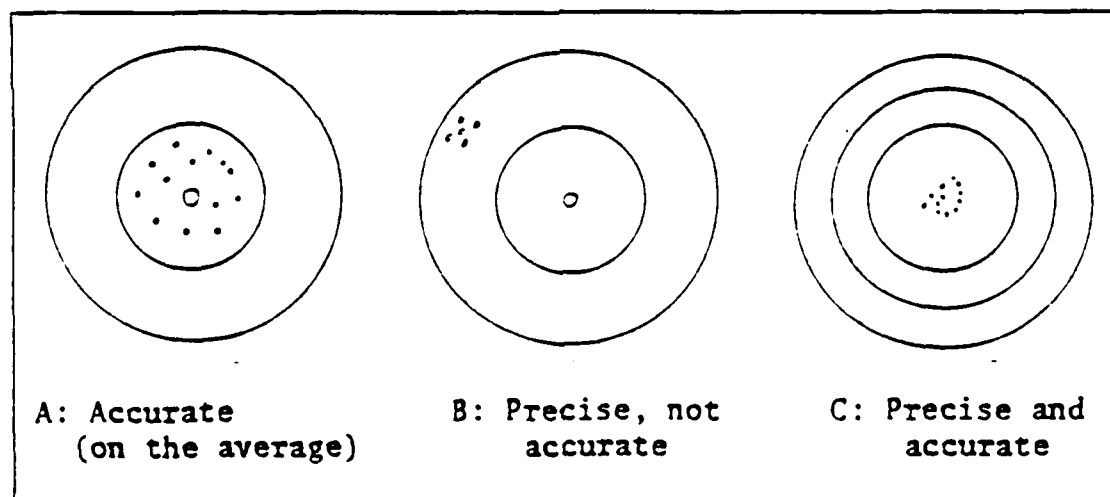


Figure 2.2 Difference Between Accuracy And Preciseness.

According to Figure 2.2, picture A is only accurate because the statistical numbers are close to the "true" state, but are not the "true". Picture B is precise, not



accurate, because the statistical numbers don't represent the whole although they are true. Picture C is precise and accurate because this is the "true" state and represent the whole state. Therefore, the evaluation system is required accuracy prior to preciseness. Figure 2.3 shows two kinds of inaccurate evaluations [Ref. 9: p. 23].

Within the context of Figure 2.3, these evaluations are not accurate because, although the proper order of the ratee's performance is correct (valid and reliable), rater A's evaluations are too low and rater B's evaluations are too high in reference to the level of each ratee's actual performance.

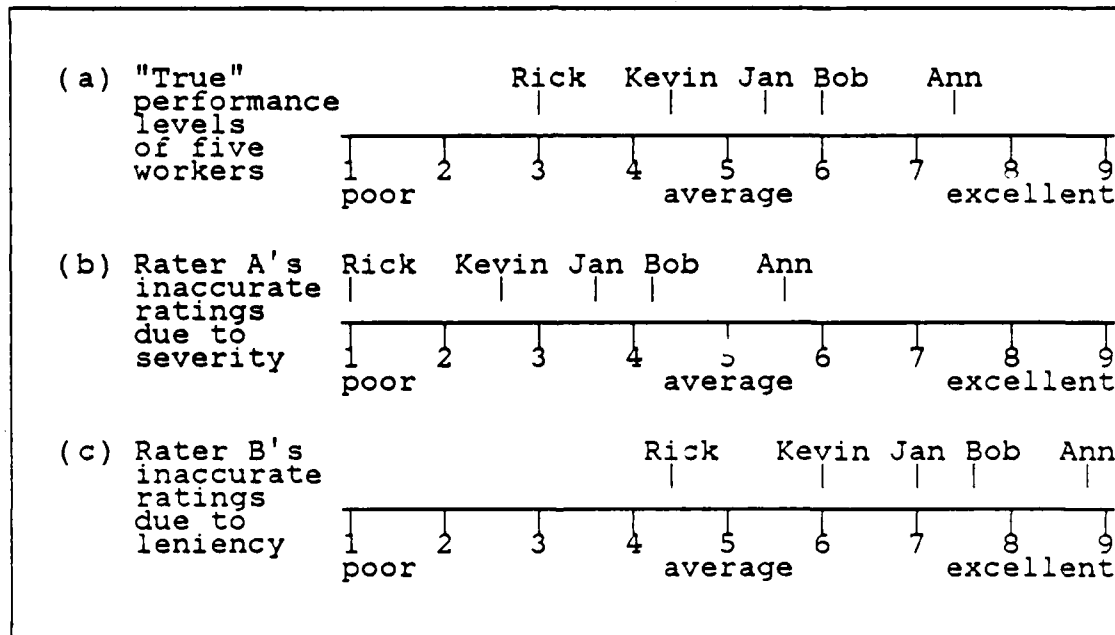


Figure 2.3 Valid But Inaccurate Performance Evaluation.

The reason why accuracy is quite important is that inaccuracy may seriously affect the "cutting score" to be used in the purpose of performance evaluation such as promotion, selection, placement, and so on. Factors affecting the accuracy of a performance evaluation process as a framework of this thesis are discussed in the next section.

### C. MODEL OF THE ACCURACY OF AN EVALUATION PROCESS

An individual's job or mission to be achieved is performed by his own ability and motivation. Therefore, the accuracy of the rating in a performance evaluation process through the feedback of performance affects a ratee's ability and motivation which, in turn, affect his job performance. "The accuracy of the performance rating of a rater as a performer is a function of a rater's ability, a rater's motivation, and relevance of rating standards" [Ref. 11: pp. 635-646]. Figure 2.4 explains a model of the performance evaluation process.

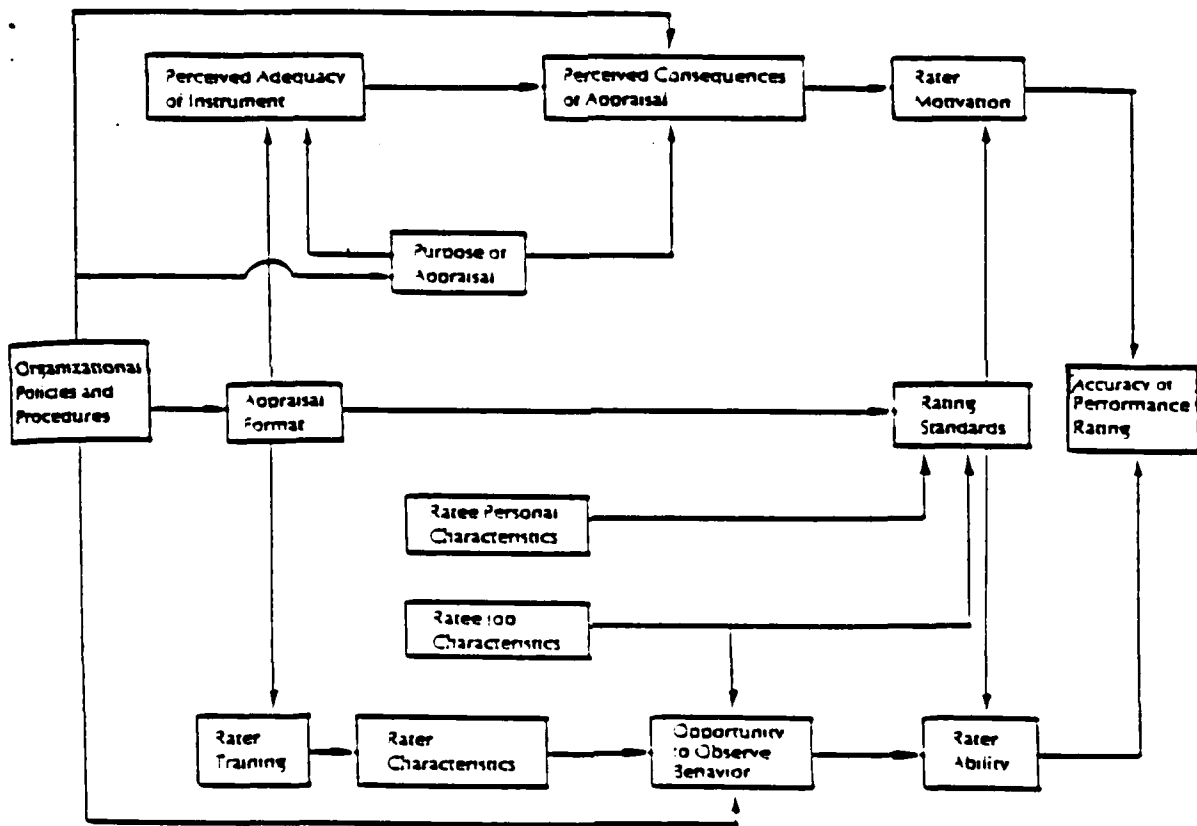


Figure 2.4 Model of the Performance Evaluation Process.

Within the context of Figure 2.4, determinants of rater motivation are perceived consequences of appraisal, perceived adequacy of instrument used, purpose of appraisal,

organizational policies and procedures, appraisal format, and rating standards. Rater motivation is possible when the rater is motivated to make accurate judgments about the ratee. For example, rater motivation to assign accurate performance ratings is high when a rater supports a current evaluation system, when the rating results are exactly known, and when the evaluation instrument is easy to understand and relates to the ratee's actual job. However, it is less high when the rating results are obtained for administrative purposes than when they are obtained for purposes of employee development. Therefore, the feedback of rating results truly affects the accuracy of a performance evaluation of a rater.

Rater ability is a technique in which a rater judges a ratee. Rater training, rater characteristics, rater's opportunity to observe ratee's job behavior, organizational policies, ratee job characteristics, and the appropriate rating standards affect rater ability to assign an accurate ratings. For instance, a rater who takes more opportunities to observe a ratee and is trained in performance evaluation has a good ability to assign an accurate performance rating. Also, favor of an important duty position or favor preferring to a ratee for long term service due to ratee's job characteristics affects the accuracy of the ratings.

Rating standards are a function of organizational policies and procedures, rating format, and the ratee's personal and job characteristics. Rating format includes not only instrumentation but rating content. Sex, race, and personal background (high school graduate, college graduate or home town) are personal characteristics. For example, the more consistence between the ratee's job context and the rating standards, or between the rating procedures and the rating standards, the higher the accuracy of the rating is obtained.

The accuracy of a performance rating is possible when the performance rating works systematically as an entire process. A rater affects the rating results critically because he is a rater as well as a ratee and has more impact through the implementation of top management policies or systems as a middle executor.

#### D. EVALUATION FORMAT

##### 1. Evaluation Techniques

Designing an evaluation system must include considering the evaluation technique for the purpose of the evaluation, the ease of the use, and the validity of the system based on the traditional background. Evaluation techniques can be grouped into four categories.

There are (a) Ratings, in which employees are evaluated on a number of separate characteristics, (b) Ranking, in which employees are compared to each other, (c) Critical incidents, in which statements that describe a range of actual job behaviors are logged and evaluated as to whether they constitute effective or ineffective behavior, and (d) Other methods in which the criteria for evaluation may vary, such as management by objectives (MBO), etc. [Ref. 4: p. 372].

The general characteristics of these techniques follow.

##### a. Ratings

(1) Graphic Rating Scale. This is the most widely used performance evaluation technique. The rater is required to make a judgement and then record it somewhere on a continuum from the highest to the lowest degree of the evaluation items. These ratings may then be weighted a score of five for the highest and zero for the lowest. Therefore, "these graphic scales are usually supplemented with a series of adjectives or short statements describing the factor" [Ref. 12: p. 18]. "This technique may not yield the depth of an essay appraisal, but it is more consistent and reliable. . . . for many purposes there is no need to

use anything more complicated than a graphic scale supplemented by a few essay questions" [Ref. 13: p. 63], The disadvantages are difficulties in constructing and choosing the rating items. Also each rating item can be affected by the halo effect.

(2) Checklists. This is a set of adjectives or descriptive statements in its simplest form. If the rater believes that the ratee possesses a trait listed, the rater checks the item but if not, the rater leaves it blank. A rating score is totally weighted and these weights are unknown to the rater. The most difficult aspect of this technique is arriving at a proper weighting of various items on the checklist.

(3) Forced Distribution. A rater is required to rate his subordinates in some given proportion among performance levels such as 10% are outstanding, 15% are excellent, 50% are average, 20% are poor, and 5% are very poor. One strength of this technique is possible for raters to alleviate inflation of marks and the central tendency. On the other hand, if all the company commanders in a battalion of a special task force are outstanding performers, forcing their commanding officers to rate some of them as excellent, average, poor, or even very poor seems a misuse of the evaluation system. Therefore, "forced distributions are only most suitable where there are large number of employees and wide variations in performance levels" [Ref. 4: pp. 374-376].

b. Rankings

Individual statements or ratings are sometimes less useful for comparative purposes when it is necessary to compare employees who work for different supervisors. Instead, it is necessary to recognize that comparisons involve an overall subjective judgment to which additional facts and impressions must somehow be added. This technique

is to list employees in the rater's perceived order of worth to the organization. The two most effective methods are alternation and paired comparison ranking. Alternation ranking is to select first the highest-ranked from the group and then the lowest ranked, then the next-highest-ranked and the next lowest, and so on. This procedure is repeated until everyone is ranked. In a paired comparison two names are placed on a card, so that every employee in the group is paired with everyone else and then all pairs are judged, selecting the better of the two. The person marked most frequently is placed on the top of the list and so on, until the person with the least number of marks is on the bottom. The major problems of this technique are that it is almost completely subjective in nature and the fact that it is not relative. Therefore, this technique is useful "when combined with multiple rankings" [Ref. 13: p. 66].

c. Critical Incidents

(1) Critical Incident Technique. This technique requires the rater to keep a log containing observations of what the supervisor considers to be good or bad performance on each employee. This method demands continuous and relatively close observation. The primary advantage of this technique is that a ratee's performance and not just his personality is evaluated. Problems with this method are that "it highlights extreme performance to the exclusion of day-to-day performance, which usually is the real measure of a person's effectiveness" [Ref. 12: p. 18], and a rater's subjective judgment may influence on critical incidents since they are set up by each rater. "Many employees consider this type of constant surveillance a threat that is damaging to workplace relationships" [Ref. 7: p. 168]. Even though the rating is done by the rater's subjective judgment, making a file of the critical incidents can contribute to fairness of the evaluation because this is an official record and evidence.

(2) Behaviorally Anchored Rating Scales. A Behaviorally Anchored Rating Scale (BARS) is a variant on standard rating scales. As the various scale levels such as outstanding through very poor are anchored with behavioral descriptions directly applicable to jobs being evaluated, the rater can choose one of them from a list of statements (See Appendix A). This technique will be a breakthrough for more reliable, effective, and valid performance appraisals. Because of the increased specificity of the rating scale, it is possible that this technique will function better than the graphic rating scale. But a problem exists in identifying implicitly applicable behavioral statements in an organization with several missions [Ref. 14: pp. 66-73].

d. Other Techniques

(1) Management By Objectives (MBO). MBO requires that the results an employee must achieve are decided upon by the manager and the employee working together. Evaluation is then based on a joint review of the degree of achievement as to how well the employee met the goals within a specific period. The high degree of employee involvement has made MBO a popular method. According to King, this technique gives the manager a great deal of flexibility in choosing priorities and setting standards, and makes the rater evaluate the ratee's performance, not his personality. Another advantage of MBO is that it casts the manager into the role of counseling as MBO gives him a chance to focus on the future rather than the past. Its drawbacks are "difficulty to get how much in a raise, difficulty to set an employee's specific goals in requirements of the cooperation and support of others, and the inability to compare one employee with another" [Ref. 15: pp. 130-132].

(2) The Essay Appraisal. This method requires the rater to write short statements about the ratee's

strengths, weaknesses, accomplishment, estimated potential, and so on. "The assumption seems to be that an honest and informed statement-either by word of mouth or in writing-from someone who knows the ratee well, is fully as valid as more formal and more complicated methods" [Ref. 13: p. 63]. This technique is generally useful when close observations are made for actual information. However, essay ratings vary in length, content, and quality based on the rater's imagination or writing ability. Moreover, since each essay contains different aspects of ratees' performance or personal qualities, this method is quite difficult to combine or compare.

(3) The Field Review Technique. In the field review technique, the raters consist of a number of the specific unit staff. The raters review the ratee's documents and interview the ratee's immediate superior or others who know the ratee very well. Then the raters evaluate the ratee. This is quite useful to prevent various biases and errors, or when the rating results are required for comparison among ratees for special purposes. Therefore, this method affects the fairness of the evaluation.

As discussed above, each technique has advantages and disadvantages. Therefore, almost all performance evaluation systems today use two or more techniques with mixed designs, because two or more evaluation systems adopted together can complement each other in advantage and disadvantage. By doing so, an individual can be rated by a more complete evaluation system.

## 2. Rater and Ratee Relationships

The following issues focus on the relationship between the rater and the ratee.



a. Evaluation by One's Immediate Supervisor

This involves the traditional evaluation method in which the supervisor evaluates his subordinates based on their past performance. This is because he is probably most familiar with the individual performance, has the broadest opportunity to observe subordinates, and is best able to evaluate each subordinate's performance in light of the organization's overall goals. On the other hand, there are problems such as physical distance from subordinates, unfamiliarity with the job requirements or duty. The supervisor is also the first to make administrative decisions and then to manipulate the performance ratings to correspond with those decisions [Ref. 16: pp. 61-63].

b. Peer Evaluation

This is a ratings system done by peers of equal rank or position, or co-workers in an organization. Because peers or co-workers work closest to the ratee they can understand the ratee's performance or personal traits very well. Results of the peer evaluation may then be used in joint employer-subordinate reviews of each employee's progress prior to administrative decisions concerning the employee. Its problem is negative or positive friendship bias exists.

c. Self Appraisal

This is a method in which the subordinate rates himself and then the rater evaluates the subordinate's rating to compare their rating results. In order to reduce differences between the subordinate and the superior an interview is required. By setting goals and analyzing the good or the bad in goal achievement it provides participating subordinates with valuable opportunities for self-appraisal and communication between the subordinate and his superior through the appraisal interview. Therefore, self appraisal is more appropriate for counseling and

development than it is for personnel actions. A major problem is that "the great majority of employees feel that they are average or above average performers" [Ref. 7: p. 33].

d. Evaluation by One's Immediate Subordinates

This is a method in which subordinates rate their superior. This method may be helpful if the subordinates are required to rate how the superior handles and trains the subordinates. However, the subordinates can't see the whole forest and may evaluate the whole forest by considering a few trees. Therefore, the rating results should only be referred to the subordinate's feedback of the superior in order to improve his/her effectiveness as a leader. A major weakness is lack of information regarding acceptable performance standards.

E. THE MILITARY ENVIRONMENT FOR EVALUATION

There exist many similarities and differences between the military and the civilian systems in terms of performance evaluation. Both would operate fair and highly competitive selection procedures at the job entry at the bottom of the career development. Civilian systems can actually hire new employees at any level. On the other hand, the military usually has a closed loop due to its inability to bring in new resources above the second lieutenant level. Exceptions might include physicians and technicians who are sometimes laterally acquired.

One distinguishing characteristic of the military is that the ultimate criterion measure is success in combat. Because it is almost impossible to measure readiness for combat may sometimes be substituted as a criterion. Therefore, there exists a lack of military criteria that are sufficient to define system performance being obtained as each individual achieves his goals. As a result, each individual performance in the private sectors can be easily

measured in the form of production figures and profit or loss statements, but it is not easy in the military. Because much of an individual's activity in a military setting is often not the performance of ultimate interest it is difficult to decide who is more suitable and who is less suitable for future combat [Ref. 17: pp. 233-256].

A second difference from civilian conditions is that the military requires acquisition of strong commanding authority. Because the purpose of the military existence is to achieve the ultimate success in combat, the commanding officer takes the responsibility for the success or failure of the unit and requires that his subordinates absolutely obey him under any situation. Also, the military itself requires its missions to be achieved prior to the individuals. These are reasons why the military requires a strong commanding authority unlike the civilian system. Therefore, this strong commanding authority affects the military evaluation system.

A third difference in the military is the frequent movement of duty position in a career path such as on the job training, staff, and commanding officer within at least one or two years. Because the rater also has to move to another duty position after one or two years the actual rating period would be less than one year. This short rating period would impact both in terms of observing of the rater and exhibiting potential traits of the ratee.<sup>2</sup>

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<sup>2</sup>According to a Locher and Teel survey, evaluations were conducted annually in 52 % of the surveyed organizations, semi-annually in 24 %, and at variable intervals depending on organizational level in remaining 24 % [Ref. 18: p. 247].

### III. OVERVIEW OF THE MILITARY EVALUATION SYSTEM

#### A. INTRODUCTION

The purpose of this chapter is to study the current systems of the R.O.K. Army and the U.S. military in the officer performance evaluation. The first section of this chapter presents how the R.O.K. Army Officer performance evaluation system has been developed. In the second section, the purposes of officer evaluation in the R.O.K. Army, report forms, and rating procedures are discussed and in the third section, the current evaluation systems of the U.S. military are presented. The fact that there is probably not a consistent foolproof method of evaluating an individual officer within a given service is reflected by the dynamic nature of the majority of the military evaluation systems. However, the evaluation techniques that the R.O.K. Army has not yet adopted can be studied through the U.S. military evaluation system. The current performance evaluation system in the R.O.K. Army is not ultimate [Ref. 1: pp. 9-10] and is under a set of similar situations in the military.

#### B. THE R.O.K. ARMY SYSTEM

##### 1. The Evolution of the System Policy

The R.O.K. Army Officer Performance Evaluation System was adopted in 1948 and has been revised twelve times. Before the establishment of the military personnel law from 1948 to 1962, there were made five amendments and their main contents were forced-unforced distribution, grade by weight, and ranking. One of the distinctions in the revised evaluation at that time was that raters had to describe a given factor of the evaluation form by using an essay appraisal. In the sixth revision, grade by weight and forced distribution

TABLE I  
THE EVOLUTION OF THE EVALUATION SYSTEM IN THE R. O. K. ARMY

Times	Evaluation Techniques	Background										
1 - 5th Before personnel law	Forced distribution in grade, weight, ranking, etc.											
6th (Aug. 62)	Forced distribution in grade (%) <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;">Outstanding</td> <td style="width: 20%;">Excellent</td> <td style="width: 20%;">Good</td> <td style="width: 20%;">Fair</td> <td style="width: 20%;">Poor</td> </tr> <tr> <td style="text-align: center;">3</td> <td style="text-align: center;">17</td> <td style="text-align: center;">60</td> <td style="text-align: center;">27</td> <td style="text-align: center;">3</td> </tr> </table>	Outstanding	Excellent	Good	Fair	Poor	3	17	60	27	3	To protect the reject- ion of rated offi- cers with high quali- ty.
Outstanding	Excellent	Good	Fair	Poor								
3	17	60	27	3								
7th (Feb. 64)	Unforced distribution in grade (5 grades)	Inflation ( A : 66 %)										
8th (Jan. 67)	Forced distribution in grade (%) <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">A</td> <td style="width: 33%;">B</td> <td style="width: 33%;">C</td> </tr> <tr> <td style="text-align: center;">30</td> <td style="text-align: center;">60</td> <td style="text-align: center;">10</td> </tr> </table>	A	B	C	30	60	10	To protect the reject- ion of rated offi- cers with high quali- ty.				
A	B	C										
30	60	10										
9th (June 70)	Unforced distribution in grade (5 grades)	Inflation (outstand- ing: 52 %)										
10th (Jan. 73)	Forced distribution in grade (%) <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;">Good</td> <td style="width: 25%;">Average</td> <td style="width: 25%;">Poor</td> <td style="width: 25%;">Very poor</td> </tr> <tr> <td style="text-align: center;">25</td> <td style="text-align: center;">50</td> <td style="text-align: center;">20</td> <td style="text-align: center;">5</td> </tr> </table>	Good	Average	Poor	Very poor	25	50	20	5	To protect the reject- ion of rated offi- cers with high quali- ty.		
Good	Average	Poor	Very poor									
25	50	20	5									
11th (Mar. 78)	Only forced Good (%) <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;">Good</td> <td style="width: 25%;">Average</td> <td style="width: 25%;">Poor</td> <td style="width: 25%;">Very poor</td> </tr> <tr> <td style="text-align: center;">25</td> <td colspan="3" style="text-align: center;">Unforced</td> </tr> </table>	Good	Average	Poor	Very poor	25	Unforced			To protect the reject- ion of rated offi- cers with high quali- ty.		
Good	Average	Poor	Very poor									
25	Unforced											
12th (Jan. 83)	To use jointly -R. O. K. Army Form 1-1-22 and 1-1-24 (Relative Evaluation) -R. O. K. Army Form 1-1-28 (Absolute Evaluation)											

were adopted and the Evaluation Deliberation Board was established above the level of regiment to protect the leniency tendency. The seventh revision in 1964 was about separation of the evaluation forms for company grade officers from field grade officers, unforced distribution, and the adoption of a partial released rating results system by giving the rated officer only the total grade after a rating. In the eighth, forced distribution, the unreleased rating results system and five evaluation forms by each rank were adopted again. Because this system was too complicated to fill in by using various forms with each rank it was changed into unforced distribution, ranking, and a unification of one form for all ranks.

The Evaluation Deliberation Board was removed in 1970. The tenth amendment contained forced distribution again and simplification of evaluation factors. Through the eleventh, the system was similar to the current system. For instance, work performance attitudes were focused on company grade officers, potential abilities were focused on field grade officers, and the adjustment of the rated officers' group from the combined branch of each rank to similarity of branch functions such as combat branch, technical branch, administrative branch, and special branch was done. In order to motivate rated officers and to make officers active and head for the future, the twelfth amendment was developed. Table I displays these twelve amendments [Ref. 19: p. 34].

## 2. The Outline of the Current System

The purposes of the ROKAOPES [Ref. 1: p. 5] are to improve the efficiency of individuals, to establish the commanding authority, and to provide fundamental information for fair personnel management. All ranks from warrant officer to colonel have to be evaluated twice a year through the relative evaluation system (Army Form 1-1-22 and

1-1-24), and the absolute evaluation system (Army Form 1-1-28). Both require an evaluation period of at least 60 days by the rated officer's immediate superior and the senior officer of the rater. In particular, all ranks served except colonel below the units of the level of the Division also must be evaluated by the intermediate rater. For example, an intermediate rater of a platoon leader can be the deputy battalion commander and for the personnel officer of a battalion, it can be the personnel officer of the regiment.

Army Form 1-1-22 (see Figure 3.1) is used for field grade officers and Army Form 1-1-24 (see Figure 3.2) is used for company grade officers. Army Form 1-1-28 (see Figure 3.3) is the same for all ranks.<sup>3</sup> Therefore, there are seven forms: for cadets, for officers on job training, for officers under domestic and foreign education, and for student officers of the Defense Postgraduate School and the Army War College. Army Form 1-1-24 is required to be completed for company grade officers by every March 10, and Army Form 1-1-22 has to be completed for field grade officers by every April 10. Army Form 1-1-28 is conducted for all ranks based on every twelfth month since being assigned to a duty position. The main contents of Army Form 1-1-22 and Army Form 1-1-24 are (1) administrative data, (2) significant contributions during the evaluation period, (3) ability and performance attitude, (4) aptitude, future development, and health, (5) overall opinion, (6) overall evaluation, and (7) rater signature. All rated officers should write the degree of their significant contributions by describing when, what, how, and results of the performance during the evaluation period in Part II. Then the rater and the senior rater evaluate degree of achievement of the rated officer by

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<sup>3</sup>Figures 3.1, 3.2, and 3.3 were rearranged by this author from the original forms because of the limitation of editing for this thesis.

Rating Responsibilities:	1. Rate fairly and objectively the officer's duty performance and potential.  2. Rank-order the officer among 100 of his peers.	3. Rate all factors independently of each other.  4. Balance your obligations to the officer with your obligations to the Army.							
Officer Performance Evaluation Report (for Field Grade Officer) ( ) Annual ( ) Addition Army Form 1-1-22 <span style="float: right;">19</span>									
Part I. Administrative Data									
Rank	Service Number	Name	Branch	Specialty	Rating Period	Unit	Duty Title	Date Assigned Current Duty	Date of Rank
Personnel Officer	Duty Title:	Rank:	Service Number:	Name:	Signature:				
Part II. Significant Contributions									
Rating	Senior Rater	Senior Rater	1. Fully demonstrated knowledge and expertise in assigned tasks.  2. Possesses the potential to perform well but lacks effort.  3. Worked diligently but with mediocre results.	Senior Rater	Senior Rater	4. Above descriptions are accurate. Can be expected to make future contributions.  5. Good effort but with poor results.  6. Lacks sincerity and integrity.			
Part III. Ability and Performance Attitude									
Patriotism			Senior Rater	Senior Rater	Cooperation			Senior Rater	Senior Rater
1.	Clearly dedicated to mission accomplishment and to the nation under any circumstances.				1.	Believes in teamwork and cooperates willingly.			
2.	Appears to be dedicated to mission accomplishment and to the nation, but questionable under emergency conditions.				2.	Generally cooperative, but not willingly.			
3.	Can not be depended on to defend the nation.				3.	Selfish and lacks cooperation.			

Figure 3.1 Army Form 1-1-22.



Leadership	Rater	Senior Rater	Planning	Rater	Senior Rater
1. Possesses excellent leadership and commands very well.			1. Anticipates requirements and takes initiative in solving problems.		
2. Does not command very well, but maintains a cohesive unit.			2. Takes action after receiving guidance.		
3. Lacks leadership and causes subordinate dissatisfaction.			3. Lacks foresight and initiative.		
Responsibility	Rater	Senior Rater	Drive	Rater	Senior Rater
1. Possesses strong responsibility and accomplishes the mission thoroughly.			1. Efficiently accomplishes any mission under changing situations.		
2. Appears to have responsibility and usually accomplishes the mission.			2. Efficiently accomplishes a mission only under favorable conditions.		
3. Lacks and shares responsibility.			3. Lacks driving force and desire to accomplish the mission.		
Professional Knowledge	Rater	Senior Rater	Character	Rater	Senior Rater
1. Possesses the highest degree of professional competence in every aspect.			1. Earns respect by pride in high standards of dress, grooming, and military manner.		
2. Generally possesses a high degree of professional competence.			2. Generally earns respect by pride in high standards of dress, grooming, and military manner.		
3. Lacks professional knowledge in accomplishing the mission.			3. Does not earn respect by pride in high standards of dress, grooming, and military manner.		

Part IV. Aptitude, Future Development, Health

Factors	Contents	Rater	Senior Rater
Aptitude	What kind of duty is this officer suited for? 1. Commander      2. Staff      3. Administrative 4. Special      5. Instructor      6. Other		
Future Development	What do you expect his future contribution as a leader to be? 1. Certainly to be expected      2. To be expected 3. Need more observation      4. Hard to decide		
Specialty	What specialty is proper for this officer? 1. Personnel      2. Intelligence      3. Operation 4. Logistics      5. Planning      6. Special		
Education	What is this officer's potential for education? 1. Recommend ahead of contemporaries 2. Recommend with contemporaries 3. Need to observe more 4. Do not recommend		
Promotion	What is this officer's potential for promotion to the next higher grade? 1. Promote ahead of contemporaries 2. Promote with contemporaries 3. Promote later than contemporaries 4. Do not promote		

Figure 3.1 Army Form 1-1-22 (cont'd).

Self-Improvement	Does this officer seek self-improvement? 1. Always 2. Usually 3. Sometimes 4. Never								
Health	What is the condition of this officer's health? 1. Strong mental and physical state 2. Strong physical state, but weak mental state 3. Weak physical state, but strong mental state								
Personal Life	Describe this officer's personal and family life. 1. Excellent    2. Good    3. Average    4. Poor								
Part V. Overall Opinion									
Rater									
Intermediate Rater	Duty Title:                      Rank:                      Name:                      Signature:								
Senior Rater	Describe the fairness of the rater: 1. severe                      2. slightly severe                      3. balanced 4. slightly lenient                      5. very lenient								
Part VI. Overall Evaluation									
Rater's Evaluation	Rating	A	B	C	D	E	Ranking	Rating Recommended	
	Distribution	Number of Peers	Outstanding (10%)	Excellent (25%)	Average (50%)	Poor (20%)	Very Poor (5%)	Ranking No. of Peers	
	Rater								
Senior Rater									
Part VII. Rater Signature									
	Unit	Duty Title	Rank	Service Number	Name	Date Assigned Current Duty	Signature		
Rater									
Senior Rater									
Army HQ Judgment	Rating:			Personnel Officer	Rank:	Name:	Signature:		

Figure 3.1 Army Form 1-1-22 (cont'd).

Rating Responsibilities	1. Rate fairly and objectively the officer's duty performance and potential.	3. Rate all factors independently of each other.
	2. Rank-order the officer among 100 of his peers.	4. Balance your obligations to the officer with your obligations to the Army.

Officer Performance Evaluation Report (for Company Grade Officer) ( ) Annual ( ) Addition  
Army Form 1-1-24 19

Part I. Administrative Data

Rank	Service Number	Name	Branch	Specialty	Rating Period	Unit	Duty Title	Date Assigned Current Duty	Date of Rank

Personnel Officer	Duty Title:	Rank:	Service Number:	Name:	Signature:
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Part II. Significant Contributions

Rating	Rater	Senior Rater	1. Fully demonstrated knowledge and expertise in assigned tasks.	Rater	Senior Rater	4. Above descriptions are accurate. Can be expected to make future contributions.
			2. Possesses the potential to perform well but lacks effort.			5. Good effort but with poor results.
			3. Worked diligently but with mediocre results.			6. Lacks sincerity and integrity.

Part III. Ability and Performance Attitude

Patriotism		Rater	Senior Rater	Confidence		Rater	Senior Rater
1. Clearly dedicated to mission accomplishment and to the nation under any circumstances.				1. Can be relied on to accomplish any type of mission.			
2. Appears to be dedicated to mission accomplishment and to the nation, but questionable under emergency conditions.				2. Generally can carry out a given mission.			
3. Can not be depended on to defend the nation.				3. Can not be relied on to accomplish an important mission.			

Figure 3.2 Army Form 1-1-24.

Leadership	Rater	Senior Rater	Justice	Rater	Senior Rater
1. Possesses excellent leadership and commands very well.			1. Maintains the highest standards.		
2. Does not command very well, but maintains a cohesive unit.			2. Generally maintains high standards.		
3. Lacks leadership and causes subordinate dissatisfaction.			3. Standards are questionable.		
Responsibility	Rater	Senior Rater	Drive	Rater	Senior Rater
1. Possesses strong responsibility and accomplishes the mission thoroughly.			1. Efficiently accomplishes any mission under changing situations.		
2. Appears to have responsibility and usually accomplishes the mission.			2. Efficiently accomplishes a mission only under favorable conditions.		
3. Lacks and shifts responsibility.			3. Lacks driving force and hesitates to accomplish the mission.		
Obedience	Rater	Senior Rater	Character	Rater	Senior Rater
1. Extremely dedicated and loyal to his superior.			1. Earns respect by pride in high standards of dress, grooming, and military manner.		
2. Generally dedicated and loyal to his superior.			2. Generally earns respect by pride in high standards of dress, grooming, and military manner.		
3. Can not follow orders and regulations without supervision.			3. Does not earn respect by pride in high standards of dress, grooming, and military manner.		

Part IV. Aptitude, Future Development, Health

Factors	Contents	Rater	Senior Rater
Aptitude	What kind of duty is this officer suited for? 1. Commander    2. Staff    3. Administrative 4. Special       5. Instructor   6. Other		
Future Development	What do you expect his future contribution as a leader to be? 1. Certainly to be expected    2. To be expected 3. Need more observation       4. Hard to decide		
Specialty	What specialty is proper for this officer? 1. Personnel       2. Intelligence    3. Operation 4. Logistics       5. Planning       6. Special		
Education	What is this officer's potential for education? 1. Recommend ahead of contemporaries 2. Recommend with contemporaries 3. Need to observe more 4. Do not recommend		
Promotion	What is this officer's potential for promotion to the next higher grade? 1. Promote ahead of contemporaries 2. Promote with contemporaries 3. Promote later than contemporaries 4. Do not promote		

Figure 3.2 Army Form 1-1-24 (cont'd).

Self-Improvement	Does this officer seek self-improvement? 1. Always 2. Usually 3. Sometimes 4. Never								
Health	What is the condition of this officer's health? 1. Strong mental and physical state 2. Strong physical state, but weak mental state 3. Weak physical state, but strong mental state								
Personal Life	Describe this officer's personal and family life. 1. Excellent 2. Good 3. Average 4. Poor								
Part 7. Overall Opinion									
Rater									
Intermediate Rater	Duty Title:                      Rank:                      Name:                      Signature:								
Senior Rater									
	Describe the fairness of the rater:                      1. severe                      2. slightly severe                      3. balanced 4. slightly lenient                      5. very lenient								
Part VI. Overall Evaluation									
Evaluator's Recommendation	Rating	A	B	C	D	E	Ranking	Rating Recommended	
	Distribution	Number of Peers	Outstanding (10%)	Excellent (15%)	Average (50%)	Poor (20%)	Very Poor (5%)	Ranking No. of Peers	
	Rater								
	Senior Rater								
Part VII. Rater Signature									
	Unit	Duty Title	Rank	Service Number	Name	Date Assigned Current Duty	Signature		
Rater									
Senior Rater									
Army HQ Judgment	Rating:			Personnel Officer	Rank:	Name:	Signature:		

Figure 3.2 Army Form 1-1-24 (cont'd).



Leadership	Rater	Senior Rater	Planning	Rater	Senior Rater
Possesses leadership skills to effectively lead subordinates and manage his unit for mission accomplishment.			Logical and efficient in planning and programming.		
Responsibility	Rater	Senior Rater	Drive	Rater	Senior Rater
Conscientious in accomplishing the mission and responsible for his actions.			Accomplishes the mission through efficient use of available time.		
Professional Knowledge	Rater	Senior Rater	Character	Rater	Senior Rater
Demonstrates appropriate knowledge and expertise in assigned tasks.			Possesses the necessary professional ethics.		

Part IV. Aptitude, Future Development, Health

Aptitude	What kind of duty would be suitable for this officer if you were a higher-level commander? Rater ( ) Senior Rater ( )	Improvement	How would you consider this officer for additional responsibility? Rater ( ) Senior Rater ( )
	<ol style="list-style-type: none"> <li>1. Commander</li> <li>2. Staff</li> <li>3. Administrative</li> <li>4. Special</li> <li>5. Instructor</li> <li>6. Other</li> </ol>		<ol style="list-style-type: none"> <li>1. Select ahead of contemporaries.</li> <li>2. Select with contemporaries.</li> <li>3. Select behind contemporaries.</li> <li>4. Need more observation.</li> </ol>
Health	What is the condition of this officer's health? Rater ( ) Senior Rater ( )	Specialty	What is a suitable specialty for this officer? Rater ( ) Senior Rater ( )
	<ol style="list-style-type: none"> <li>1. Strong mental and physical state.</li> <li>2. Strong physical state, but weak mental state.</li> <li>3. Weak physical state, but strong mental state.</li> </ol>		<ol style="list-style-type: none"> <li>1. Personnel</li> <li>2. Intelligence</li> <li>3. Operations</li> <li>4. Logistics</li> <li>5. Planning and management</li> <li>6. Special duty</li> </ol>

Figure 3.3 Army Form 1-1-28 (cont'd).

Part V. Potential Capability							
	Contents	Opinion	Contents	Opinion			
Rater	Description of strong points.		Professional ethics.				
	Recommendations for improvement.		Self-improvement.				
	Professional competence.		Relationship with others.				
Intermediate Rater	Overall opinion:						
	Duty Title:	Rank:	Name:	Signature:			
Senior Rater	Overall opinion:						
	Describe the fairness of the rater:      1. severe      2. slightly severe      3. balanced 4. slightly lenient      5. very lenient						
Part VI. Overall Evaluation							
M-1 Evaluation Criteria	Rating	A	B	C	D	E	
		Outstanding	Excellent	Average	Poor	Very Poor	
	Rater						
	Senior Rater						
Part VII. Rater Signature							
	Unit	Duty Title	Rank	Service Number	Name	Date Assigned Current Duty	Signature
Rater							
Senior Rater							
Army HQ Judgment	Rating :			Personnel Officer	Rank:	Name:	Signature:

Figure 3.3 Army Form 1-1-28 (cont'd).



choosing one among 6 BARS. In Part III, Ability and Performance Attitude are separated into 8 evaluation factors where each factor has 3 BARS. Aptitude, Future Development, and Health in Part IV are divided into 8 evaluation factors such as aptitude, future development, specialty, education, promotion, self-improvement, health and personal life IV. In the Overall Opinion part, the rater, the intermediate rater, and the senior rater describe the degree of contribution of the rated officer in his military development, his future potential, aptitude, and specialty. In Part VI, the rater and the senior rater grade the ratee's ranking among the rated officers of the same group by using a relative evaluation. They can choose grade A, B, C, D, or E, and recommended a rating if necessary. However, grades A and B are controlled into 10 % and 15 %, but the rest of the grades are not. The rating recommended can be used when a rated officer with high quality is rejected to get higher grades (Outstanding or Excellent) in being actually graded because of forced distribution in the ranking. Therefore, the rating recommended is possible for the senior officer to recommend only one rated officer among those officers more than 4 rated officers for next higher grade. However, the rating recommended requires appropriate reasons and the descriptions by the senior rater should be provided. After completion, it is sent to the headquarters of the Army (HQ Army). Finally, HQ Army judges the rating results like Table II and the results must be classified and unreleased.

Army Form 1-1-28 using an absolute rating has a few different evaluation factors from Army Form 1-1-22 and Army Form 1-1-24. The first is that the same evaluation report is used for all ranks. Second, Army Form 1-1-28 is completed after every 12 months based on a duty position assigned. The third is that the graphic rating scale is used in Part III instead of BARS of Army Form 1-1-22 and

TABLE II  
THE STANDARD OF THE ARMY JUDGMENT

Grade	O u t s t a n d i n g	E x c e l l e n t	A v e r a g e  A b o v e	A v e r a g e	B e l o w  A v e r a g e	P o o r	V e r y  P o o r
Results of the rater and senior rater	AA	AB	BB AC	BC AD CC	AE CD	BE CE DD DE	EE

Army Form 1-1-24. The fourth is that the potential ability of a rated officer with using 6 evaluation factors, instead of Overall Opinion in the Army Form 1-1-22 and Army Form 1-1-24, is described by raters. The intermediate rater and senior rater only describe overall opinion. The fifth is that it requires absolute evaluation in the grading of Overall Evaluation of part VI, as being chosen one among A, B, C, D, and E without any forced distributions.

C. THE U.S. MILITARY SYSTEM

1. The Army System

The U.S. Army Officer Evaluation System (OES) identifies best qualified officers for promotion and assignment to positions of higher responsibility and for retention on active duty or in grade. Under the OES, every officer is evaluated on his/her performance and potential. According to Army Regulation (AR) 623-105:

The Officer Evaluation Reporting System (OERS) is an important subsystem of the OES. It largely determines the quality of the officer corps, the selection of future Army leaders, and the course of each officer's career. The primary function of the OERS is to provide information including promotion, elimination,

retention in grade and on active duty, reduction in force, selection, assignment and specialty designation to DA for use in making personnel management decisions. . . the secondary functions of the OERS are to encourage officer professional development and enhance mission accomplishment. . . the key to the system's secondary functions is effective communication. . . such communication makes the rated aware of what his/her duties are and allows the officer to take part in the organization's planning. On the other hand, such communication lets the rater guide and develop his/her subordinates, keeps the rater constantly aware of what the organization is achieving, and enables the rater to plan for mission accomplishment. Senior/ subordinate communication makes career development information, advice, and guidance more available to the rated officer [Ref. 20: p. 5].

There are three forms used in the evaluation process: DA Form 67-8, DA Form 67-8-1, and DA Form 67-8-2. DA Form 67-8 (see Figure 3.4) is used by the rating chain to provide DA with performance and potential assessments of each rated officer. DA Form 67-8 includes graphic rating scales of professional attributes, recommendation concerning promotion, and the descriptive comment sections. In Part IV, Professionalism is separated into professional competence and professional ethics and each graphic scale requires narrative comments. In Part VII, a reporting senior has to place a rated officer numerically within a hypothetical population of one hundred contemporaries. This is an outstanding tool to prevent several biases such as leniency or severity. Because the rated officer, for instance, should have outstanding qualities in order to be placed within second ranking and this is the relative comparison to one hundred contemporaries, the reporting senior can't help being careful in rating his subordinates.

The DA Form 67-8-1 (see Figure 3.5) is used by the rated officers and rating chain. The Army is exploring a MBO system including a measure of self-evaluation by indicating the rated officer's major performance objectives and listing the rated officer's significant contributions. The purpose of DA Form 67-8-1 is to encourage the communication

SEE PRIVACY ACT STATEMENT  
ON DA FORM 7-8

For use of this form, use DA FORM 67-8 (previous editions) and Army Military Personnel Center

PART I - ADMINISTRATIVE DATA									
1. LAST NAME FIRST NAME MIDDLE INITIAL			2. SSN		3. GRADE		4. DATE OF BIRTH		5. DESIGNATED SPECIALTIES
6. UNIT ORGANIZATION STATION ZIP CODE OR APO MAJOR COMMAND						7. REASON FOR SUBMISSION			8. DMO CODE
9. PERIOD COVERED		10. NO. OF MONTHS	11. MILPO CODE	12. RATED OFFICER COPY (check one and date)			13. FORWARDING ADDRESS		
FROM		THRU		14. GIVEN TO OFFICER			15. FORWARDED TO OFFICER		
Year Month Day		Year Month Day							
16. EXPLANATION OF NONRATED PERIODS									
PART II - AUTHENTICATION (Needs officer signature (Part I) date and RATING OFFICIALS ONLY)									
17. NAME OF RATER (Last First MI)			18. SSN		19. SIGNATURE				
20. GRADE BRANCH ORGANIZATION DUTY ASSIGNMENT						21. DATE			
22. NAME OF INTERMEDIATE RATER (Last First MI)			23. SSN		24. SIGNATURE				
25. GRADE BRANCH ORGANIZATION DUTY ASSIGNMENT						26. DATE			
27. NAME OF SENIOR RATER (Last First MI)			28. SSN		29. SIGNATURE				
30. GRADE BRANCH ORGANIZATION DUTY ASSIGNMENT						31. DATE			
32. SIGNATURE OF RATED OFFICER			33. DATE		34. DATE ENTERED ON DA FORM 7-8	35. RATED OFFICER MPO INITIALS	36. SR MPO INITIALS	37. NO. OF INCL.	
PART III - DUTY DESCRIPTION (Rater)									
38. PRINCIPAL DUTY TITLE						39. SSN/MOS			
40. REFER TO PART III DA FORM 7-8-1									
PART IV - PERFORMANCE EVALUATION - PROFESSIONALISM (Rater)									
41. PROFESSIONAL COMPETENCE (In forms 1 through 10 below, indicate the degree of agreement with the following statements as being appropriate to the rated officer. The comments will be entered in 9 below.)						HIGH DEGREE		LOW DEGREE	
						1		5	
1. Possesses capacity to acquire knowledge/ideas/concepts	2. Displays sound judgment	3. Demonstrates appropriate knowledge and expertise in assigned tasks	4. Seeks self-improvement	5. Maintains appropriate level of physical fitness	6. Is adaptable to changing situations	7. Meets challenges and demands of subordinates	8. Sets and enforces high standards	9. Performs under physical and mental stress	10. Possesses military bearing and appearance
11. Encourages candor and frankness in subordinates	12. Supports EO/EEO	13. Clear and concise in written communication	14. Clear and concise in oral communication	15. PROFESSIONAL ETHICS (Comments on all 6 are where the rated officer is deficient in performance of these characteristics)					
16. DEDICATION	17. RESPONSIBILITY	18. LOYALTY	19. DISCIPLINE	20. INTEGRITY	21. MORAL COURAGE	22. SELFLESSNESS	23. MORAL STANDARDS		

DA FORM 67-8 SEP 79

REPLACES DA FORM 67-8 (AN 7) WHICH IS OBSOLETE NOV 73

US ARMY OFFICER EVALUATION REPORT

Figure 3.4 DA Form 67-8.



OFFICER EVALUATION REPORT SUPPORT FORM			
For use of this form, use DA 523-105. The proponent agency is DCSPER.			
Read Product Act Statement in Reverse before completing this form.			
<b>PART I - RATED OFFICER IDENTIFICATION</b>			
NAME OF RATED OFFICER (Last, First, MI)		GRADE	ORGANIZATION
<b>PART II - RATING CHAIN - YOUR RATING CHAIN FOR THE EVALUATION PERIOD IS:</b>			
RATER	NAME	GRADE	POSITION
INTERMEDIATE RATER	NAME	GRADE	POSITION
SENIOR RATER	NAME	GRADE	POSITION
<b>PART III - VERIFICATION OF INITIAL FACE-TO-FACE DISCUSSION</b>			
AN INITIAL FACE-TO-FACE DISCUSSION OF DUTIES, RESPONSIBILITIES, AND PERFORMANCE OBJECTIVES FOR THE CURRENT RATING PERIOD TOOK PLACE ON _____			
RATED OFFICER'S INITIALS _____ RATER'S INITIALS _____			
<b>PART IV - RATED OFFICER (Complete a, b, and c below for the rating period)</b>			
a. STATE YOUR SIGNIFICANT DUTIES AND RESPONSIBILITIES			
DUTY TITLE IS _____ THE POSITION CODE IS _____			
b. INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES			

DA FORM 67-8-1  
FEB 85

EDITION OF SEP 79 IS OBSOLETE

Figure 3.5 DA Form 67-8-1.

c. LIST YOUR SIGNIFICANT CONTRIBUTIONS	
SIGNATURE AND DATE	
PART V - RATER AND/OR INTERMEDIATE RATER (Review and comment on Part IVa, b, and c above. <i>Insure remarks are consistent with your performance and potential evaluation on DA Form 67-8.</i> )	
a. RATER COMMENTS (Optional)	SIGNATURE AND DATE (Mandatory)
b. INTERMEDIATE RATER COMMENTS (Optional)	SIGNATURE AND DATE (Mandatory)
DATA REQUIRED BY THE PRIVACY ACT OF 1974 (5 U.S.C. 552a)	
<p>1. AUTHORITY: Sec 301 Title 5 USC; Sec 3012 Title 10 USC.</p> <p>2. PURPOSE: DA Form 67-8, Officer Evaluation Report, serves as the primary source of information for officer personnel management decisions. DA Form 67-8-1, Officer Evaluation Support Form, serves as a guide for the rated officer's performance, development of the rated officer, enhances the accomplishment of the organization mission, and provides additional performance information to the rating chain.</p> <p>3. ROUTINE USE: DA Form 67-8 will be maintained in the rated officer's official military Personnel File (OMPF) and Career Management Individual File (CMIF). A copy will be provided to the rated officer either directly or sent to the forwarding address shown in Part I, DA Form 67-8. DA Form 67-8-1 is for organizational use only and will be returned to the rated officer after review by the rating chain.</p> <p>4. DISCLOSURE: Disclosure of the rated officer's SSN (Part I, DA Form 67-8) is voluntary. However, failure to verify the SSN may result in a delayed or erroneous processing of the officer's OER. Disclosure of the information in Part IV, DA Form 67-8-1 is voluntary. However, failure to provide the information requested will result in an evaluation of the rated officer without the benefits of that officer's comments. Should the rated officer use the Privacy Act as a basis not to provide the information requested in Part IV, the Support Form will contain the rated officer's statement to that effect and be forwarded through the rating chain in accordance with AR 623-105.</p>	

GPO : 1985 O - 461-033 (27180)

Figure 3.5 DA Form 67-8-1 (cont'd).





process between the rater and the rated officer and to permit the rated officer to describe his/her principal duties, objectives, and significant contributions. Therefore, performance improvement of Army officers can be enhanced by increasing communication between superior and subordinates. This would affect overall morale.

DA Form 67-8-2 (see Figure 3.6) is used by headquarters of DA (HQDA) to track the rating history of each senior rater and makes this information available to both the senior rater and DA, as one copy of this form is made available to each U.S. Army senior rater to make him/her aware of his/her performance as an evaluator and a second copy is filed in the senior rater's official military personnel file (OMPF). This form works to prevent the inflation of marks as with Part VII of DA Form 67-8 and is a pertinent model to the ROKAOPES.

## 2. The Navy System

The purposes of the U.S. Navy officer fitness reporting system are the primary basis of comparing and selecting officers for promotion, assignment, selection for command, and professional training. In order to accomplish this, a rater first completes an appraisal work sheet (Form NAVPERS 1611/1W Rev. 3-80) (see Figure 3.7) which serves as a guide for completion of the Report on the Fitness of Officers (NAVPERS 1611/1 Rev. 5-77) (see Figure 3.9) which is designed to be processed by optical character recognition (OCR) equipment. A few evaluation factors in the appraisal work sheet were reinforced on 31 July 1984 (see Figure 3.8). The appraisal work sheet is used to define the measures based on Specific Aspects of Performance and Personal Traits and the rating scale from A to I is used in grading the various performance aspects and personality traits. Completing this sheet, the rater interviews with the rated officer.

NAVPERS 161710 (REV. 1 68) 540 (OBSOLETE) 010-1100 APPRAISAL WORK SHEET

1 NAME (Last, First, Middle) \_\_\_\_\_ 2 GRADE \_\_\_\_\_ 3 DESIG \_\_\_\_\_ 4 SSN \_\_\_\_\_

5 ACQUITA TENSIC \_\_\_\_\_ 6 UNIT ID CODE \_\_\_\_\_ 7 SHIP OR STATION \_\_\_\_\_ 8 DATE REPORTED \_\_\_\_\_

OCCASION OF REPORT  
 9  PERIODIC 10  DETACHMENT OF REPORTING SENIOR 11  DETACHMENT OF OFFICER PERIOD OF REPORT  
 12 FROM \_\_\_\_\_ 13 TO \_\_\_\_\_

TYPE OF REPORT  
 14  REGULAR 15  CONSULTANT 16  SPECIAL 17  OPS CDR BASIS FOR OBSERVATION  
 18  CLOSE 19  FREQUENT 20  INFREQUENT

21 EMPLOYMENT OF COMMAND (Summarize major activities or assignments during this reporting period. Do not list your duties, unless so ordered by your superior.) \_\_\_\_\_ 22 DAYS OF COMBAT \_\_\_\_\_

23 REPORTING SENIOR \_\_\_\_\_ 24 TITLE \_\_\_\_\_ 25 GRADE \_\_\_\_\_ 26 DESIG \_\_\_\_\_ 27 SSN \_\_\_\_\_

**GENERAL INSTRUCTIONS**

This appraisal form shall be prepared in some two parts. First in order to presentation of the OCR Sheet. Around each and around to present location for the performance appraisal statement.

All evaluations made in this report shall be in accordance with officers of the same grade, comparable category (i.e., ungraded) and with ungraded non-commissioned ranks (i.e., petty officer, chief petty officer, etc.) and appropriate rates in grade within the same branch.

Due to space limitations of the OCR Sheet it is necessary to rephrase the evaluation marks assigned in the report sheets. The corresponding O.C.R. code letters are shown below. To present information more so O.C.R. code letter has been provided for each of these marks in separate message in the instructions to the O.C.R. Sheet.

General comments are required in item 21. Also mark to report with an additional (7) narrative advisory and appropriate comments are required in item 22. The latter reporting advisory marks shall be included as well and be given the appropriate code letters.

28 DUTIES ASSIGNED (Summarize duties assigned, primary sustained duties and worth assignments, including number of months assigned each during the period of report. Indicate the nature of special or other assignments due to reassignment, temporary additional duty and leave and report between duty stations. For reports based on other than 12 months reporting, the number of months shall be indicated by the number of months duty was performed plus actual unreported from the reporting period if available (e.g., 11). These dates shall not necessarily include the entire duty in the reporting period. (Refer to BUPERS Form 161711 for O.C.R. Code Book.)

**SPECIFIC ASPECTS OF PERFORMANCE** (The following items are specific aspects of performance. Each report has the sub items listed below it in order to determine if and in what degree the performance appraisal statement. As you evaluate the officer in each performance report, refer to the sub items and place marks in the appropriate boxes to the right of the sub item. The marks in the sub items boxes are designed to be used in the reporting period for the performance appraisal statement. It is not intended to be used for the O.C.R. Sheet. After reporting the sub items and sub items are given regarding greater emphasis, report on program sheet from the O.C.R. Sheet and pass the appropriate message code letter to the O.C.R. Sheet letter box to the right of each mark for report to the O.C.R. Sheet (Items 28 through 37).

TRANSCRIPTION CODE	R A B C D E F G H I										R.A./R.O.	A. INTENSITIV STRENGTH	AN ASSET	NEEDS GREATER EMPHASIS	OCR CODE LETTER
	HIGH			MED			LOW			MARK					
29. GOAL SETTING AND ACHIEVEMENT															
A. PURSUES PROFESSIONAL DEVELOPMENT IN POSITIVE AND FORMAL MANNER															
B. MEETING PROFESSIONAL QUALIFICATION STANDARDS IN TIMELY MANNER															
C. DEMONSTRATES HIGH STANDARDS OF EXCELLENCE IN PERSONAL ACHIEVEMENTS															
D. DEFINES REALISTIC GOALS															
E. DEVELOPS PLANS AND PRIORITIES															
F. INVOLVES SUBORDINATES IN PLANNING															
G. RESPONDS POSITIVELY TO CHANGING CIRCUMSTANCES															
H. EFFECTIVELY ACHIEVES GOALS															
NOTE: FOR COMMANDERS, COMMANDING OFFICERS AND OFFICERS-IN-CHARGE, THE FOLLOWING CONSIDERATIONS IN ADDITION TO THE ABOVE WILL BE MADE AS APPROPRIATE:															
I. DEVELOPS UNIT GOALS CONSISTENT WITH THE OBJECTIVES OF HIGHER AUTHORITY															
J. ESTABLISHES REALISTIC PRIORITIES AMONG UNIT GOALS AND ACHIEVES A PROPER BALANCE OF EFFORT EXPENDED BETWEEN SHORT TERM AND LONG TERM OBJECTIVES															
K. EFFECTIVELY UTILIZES AVAILABLE RESOURCES IN UNIT GOAL ATTAINMENT															
30. SUBORDINATE MANAGEMENT AND DEVELOPMENT															
A. ESTABLISHES SOUND AND CONSISTENT POLICIES															
B. CONSIDERS THE IDEAS AND SUGGESTIONS OF SUBORDINATES															
C. IS EFFECTIVE IN PERSONAL SUPERVISION															
D. DELEGATES AUTHORITY APPROPRIATE WITH SUBORDINATES' CAPABILITIES															
E. UNDERSTANDS, USES AND ENCOURAGES EFFECTIVE PRINCIPLES OF LEADERSHIP															
F. DEMONSTRATES THE ABILITY TO INSPIRE AND LEAD															
G. DISPLAYS INTEGRITY AND MORAL COURAGE															
H. ACHIEVES POSITIVE RETENTION RESULTS															
I. ENSURES PROPER POSITION MANAGEMENT I.E. ECONOMIC STRUCTURING OF THE ORGANIZATION															
J. ENSURES CIVILIAN POSITIONS ARE PROPERLY CLASSIFIED: I.E. COMPLETE AND ACCURATE BUT UNMPLATED POSITION DESCRIPTIONS THAT HAVE BEEN SUBMITTED TO PROPER AUTHORITY FOR CLASSIFICATION AND HAVE BEEN PERIODICALLY REVIEWED AS REQUIRED BY REGULATIONS PROMPT ACTION TO ELIMINATE ANY OVERGRADED SITUATIONS.															
NOTE: FOR COMMANDERS, COMMANDING OFFICERS AND OFFICERS-IN-CHARGE, THE FOLLOWING CONSIDERATIONS IN ADDITION TO THE ABOVE WILL BE MADE AS APPROPRIATE:															
K. PLACES SUBORDINATES IN CHALLENGING SITUATIONS TO DEVELOP THEIR ABILITIES															
L. EFFECTIVELY ACHIEVES PERSONNEL READINESS OBJECTIVES INCLUDING RETENTION															
M. DEVELOPS OR MAINTAINS EFFECTIVE AND PROFESSIONAL QUALIFICATION PROGRAMS WHICH RESULT IN A HIGH LEVEL OF READINESS AMONG ALL PERSONNEL INCLUDING NAVAL RESERVE AUGMENTATION PERSONNEL.															

Figure 3.7 Appraisal Work Sheet.



36. ABILITY TO SPEAK IN AN EFFECTIVE MANNER  OCR CODE LETTER

37. ABILITY TO WRITE IN AN EFFECTIVE MANNER  OCR CODE LETTER

**WARFARE SPECIALTY SKILLS** (Designated proficiency and knowledge in executing the warlike specialty. Indicate proficiency in each applicable skill area by marking appropriate block from the scale and place the transcription code letter in the OCR code letter box.)

TRANSCRIPTION CODE									
N	A	B	C	D	E	F	G	H	I
N/A / N/O				HIGH			MID		LOW
									None (Unsat)
RANGE									

OCR CODE LETTER

SEAMANSHIP 18 \_\_\_\_\_

AIRMANSHIP 19 \_\_\_\_\_

WATCH STANDING 40 \_\_\_\_\_

41, 42, 43. (LEAVE BLANK ON OCR FORM)

**SUBSPECIALTY** (Complete if appropriate)  
 SUBSPECIALTY CODE (Enter subspecialty code from latest ODCR)

SUBSPECIALTY REQUIRED BY BILLET (Indicate whether billet is subspecialty coded)

SUBSPECIALTY UTILIZATION (Indicate degree of utilization of subspecialty)

44.  YES  NO  FREQUENT  INTER-MEDIAN  NONE

**SUBSPECIALTY PERFORMANCE** (Indicate evaluation of subspecialty performance by selecting appropriate block from the scale in WARFARE SPECIALTY SKILLS and place the transcription code letter in the OCR code letter box.)

54.  OCR CODE LETTER

**MISSION CONTRIBUTION** (Indicate the officer's performance with regard to contribution to the unit's mission, including effective execution of personnel and the amount and completion of assigned tasks.)

**EVALUATION** (Indicate evaluation by placing an "X" in appropriate box and provide supporting comments in section 52. Emphasize how well the officer responded to mission circumstances while effectively managing personnel and the mission.)

**SUMMARY DESCRIPTION** (Enter the rank of all officers of this rank and complete columns marked in each corresponding block of item 51 on reports submitted by you on this occasion. Enter 0 for none. Include the officer in the summary. Include Region, Component, and Service Report submitted by you on officers of this rank on this occasion.)

RANGE	NOT OBS	HIGH		MID		LOW	
						None	Unsat
51. EVALUATION							
52. SUMMARY							

**TREND OF PERFORMANCE** (Place last report)

55.  Plus Report  Constant  Improving  Deteriorating

**DESIRABILITY** (Indicate your overall rating having this officer under your command in the following category of assignment. Select the transcription code letter corresponding to the rating description, and place it in the OCR code letter box.)

OCR CODE LETTER	OCR CODE LETTER	DESIRABILITY
57. <input type="checkbox"/> Excellent	58. <input type="checkbox"/> Above Good	N/A / N/O
58. <input type="checkbox"/> Operational	59. <input type="checkbox"/> Foreign Shore	PARTIC. DESIRE
59. <input type="checkbox"/> Staff		PREFER
		PLEASED
		SAT
		PREFER "NOT"
		TRANSCRIPTION CODE
		N A B C D E F G H I

**RECOMMENDATION FOR PROMOTION** (As a commander of the officer's military performance and potential during the promotion period, would you recommend (Indicate recommendation by "X" in appropriate box.)

**IF THIS OFFICER IS RECOMMENDED FOR EARLY PROMOTION** (read with all officers in the same grade and competitive category recommended for early promotion during the reporting period. Indicate total number of such officers in the number recommended box. Indicate the officer's ranking in the ranking box. If the officer is 1 of 3 place a "1" in the ranking box, if 1 of 1 place a "1" in the box.)

62.  Early Promotion  Regular Promotion  No Promotion  Possible Reassignment  Ranking

**PERSONAL TRAITS** (How do you rate this officer in exhibiting the following qualities? Indicate evaluation by selecting appropriate block from the scale in WARFARE SPECIALTY SKILLS and place the transcription code letter in the OCR code letter box.)

63.  Judgment (Sound reasoning, arrives logical conclusions)

64.  Imagination (Resourcefulness, creative, constructive planner)

65.  Analytical ability (Logical discrimination between speculation and fact)

66.  Personal behavior (Demonstrates credibility and public behavior)

67.  Personality (Pleasant and unobtrusive performance of duty)

68.  Military bearing (Smartness in appearance, correctness of uniform, physical fitness, adherence to correct standards must be taken into consideration)

(LEAVE BLANK ON OCR FORM) 72  73  74  75  76

**WEAKNESSES** (Significant weaknesses should be discussed with the officer. Has this been done?)

77.  None (None Significant)  Yes  No

80. **STATEMENT** (The officer shall either indicate that a statement is attached on the reverse side to make a statement.)

82. SIGNATURE OF OFFICER EVALUATED (NAV SUPERS INST 1611.12 apply)

83. DATE FORWARDED (Date reporting senior signed and forwarded report)	84. INACTIVE NAVAL RESERVE ONLY	85. SIGNATURE OF REPORTING SENIOR
86. DATE FORWARDED (Date reporting senior signed and forwarded (concurrent)/special report)	87. SIGNATURE OF REGULAR REPORTING SENIOR ON CONCURRENT AND (CONCURRENT)/SPECIAL REPORT	

88. **COMMENTS** (Paraphrase comments upon the officer's overall leadership ability, personal traits not listed above, and pertinent or actual performance in number. Indicate comments pertaining to unique skills and attributes that may be important to career development and future assignments. A mark in boxes with an asterisk (\*) indicates officer's and reporting seniors are required.)

Figure 3.7 Appraisal Work Sheet (cont'd).

ISA. TO BE UTILIZED AS DIRECTED IN SUPPORT OF CURRENT CMO OBJECTIVES

Figure 3.7 Appraisal Work Sheet (cont'd).

41. TACTICAL PROFICIENCY	NA/NO	A NOTEWORTHY STRENGTH	AN ASSET	NEEDS GREATER EMPHASIS	OCR LTR CODE
	A. Knowledge of weapon systems functions and capabilities.				
B. Proficiency and leadership in the tactical employment of weapon systems.					
C. Knowledge and judgement in application of tactical doctrine.					
D. Positive innovation and contribution to tactical development.					
E. Demonstrated ability to anticipate and react correctly to dynamic tactical environment.					

42. LEADERSHIP	NA/NO	A NOTEWORTHY STRENGTH	AN ASSET	NEEDS GREATER EMPHASIS	OCR LTR CODE
	A. Inspires Loyalty.				
B. Establishes and maintains equitable and consistent policies.					
C. Sets and achieves high standards					
D. Emulated by others.					
E. Task oriented, assimilates concepts and articulates direction; gets the job done.					
F. Displays integrity and moral courage.					
G. Promotes spirit of teamwork and sustains high morale while accomplishing mission.					
H. Provides effective command presence.					

Figure 3.8 Added Elements of the Appraisal Work Sheet.

After finishing this appraisal work sheet, the rater grades a rated officer on Specific Aspects of Performance, Warfare Specialty Skills, and Subspecialty Performance based on the previous completed appraisal work sheet. Each grade, combined and described by the required narrative comments, is the basis for determining the Mission Contribution evaluation. The Mission Contribution is differentiated in High, Mid, and Low. High consists of 1%, 5%, 10%, and 30% in grade. Mid has 50% and 50%. Low has 30%, 10%, and 5%. A rated officer placed in the highest range of the Evaluation section can be recommended for promotion, but this requirement is not mandatory. A recommendation for early promotion is entirely acceptable for such nomination to be made regardless of the time in grade or promotional eligibility, for this procedure serves to identify the "head and shoulders" type performers. The rated officer can be placed by above proportion in a proper place of the Evaluation section. The Summary is the distribution of the total evaluation marks given other officers of the same promotionally competitive category as a rated officer at that date by the rater. The rater must rank these officers numerically from one to the total number. Also this section is left blank below the level of lieutenant. The first two copies of the Report on the Fitness of Officers are sent to HQ Navy, the rater maintains one copy, and the last copy is sent to the rated officer. If discriminations of the rated officer from the old report during the next rating period occur, the rater completes the next rating report based on the discrimination such as improvement or backward movement. This method usually makes the rated officer improve his potential [Ref. 21: pp. 1-28].

However, a rater must complete the Report on the Fitness of Officers with 88 evaluation items per rated officer as well as the appraisal work sheet, such complexity

P1111-1

03

REPORT ON THE FITNESS OF OFFICERS

1 NAME (LAST, FIRST, MIDDLE)		2 GRADE		3 DESIG.		4 SSN	
5 ACOUTRA/TEMAC		6 UIC		7 SHIP/STATION		8 DATE REPORTED	
9 PER-IOOCG		10 DETACHMENT OF REPORTING SENIOR		11 DETACHMENT OF OFFICER		12 PERIOD OF REPORT FROM: TO:	
14 REGULAR		15 COM. CURRENT		16 SPECIAL		17 OPS CDR	
18 CLOSE		19 FREQUENT		20 INFREQUENT		21 EMPLOYMENT OF COMMAND (CONTINUED ON REVERSE SIDE OF RECORD COPY)	
22 DAYS OF COMBAT		23 REPORTING SENIOR (LAST NAME, FI, MI)		24 TITLE		25 GRADE	
26 DESIG.		27 SSN		28 DUTIES ASSIGNED (CONTINUED ON REVERSE SIDE OF RECORD COPY)			
29 GOAL SETTING & ACHIEVEMENT		30 SUBORDINATE MANAGEMENT & DEVELOPMENT		31 WORKING RELATIONS		32 EQUIP & MATERIAL MGMT	
33 NAVY OR OAS SUPPORT		34 RESPONSE IN STRESSFUL SITUATIONS		35 EQUAL OPPORTUNITY		36 SPEAKING ABILITY	
37 WRITING ABILITY		38 WARFARE SPECIALTY SKILLS (FROM OCR WORK SHEET)		39 SEA-MANSHIP		40 WATCH STANDING	
41 TACTICAL PROFICIENCY		42 LEADERSHIP		43		44 SUBSPECIALTY CODE	
45 REQUIRED BY BILLET		46 YES		47 NO		48 UTILIZATION	
49 YES		50 NO		51 YES		52 NO	
53 NONE		54 NONE		55 NONE		56 NONE	
MISSION CONTRIBUTION		NOT OBS.		HIGH		MID	
LOW		MARK		UNSAT*		57 EVALUATION	
58 SUMMARY							
59 TREND OF PERFORMANCE							
60 FIRST REPORT		61 CONSISTENT		62 IMPROVING		63 DECLINING*	
64 DESIRABILITY (TYPE IN OCR CODE FROM WORK SHEET)		65 COM-MAND		66 OPERATIONAL		67 STAFF	
68 JOINT/OSD		69 FOREIGN SHORE		70 RECOMMENDATION FOR PROMOTION		71 RANKING FOR EARLY PROMOTION	
72 EARLY		73 REGULAR		74 NO*		75 NUMBER RECOMMENDED	
76 RANKING		77 PERSONAL TRAITS (TYPE IN OCR CODE FROM WORK SHEET)		78 IMAGINATION		79 ANALYTIC ABILITY	
80 PERSONAL BEHAVIOR		81 FORCEFULNESS		82 MILITARY BEARING		83 WEAKNESSES DISCUSSED	
84 NONE NOTED		85 YES		86 NO*		87 STATEMENT	
88 NOT DESIRED		89 ATTACHED		90 SIGNATURE OF OFFICER EVALUATED (NAV SUPERS INST 1611-12-SERIES). I ACKNOWLEDGE THAT I HAVE SEEN THIS REPORT, HAVE SEEN APPRISED OF MY PERFORMANCE AND WANT TO MAKE A STATEMENT			
91 SIGNATURE OF REPORTING SENIOR							
92 DATE FORWARDED		93 REG PART		94 SIGNATURE OF REGULAR REPORTING SENIOR ON CONCURRENT AND CONCURRENT/SPECIAL REPORT			
95 DATE FORWARDED		96					

NAVPERS 1611/1 (REV. 7-69) GPO 5100-LF-010-1101

U.S. GOVERNMENT PRINTING OFFICE: 1984-432-141

WORK SHEET

DETACH WORK SHEET BEFORE COMPLETING FORM

\*Comments are required. Enter comments in Section 88 on RECORD, OFFICER and REPORTING SENIOR'S copies. DO NOT ATTACH CONTINUATION PAGES TO OCR COPY.

Figure 3.9 Report on the Fitness of Officers.



21. EMPLOYMENT OF COMMAND (Continued)

---

22. DUTIES ASSIGNED (Continued)

---

23. COMMENTS. Particularly comment upon the officer's overall leadership ability, personal traits not noted on the reverse side, and estimate of actual performance in command. Include comments pertaining to unique skills and distinctions that may be important to career development and future assignment. A mark in boxes with an asterisk (\*) indicates adversity and supporting comments are required.

Figure 3.9 Report on the Fitness of Officers (cont'd).

in the evaluation process gives the rater a heavy workload. One other important factor is to have only one rater do the evaluation. When evaluation is being done by only one rater is considered with the previous argument, the results of the evaluation may be questionable in accuracy. On the other hand, one of the characteristics in the Navy system is the attempt to separate the personal traits from overall evaluation based upon Mission Contribution. This is a model for the ROKAOPES. Second, the Report on the Fitness of Officers takes advantage of the machine readable, OCR feature of the form and allow statistical analysis of performance marks.

### 3. The Air Force System

The purpose of the Air Force Officer Evaluation System is not only to provide the Air Force with information on the performance and potential of officers for use in making personnel management decisions such as promotions, assignments, selections, and separation, but also to provide individual officers information on their performance and potential as viewed by their evaluations. Air Force Regulation 36-10 and Air Force Pamphlet 36-26 explains the Air Force Officer Evaluation System.

Ten performance items with detailed BARSS (see Appendix A) are described in AF Form 707 (see Figure 3.10) and BARSS are detached from AF Form 707 and are contained in Air Force Regulation 36-10. To evaluate potential, a number from 1 through 6 with six blocks are chosen by three evaluators: rater, additional rater, and indorser. According to AFR 36-10:

rating of "1" should be given to those officers who possess the highest degree of potential to successfully handle increased responsibility. A rating of "2" identifies those extremely effective officers who have clearly demonstrated potential for expanded or more diverse responsibility. A rating of "3" should be awarded to officers who are performing well at their current level of responsibility but whose potential for expanded or more diverse responsibilities needs to be more clearly demonstrated. in the 4, 5, and 6 blocks identify officers who have demonstrated insufficient

potential to assume increased responsibility and a "4" rating should be given when performance during the rating period reflects less than average potential and the officer needs to improve before being awarded increased responsibility. The "5" rating describes the officer whose performance during the period is marginal and does not indicate potential for increased responsibility. The "6" rating constitutes a referral report. Specific justification is required if an officer is given the lowest rating. The comments of the evaluator assigning this rating will include a statement as to whether the officer can continue in his/her current assignment and be expected to achieve an acceptable level of performance. Justification for the rating must include specific examples, and indicate whether weaknesses are a result of insufficient experience and qualifications or lack of motivation and disinterest in the job [Ref. 22: p. 43].

In the rating chain, the rater is the rated officer's immediate supervisor, the additional rater is the rater's rater, and the indorser is the additional rater's rater. According to AFR 36-10, the indorser through Indorser comments in AF Form 707 supervises the rater and the additional rater as the following:

The indorser reviews the ratings and comments for completeness and impartiality, and indicates agreement or disagreement with the previous evaluator. Even though an indorser may not have personal knowledge of the ratee, an effective review of the report can be accomplished. This review serves both the purpose of quality control over individual reports and the control over rater tendencies to overrate. The indorser should reject improperly prepared reports and downgrade ratings not substantiated or reflecting unacceptable inflationary practices [Ref. 22: p. 43].

One advantage of the Air Force system is that users of AF Form 707 in the HQ AF can easily and completely understand the rated officer's performance achievement and individual's traits because BARS is various and quite detailed (if it is assumed that the report is evaluated accurately).

The second is that three steps such as the rater, the additional rater and the indorser in rating chain are used in order to increase accuracy.

The third is that since BARSs are detailed, a rater can easily evaluate a rated officer's traits. Also the

RATER IDENTIFICATION DATA <i>Read APR 65-1, APR 65-2 before this form</i>						
1. NAME (Last, first, middle initial)		2. SSAN (Include zeros)		3. GRADE	4. DAFC	
5. ORGANIZATION COMMAND LOCATION					6. PAS CODE	
7. PERIOD OF REPORT FROM: _____ THRU: _____			8. NO. DAYS OF SUPERVISION	9. REASON FOR REPORT		
11. JOB DESCRIPTION - DUTY TITLE: 12. KEY DUTIES, TASKS AND RESPONSIBILITIES:						
III. PERFORMANCE FACTORS						
<i>(Specific example of performance required)</i>	NOT OBSERVED OR NOT RELEVANT	FAR BELOW STANDARD	BELOW STANDARD	MEETS STANDARD	ABOVE STANDARD	WELL ABOVE STANDARD
1. JOB KNOWLEDGE ( <i>Depth, currency, breadth</i> )	0	—	—	—	—	—
2. JUDGMENT AND DECISIONS ( <i>Consistent, accurate, effective</i> )	0	—	—	—	—	—
3. PLAN AND ORGANIZE WORK ( <i>Timely, efficient</i> )	0	—	—	—	—	—
4. MANAGEMENT OF RESOURCES ( <i>Manpower and material</i> )	0	—	—	—	—	—
5. LEADERSHIP ( <i>Initiative, accept responsibility</i> )	0	—	—	—	—	—
6. ADAPTABILITY TO STRESS ( <i>Stable, flexible, dependable</i> )	0	—	—	—	—	—
7. ORAL COMMUNICATION ( <i>Clear, concise, confident</i> )	0	—	—	—	—	—
8. WRITTEN COMMUNICATION ( <i>Clear, concise, organized</i> )	0	—	—	—	—	—
9. PROFESSIONAL QUALITIES ( <i>Attitude, dress, cooperation, bearing</i> )	0	—	—	—	—	—
10. HUMAN RELATIONS ( <i>Equal opportunity participation, sensitivity</i> )		—	—	—	—	—

AF FORM NOV 79 707

PREVIOUS EDITIONS ARE OBSOLETE.

OFFICER EFFECTIVENESS REPORT

Figure 3.10 AF Form 707.



Officer Personnel Evaluator's Handbook with BARSs is distributed to all AF officers as a guide for rating. The use of detailed BARSs would be a model to the ROKAOPES. From another point of view, because a set of this BARS is separated from the Officer Effectiveness Report, there is doubt that this BARS is effectively used as much as it is expected to be used. Three of eleven Air Force officers whom this author has interviewed have little experience in the use of this BARS in evaluating their subordinates. Rather they have evaluation experience for their subordinates with their own sense.

#### 4. The Marine Corps System

The primary purpose of the performance evaluation system of the Marine Corps (MC) is to support the selection, promotion, and retention of the best qualified Marines and additionally to aid the assignment of personnel. For this purpose, the MC Evaluation System is required to be accurate, timely, complete, and informative for Selection Boards. MC Order P1670.7c governs the evaluation system and USMC Fitness Report (1610) (see Figure 3.11) with an OCR like the Navy system is used. The USMC Fitness Report consists of 4 sections. Evaluation is done by a graphic rating scale and narrative description. Evaluation factors are divided into Performance characteristics, Professional qualities, Potential, and Preference factors. Block 15a, "General Value to the Service" is the rater's assessment of the rated officer's current contribution to the MC and career capabilities. Therefore, it has to be a measure of the whole Marine in relation to his contemporaries, not a mere summary of blocks 13 and 14. Because of this importance, block 15a has 11 rating scales from Outstanding to Not Observed. Block 15b is distribution of marks for all Marines of this grade and not forced distribution. According to MCO P1670.7c, "block 15b must reflect all Marines of the same grade for whom the evaluator was the

# USMC FITNESS REPORT

U.S. GOVERNMENT PRINTING OFFICE: 1955-56628

USMC FITNESS REPORT (1610)  
 NAVY FORM 1085 (Rev. 1-55)  
 PREVIOUS EDITIONS OF THIS FORM ARE OBSOLETE

ALIGNMENT LINE

REF. NO. PD 1617

SECTION A. COMPLETED BY REPORTING SENIOR (USE LOC FOR IDENTIFICATION ONLY)	1. PROGRAM a. DFR b. OCC		2. MARINE REPORTED ON a. LAST NAME b. FIRST NAME c. GRADE d. IDENTIFICATION NO. e. GRADE		3. OCCASION AND PERIOD COVERED a. OCC b. PERIOD: FROM-TO c. TYPE d. PERIOD OF RESPONSIBILITY OR OF THIS REPORTING ASSIGNMENT	
	4. DUTY ASSIGNMENT a. DUTY TITLE b. ADDRESS c. T/O NO. d. USE NO. e. GRADE		5. SPECIAL INFORMATION a. QUALIFICATION b. REVIEWING OFFICER'S NO.		6. RESERVED FOR FUTURE USE	
	7. RESERVED FOR FUTURE USE		8. OCCASIONAL RESERVE DUTIES a. TYPE b. PERIOD		9. DEPENDENTS REQUIRING TRANSPORTATION a. NO. b. LOCATION c. ADDRESS	
	10a. DUTY PREFERENCE (Cash) a. NO. b. ADDRESS		10b. DUTY PREFERENCE (Descriptive Title) (Assigned or Proposed) a. NO. b. ADDRESS		11. REPORTING SENIOR a. SERVICE b. GRADE c. IDENTIFICATION NO. d. NAME AND DUTY ASSIGNMENT	
SECTION B. COMPLETED BY REPORTING SENIOR (USE BLACK INK AND FILL IN BOX TO INDICATE YOUR ESTIMATE OF THIS MARINE)	12. SPECIAL CASE (Mark if applicable) NOT OBSERVED <input type="checkbox"/> EXTENDED REPORT <input type="checkbox"/>		14a. ATTENTION TO DUTY 14b. COOPERATION 14c. INITIATIVE 14d. JUDGMENT 14e. PRESENCE OF MIND 14f. FORCE 14g. LEADERSHIP 14h. LOYALTY		15a. "ONE ESTIMATE OF THE MARINE'S 'GENERAL VALUE TO THE SERVICE.' 15b. DISTRIBUTION OF MARKS FOR ALL MARINES OF THIS GRADE: 15c. FILL BOXES SO THAT THE SUM OF EACH COLUMN CORRESPONDS TO ITEM 15a.	
	1. PERFORMANCE REGULAR DUTIES 1.1. ADDITIONAL DUTIES 1.2. ADMINISTRATIVE DUTIES 1.3a. HANDLING OFFICERS (Leave not to report) 1.3b. HANDLING ENLISTED PERSONNEL 1.3c. TRAINING PERSONNEL 1.3d. TACTICAL HANDLING OF TROOPS 1.4. ENDURANCE 1.5. PERSONAL APPEARANCE 1.6. MILITARY PRESENCE		17. HAS MARINE BEEN THE SUBJECT OF ANY OF THE FOLLOWING REPORTS? a. COMMANDATORY b. ADVISE c. DISCIPLINARY ACTION 18. REPORT BASED ON OBSERVATION 19. QUALIFIED FOR PROMOTION 20. RECOMMENDATION FOR HONORARY DUTY 21. RESERVED FOR FUTURE USE		CONSIDER THE MARINE REPORTED ON IN COMPARISON WITH ALL OTHERS WHOSE PROFESSIONAL ABILITIES ARE KNOWN TO YOU PERSONALLY	
	2. QUALITIES 2a. PERSONAL RELATIONS 2b. ECONOMY OF MANAGEMENT 2c. GROWTH POTENTIAL		22. REPORT BASED ON OBSERVATION 23. QUALIFIED FOR PROMOTION 24. RECOMMENDATION FOR HONORARY DUTY 25. RESERVED FOR FUTURE USE			
SECTION C. REPORTING SENIOR (USE IDENTIFICATION)	RECORD A CONCISE APPRAISAL OF THE PROFESSIONAL CHARACTER OF MARINE REPORTED ON. THIS SPACE MUST NOT BE LEFT BLANK.					
SECTION D. SIGNATURES	22. I CERTIFY the information in section A is correct to the best of my knowledge.		23. I CERTIFY that to the best of my knowledge and belief all entries made herein are true and without prejudice or partiality.			
	Signature of Marine reported on _____ Date: _____		Signature of Reporting Senior _____ Date: _____			
	24. (Check one unless required) I HAVE SEEN THIS COMPLETED REPORT AND <input type="checkbox"/> I HAVE NO STATEMENT TO MAKE <input type="checkbox"/> I HAVE ATTACHED A STATEMENT.		25. REVIEWING OFFICER (Name, Grade, Service, Duty Assignment)		25a. INITIALS 25b. DATE	
	Signature of Marine reported on _____ Date: _____		Signature of Reporting Senior _____ Date: _____			

← STAPLE ADDITIONAL PAGES HERE

Figure 3.11 USMC Fitness Report.

MARINE REPORTED ON (Last name) (First name) (M.I.)	GRADE	IDENTIFICATION NO.	PERIOD (From)	To	OCCASION
--	-------	--------------------	---------------	----	----------

**REPORTING SENIOR'S CERTIFICATION**

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

NAME (Last First M.I.)	PMOS	NAME (Last First M.I.)	PMOS
------------------------	------	------------------------	------

SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

**REVIEWING OFFICER'S CERTIFICATION**

1.  I have not had sufficient opportunity to observe this Marine, so I have no comment.
2.  I have had only limited opportunity to observe this Marine, but from what I have observed I generally concur with the Reporting Senior's marks in Items 15a and b.
3.  I have had sufficient opportunity to observe this Marine, and concur with the Reporting Senior's marks in Items 15a and b.
4.  I have had sufficient opportunity to observe this Marine, and do not concur with the Reporting Senior's marks in Items 15a and b. I would evaluate this Marine as \_\_\_\_\_ (Item 15a) and rank this Marine as \_\_\_\_\_ of \_\_\_\_\_ (only rank those evaluated as Outstanding (OS)).

REMARKS (mandatory if Item 4 above is checked):

SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

NOTE: The information above WILL NOT be entered into any computer program.

Figure 3.11 USMC Fitness Report (cont'd).



reporting senior at the time of the report, as if all had been included in the reporting occasion. Inclusion of all Marines of the same grade in this distribution is mandatory, whether or not reports are actually submitted on the others at the same time. Reporting senior must exercise utmost care and attention ensuring that item 15b is accurate and factually reflects the actual evaluation assigned (or that would have been assigned if reports were submitted on) all Marines of the same grade. Artificial cluster or false distribution is unacceptable". Therefore, block 15a and b satisfy the purpose of the MC Evaluation System. Section c refers to Mandatory comments, Guided comments, and Comments by grade. There are two kinds of rating methods, that is the absolute evaluation method in block 15a and the relative evaluation method in reporting senior's and reviewing officer's certification of page 2. This helps make the raters accurate and gain high credibility in evaluating their subordinates. The reporting senior's and reviewing officer's certification on page 2 of the Fitness Report certify and amplify the information recorded on the front page. In particular, to ensure Marines are provided feedback on their performance evaluation records on file at HQ MC, they receive the Fitness Report Receipt Notice (see Appendix B), copies of their Master Brief Sheet (see Appendix B), and OMPF which is the rated Marine's complete military history from the day of entry into the service through present [Ref. 23: Ch. 1-7]. This may assist the rated Marines in reviewing themselves and improving their merits. This system could be a model for the ROKAOPES.

#### D. SUMMARY

The ROKAOPES is accomplished by two separate and distinct systems, i.e. the relative evaluation system and the absolute evaluation system. The Army Form 1-1-22 and the Army Form 1-1-24 with the relative evaluation are annual

and mainly focus on the last work performance of the rated officers as a judgmental role. On the other hand, the Army Form 1-1-28 with the absolute evaluation focuses on the improvement in the future performance as a counseling role as well as past performance of rated officers. There are forms for field grade officers (Army Form 1-1-22) and for company grade officers (Army Form 1-1-24). Individual's merits and potential are focused on in the Army Form 1-1-22 and individual's performance attitude is focused on in the Army Form 1-1-24.

The U.S. Army system uses a simple form in evaluating the detailed evaluation factors and numerical criteria in potential evaluation in DA Form 67-8. The MBO system is also used in DA Form 67-8-1 and DA 67-8-2 to supervise the raters in HQ DA. The U.S. Navy system is designed for use with an OCR, but is complicated in the filling out an its evaluation form. The Evaluation section on the Report on the Fitness of Officers is easily understandable because of its Summary section as a total competition for each rank. The Navy system also needs one rater in the rating chain. The U.S. Air Force system is simple, but has detail BARS. The indorser takes part in evaluation and the Evaluators Handbook is used as a guide for evaluators. The MC evaluation system adopts graphic rating scales with an OCR, and uses the absolute evaluation method and the relative evaluation method. Report Based on Observation, block 18 and Opportunity to observe in the reviewing officer's certification raise the quality of information included in the MC Fitness Report. The Reviewing officer can actively supervise the reporting senior through the Reviewing Officer's Certification. In conclusion, the MC Evaluation System focuses on choosing the "Combat Marines" in considering the Fitness Report.

#### IV. AN ANALYSIS OF THE DATA

##### A. INTRODUCTION

In this chapter, the ROKAOPES is analyzed through three aspects: the system policies, the evaluation form, and the feedback of the rating results based mainly upon questionnaires, interview, and Army Regulation. Some 237 questionnaires were randomly distributed at the Army War College and the Army Logistics School, and consisted of 156 majors, 66 lieutenant colonels, and 15 colonels. The fundamental issues of the current system are analyzed in the first section and the main contents of the evaluation form are examined in the second section. In the third section, whether the rating results are effectively used is tested.

##### B. SYSTEM POLICIES

###### 1. Overall reaction of officers to the system

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

"Considering all of your experiences to the current evaluation process, what is your overall reaction with the current system?"

TABLE III  
OVERALL REACTION TO THE ROKAOPES

Contents	Number	Percentage
Positive	137	57.8 %
Negative	72	30.4 %
Others	28	11.8 %
Total	237	100.0 %

The response to this question shows that the officer corps is split in its reaction to the current evaluation system. Above half of the responses indicate that the current evaluation system generally is good. One reason is simply because the current system adapts both the relative rating and the absolute rating techniques. However, 30.4 % of the responses represent "Negative" and the majority of the "others" responded that the current evaluation system is reasonable, but needs to be amended in the evaluation factors and the Overall Evaluation of the evaluation form. Some 42.2 % are negative toward the current evaluation system. Therefore, it shows that the current system doesn't appear to work efficiently and effectively.

2. Required role of the system

The perceptions of the field grade officer corps concerning the purpose of the current evaluation system were gathered through the question which is quoted below. The response to this question is shown in Table IV.

"Considering the purpose of the evaluation system and the usage of its results, which purpose of the system needs reinforcement?"

TABLE IV  
REQUIRED ROLE OF THE EVALUATION SYSTEM

Contents	Number	Percentage
Need the improvement of the efficiency of individuals	109	46.0 %
Need the establishment of the commanding authority	77	32.5 %
Need to provide information for the fair personnel management	51	21.5 %
Don't need to be reinforced	0	0 %
Total	237	100.0 %

According to R.O.K. Army pamphlet 603-3, "The officer performance Evaluation system", the improvement of the efficiency of individuals is most emphasized among the several purposes of the evaluation system. However, 46 % of the responses assert that this purpose of the evaluation system has to be met. In other words, it shows the readers that the majority of the results of the performance evaluation is to provide information for fair personnel management and to contribute the establishment of the commanding authority, but is not satisfied in the improvement of the efficiency of individuals, one of the most important evaluation purposes. Therefore, it can be concluded that many officers would like to improve their productivity or potential capabilities through the performance rating results.

### 3. Relative rating and Absolute rating

This is one of the most important issues in the ROKAOPES. Theoretically, the primary advantage of the relative rating is that it can effectively control leniency, severity, and central tendency errors, but its shortfall is that rated officers with high quality can be evaluated with the low grade (or the opposite situation may exist). On the other hand, a disadvantage of the absolute evaluation is not to be able to control leniency, severity, and central tendency errors. The response to the question regarding this alternative is the following:

"Which rating alternative is better the relative rating or the absolute rating?"

According to the response in Table V, 58.2 % of the officer corps supports the absolute rating system. To use both the absolute and the relative rating systems includes 32.5 % gave their support and 0.9 % of "others" want to remove the Overall Evaluation.

As discussed in Section B of Chapter III, field grade officers are evaluated by Army Form 1-1-22 with

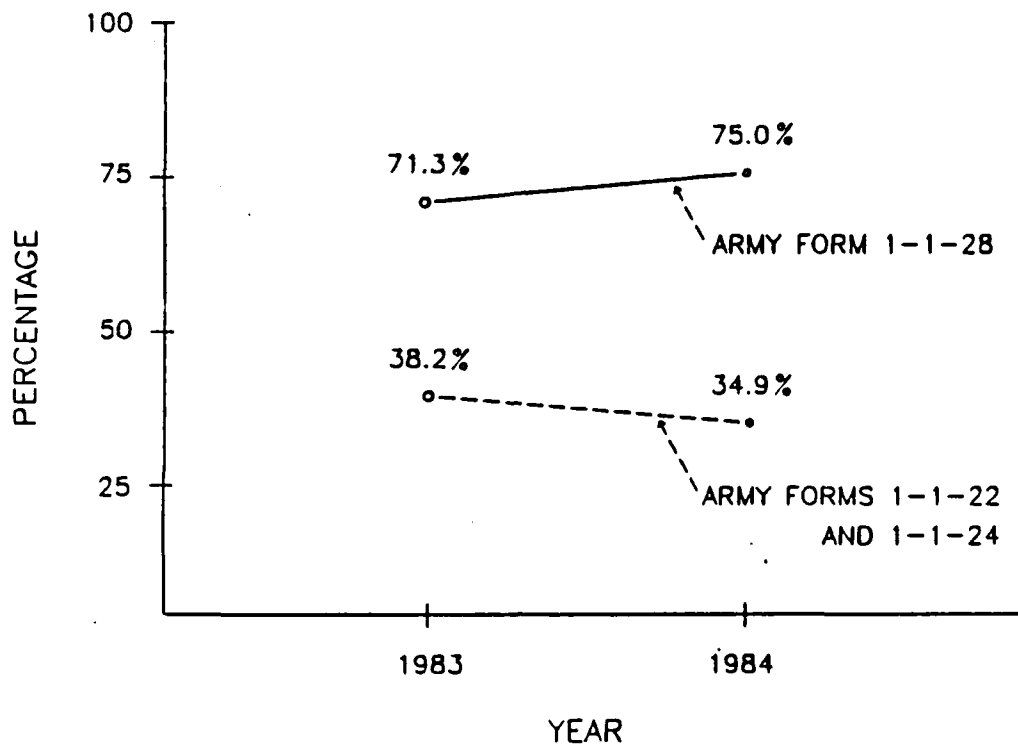
TABLE V  
RELATIVE RATING AND ABSOLUTE RATING

Contents	Number	Percentage
Absolute Rating	138	58.2 %
Relative Rating	20	8.4 %
To use both	77	32.5 %
Others	2	0.9 %
Total	237	100.0 %

relative rating once in a year and Army Form 1-1-28 with absolute rating based on a duty position assigned once in a year. Protecting the rejection of rated officers with high quality can be possible, but a lot of inflation of marks with AA, or AB occur because of tremendous leniency causing by absolute rating and "my subordinate favor" tendency. The following is the whole rating results of Army officers for two years.

If a rated officer, for example, got AA from Army Form 1-1-22 and AB from Army Form 1-1-28, his final grade would be AA because portions of the Army Form 1-1-22 and Army Form 1-1-28 are the same and one of the two forms is required to get AA. This result causes 75.0 % of officers with AA to increase in 1984. Table VI explains the trends of higher percentage in Army Form 1-1-28 than in Army Form 1-1-22 or Army Form 1-1-24. In Army Form 1-1-22 and Army Form 1-1-24, A (10 %) and B (15 %) are forced in distribution. But the rating result in 1984 is 34.9 % and is still 9.9 % higher than regulation (25 %). Inflation of marks of Army Form 1-1-28 has increased about 3.7 % since 1983. In order to support this issue, 20 rated majors' rating results conducted in 1985 were randomly selected. 25 % (4) of them

TABLE VI  
COMPARISON OF "A", RATING RESULTS IN 1983 - 1984



Source: "The Officer Personnel Management and Operation Plan", 1984, p 37 and "Personnel Report", 1985, p. 32.

in Army Form 1-1-22 obtained "average" (AD, BC, or CC), but they all received AA from Army Form 1-1-28 by the same raters. Therefore, policy makers are required to establish any alternatives to prevent this trend.

In relation to the relative rating, the ROKAOPES has faced some controversies. The first is discrimination between an important duty position and a less important duty position. A rated officer assigned to an important duty position may be rated with good rating results only by the importance of the duty position and not by the degree of work performance. Actually 92.4 % (219) of 237 responses represents that favor of important duty position exists and this influences critically on the evaluation and promotion

operations. The second is that the rating results can be affected according to how rated officers are grouped in a same rank as a competition. The groups are already explained in Section B of Chapter III. All units consist of officers with many field branches and a few staff branches. Therefore, rated officers of the field branches with much competition have more disadvantages in a rated group than rated officers of the staff branches with few competition. The third is favor to those officers with long term service. This is more serious in rating company grade officers since the majority of the company grade officers have short term service. 86 % (205) Of 237 responses has evaluated rated officers with long term service higher than those officers with short term service. This tendency may cause the officers with short term service to be demoralized or fail to employ officers with high quality among many competitions.

#### C. OFFICER PERFORMANCE EVALUATION FORMS

Evaluation forms were explained in Section B of Chapter III. In this section, Part II Significant Contributions, Part III Ability and Performance Attitude, Part IV Aptitude, Future Development Health, and Part VI Overall Evaluation are analyzed.

##### 1. Significant Contributions

The purpose of this block is intended to be described by the rated officer to increase his performance motivation. Then the rater and the senior rater evaluate rated officer's description. But this block doesn't efficiently meet its purpose since there are no objectives/criteria to evaluate the degree of the contributions as a complete self-evaluation. One interview result is that staff officers feel this block is difficult to describe their significant performance contributions, since staff officers normally have less significant contribution and more routine work than commanding officers do. The second



is that BARSs for the rater and the senior rater are less accurate in evaluating the rated officer's description. For example, original forms display that factor "1" and factor "4" are almost the same concept and factor "5" is that this rated officer attempted, but did not obtain any results. However, factor 4 and 5 were already translated by this author as shown in Figures 3.1, 3.2, and 3.3.

## 2. Ability and Performance Attitude

Army Form 1-1-22 and Army Form 1-1-24 have 3 BARSs for each evaluation factor and Army Form 1-1-28 has 3 grades in the graphic rating scale of each evaluation factor. However, various characteristics of many rated officers can't be evaluated by only 3 BARSs and 3 grades, and it may make raters have leniency, severity, or central tendency. The other shortfall is that the contents of Army Form 1-1-28 are inconsistent with the contents for company grade officers since Army Form 1-1-22 and Army Form 1-1-28 are almost the same in evaluation contents and the contents are for field grade officers. Obedience, Confidence, and Justice in Part III of Army Form 1-1-24 can be described as a Overall Opinion in Part V. Although a rated officer is a company grade officer, qualities such as professional knowledge, cooperation, or planning ability as a manager or leader are required. Training subordinates is essential in all officers and oral/ written communication is also an important factor. Therefore, those factors should be included in the evaluation.

## 3. Aptitude, Future Development and Health

In Army Form 1-1-22 and Army Form 1-1-24, Part IV has 8 evaluation factors, Aptitude through Personal Life. Those can be considered as potentials. In particular, recommendation for promotion adopted in this part should only consider rated officers with "Outstanding" in the Overall Evaluation part. Rated officers with "Poor" or

"Very Poor" would be limited in promotion and selection, and this block doesn't affect those not with "Outstanding". Although a rated officer with rated "Outstanding" can't be promoted next year, the young officer with rated "Outstanding" in that rank has advantage of the potential by this block.

#### 4. Potential Capability

A rater can evaluate a rated officer in detail by using given 6 evaluation factors. An intermediate rater and senior rater evaluate additionally the rated officer in the whole picture except mentioned by rater and particularly senior rater evaluates the rater's rating result, it contributes the accuracy of the system. Therefore, this part is a strong point of the system.

#### 5. Overall Evaluation

Because the result of the Overall Evaluation is only used for promotion or selection, the majority of raters and senior raters may focus on it and other evaluation factors may be ignored as being less important. This background makes a great impact on the evaluation. The response of the following question is in Table VII.

"The final order in Overall Evaluation is "critical" in the evaluation report. Therefore, the following method can be considered to fill in it. For example, you have decided final order in the Overall Evaluation based on each factor after evaluating each evaluation factor, or you have evaluated each factors based on it after deciding final order in Overall Evaluation. How have you evaluated your subordinates?"

Within Table VII, rated officers using the normal procedure are 32.1 %, and approximately 68 % of the total response including the second response and the third has abnormally evaluated. Because the second the third procedures may make raters evaluate their subordinates with various biases such as leniency, severity, or central tendency, those procedures cause the contamination of the whole evaluation system. This results from the fact that the final order in Overall Evaluation is only used for

TABLE VII  
RESULTS WITH DIFFERENT RATING PROCEDURES

Contents	Number	Percentage
Evaluate independently each factor, then decide final order based on each factor	76	32.1 %
Keep final order in mind and evaluate each factor, then decide the final order	30	12.6 %
Decide the final order, then evaluate each factor based on it	131	55.3 %
Total	237	100.0 %

various requirements of personnel management. Therefore, alternatives to prevent these tendencies are required.

D. THE FEEDBACK OF THE RATING RESULTS

The rating results should be used to satisfy the purposes of the evaluation. Two purposes of the ROKAOPES, the establishment of the commanding authority and the provision of fundamental information for fair personnel management, can be satisfied under the current system. But the result of the second analysis explained in Section B of this Chapter, the requirement to improve the efficiency of individuals, is due to the unreleased rating results. The following responses are about it.

1. The perception of the rating results

"You have been evaluated by your superiors and wanted to see your rating results. Have you ever seen yours?" and if so, how have you seen them?

According to Table VIII, officers who know their rating results exactly or approximately are 73.4 % and if 16.9 % officers guessing their rating results are added, officers who know the results directly or indirectly are 90.3 % of the total responses. From Table IX, 69.5 % of the

TABLE VIII  
 RESPONSES OF THE OFFICERS WHO KNOW THEIR RATING RESULTS

Contents	Number	Percentage
Know the results exactly	55	23.2 %
Know them approximately	119	50.2 %
Guess the results	40	16.9 %
Don't know them at all	23	9.7 %
Total	237	100.0 %

TABLE IX  
 SOURCE BY WHICH RATING RESULTS ARE KNOWN

Contents	Number	Percentage
By interviewing the rater	29	16.7 %
By unofficial route	121	69.5 %
By analyzing promotion, selection or being assigned at important duty position	24	13.8 %
Total	174	100.0 %

response among the officers said that they knew their rating results by an unofficial channel. This occurred under the current unreleased rating results system and may cause various problems to happen such as conflicts between the rated officer and the rater, inefficiency of the individuals by rumor or causing the rated officer to demoralize by misunderstanding.

2. Released and unreleased rating results

"According to the evaluation regulation, one of the purpose of the performance evaluation is to improve the efficiency of rated officers by using the results. For this, whether the results should be released or unreleased is quite

important and also may have some advantage and disadvantage. Which is better in your opinion? Why is it better if the former is better? Why is it better if the latter is better?"

TABLE X  
RESPONSES TO RELEASED AND UNRELEASED RESULTS

Contents	Number	Percentage
I prefer to release the rating results	168	70.9 %
I prefer to unrelease the rating results	56	23.6 %
No opinion	13	5.5 %
Total	237	100.0 %

TABLE XI  
REASON FOR RELEASING RATING RESULTS

Reasons	Number	Percentage
Helpful for self improvement	109	64.9 %
Expects fairness in the rating	48	28.6 %
Impossible to keep the results completely closed	11	6.5 %
Total	168	100.0 %

Analyzing Table X, it shows that about 71 % would like to release the rating results. From Table XI, 64.9 % of the 168 who preferred to release the rating results thought it would be helpful for self-improvement while 28.6 % expected it to contribute to fairness in rating. This is closely related to the analysis of Table IV, Section B. On

TABLE XII  
REASONS FOR NOT RELEASING RATING RESULTS

Reasons	Number	Percentage
Because of the final rating order	2	3.6 %
Expect to conflict with the raters	16	28.6 %
Don't motivate the rated officers with low grade	33	58.9 %
Based upon the traditional consciousness	5	8.9 %
Total	56	100.0 %

the other hand, 23.6 % of the response in Table X supports the unreleased rating results and from Table XII, 58.9 % (33) of 56 responses preferring not to release rating results expects rated officers to become unmotivated by low grades. This may be quite true, considering that the R.O.K. Army adopts the draft system, not the All Voluntary Force system like the U.S. military.

In conclusion, through the released rating results system, rated officers perceived their rating results and it may give them opportunity to review themselves. Also if the rated officer's superior files the annual evaluation reports, and both rater and senior rater can use them whenever if necessary, it may improve raters' fairness in the performance evaluation as well as the rated officer's potential. The rating results completed by the rater and senior rater are sent to HQ Army and the rated officer. They will be also known to the rater's successor by being kept in the file of the former rater as long as the rated officer works in the same unit.

## V. DEFICIENCIES OF THE CURRENT SYSTEM

As discussed in Section B of Chapter III, the ROKAOPES has been revised twelve times and has experienced different evaluation formats. However, it is shown that improvement of the ROKAOPES doesn't meet the satisfaction of many officers as seen by the frequency of amendment of the ROKAOPES. In this chapter, deficiencies of the current system based on the contents being analyzed in Chapter III and IV are investigated.

The purposes of the ROKAOPES are not met: 46% of the responses say that it needs improvement in the efficiency of individuals, which is one of the most important purposes of the current system. It does not have any subsystems such as interviews or counseling except promotion, selection or placement. Therefore, it means there is inefficiency of the system resulting from inconsistency between the system policy and the subsystem.

Inflation of marks resulting from jointly using Army Form 1-1-22/1-1-24 and Army Form 1-1-28: Table VI displays that Army officers with being graded "A" in Army Form 1-1-28 are maximum 75 % in 1984 and 9.9 % higher than regulation (25 %) in Army Form 1-1-22/1-1-24. It may fail to discriminate the rated officer's performance and potentials, or make the evaluation system meaningless.

Deficiencies resulting from using a relative rating system with forced distribution: Favor of an important duty position, how rated groups are consisted, and the rater's favor of officer for long term service basically came from using a relative rating system. Of course, those tendencies may occur under an absolute rating system, but expect to be done less under relative rating system since favor of an important duty position under an absolute rating system, for

example, may affect only a given rated officer and not his peers.

Evaluation forms do not have precise rating requirements: There are difficulties in describing significant performance contributions, Part II of each form. Part III of each form needs more BARS or graphic rating scales for rating items, the ability to train subordinates, and communication ability. Promotion recommendation in Part IV of Army Form 1-1-22 and 1-1-24 has less meaning. Because 67.9 % of the raters focus on the final order in Overall Evaluation and then evaluate each item, it makes the whole rating process less accurate in officer performance evaluation.

Insufficient observation opportunity and rater training: If a major, for example, were rated by using Army Form 1-1-22 on Apr. 1, and Army Form 1-1-24 on Feb. 1 or June 1, he would be rated by almost the same contributions of performance within a short period. Opportunity of rater training also is lacking under the current system.

Poor feedback of rating results: 90.3 % of the officers surveyed under the unreleased rating results system know their rating results exactly or approximately. The unreleased rating result influences on both the rater and the rated officer as it may cause a the rater's unfair rating and be helpless in improvement of efficiency of rated officers. As a result, such poor feedback may affect the Army climate as a whole.



## VI. CONCLUSIONS AND RECOMMENDATIONS

### A. CONCLUSIONS

This study aimed at examining the ROKAOPES. For doing this, the issues were approached from two directions: review of the ROKAOPES and the U.S. military (Army, Navy, Air Force, and Marine Corps) evaluation system, and the attempt to gain feedback from senior Korean Army officers by the analysis of questionnaires and interviews. The results of the analysis are summarized as follows:

The first is that Army officers want to increase their potential ability and merits, or to correct their shortcomings. In order to satisfy this requirement, the feedback of the rating results must be supported. The second is that many Army officers want to be rated by using an absolute evaluation system, but Army Form 1-1-28 using an absolute rating caused tremendously inflated marks. The third is that Army Forms 1-1-22 and 1-1-24 using a relative rating have brought several deficiencies such as favor of an important duty position, composition of rated groups, and rater's favor of an officer with long term service in rating company grade officers as well as inflation of marks. However, the obvious fact is that the main issues mentioned above are still continued through amendment of the evaluation system twelve times.

The accuracy of the performance evaluation process results from rater and evaluation standards. Also the feedback of the rating results makes the rater not only rate fairly but also improves the potential of the rated officer. However, the ROKAOPES seems to have one technique to control raters. For example, the forced distribution method does not work properly since there are high inflation of marks. Therefore the system has to adopt other alternatives in order to control rater effectively.

In conclusion, the performance rating results must be accurate and contribute not only to the military organization but also to the rated officers through feedback. If the rating results are filed by commanding officers, they can use them to control or to counsel, and their successors can refer to them in order to understand the rated officers. As a result, the rater would be more careful in rating his/her subordinates. Therefore, the performance rating results must be a profile and the most objective data for personnel management. Fortunately, the ROKAOPES is trying to attempt some advanced evaluation techniques such as self appraisal, increased communication between superior and subordinate resulting from self appraisal, and absolute evaluation based on an individual's ability even though those are not perfect. Before terminating this study, several recommendations are suggested in the next section.

#### B. RECOMMENDATIONS

Effectiveness of concurrent use of Army Forms 1-1-22/1-1-24 and Army Form 1-1-28 should be reviewed. This author suggested an alternative (see Figure 6.1 and 6.2) for this issue.

##### 1. Modification for an alternative

- Part II Significant Contribution consists of two parts: to describe a rated officer's major performance objectives and to list his/her significant contributions.
- Part III Ability and Performance Attitude: each evaluation item has two additional BARSS, and Training and Communication are added.
- Part IV Aptitude, Future Development, and Health: Potential for Higher Position is substituted and a rated officer's Physical Training is added in Health.
- Part V Potential Capability: Management Capability is substituted for self-improvement.
- Part VI Potential Evaluation: the Profile is divided into 7 grades and has a normal distribution as a standard of the rating. A rater and a senior rater describe their total rating.

##### 2. Advantage

- Implementation of self appraisal

- Use of various ranges of BARSS
- Detailed grade and unforced distribution
- Suggestion of normal distribution of rated officers for raters and senior raters
- Requirement of description of total rated officers

### 3. Disadvantage

- Requirement to implement the second recommendation to prevent inflation of marks
- Requirement to computerize rating results
- Cost of changing forms

Give raters more motivation. Since rating subordinates is one of the most important work performance of a rater, the rater's rating history must be filed at HQ Army and reflected by a promotion or selection board for the rater. If a copy of this file is sent to the rater after reviewing the rating results at HQ Army and reflected by such boards, this would make the rater and senior rater rate accurately in an evaluation process. For example, inflation of marks is expected to be reduced by using this file and total Rated Officers of Part VI of Figures 6.1 and 6.2. Therefore, this author modified DA Form 67-8-2 for the ROKAOPES (see Figure 6.3).

Give feedback of the rating results and counseling. For this, the senior rater must file his/her subordinates' rating results after HQ Army judges the rating results. Because the rater sometimes is not a commander of basic unit of least administration and requirements of load reduction to the rater in the field are necessary.

Develop a management information system that will ensure that the significant differences of officers are flagged.

Train raters. Raters' training in Officer Basic Course (OBC), Officer Advanced Course (OAC), Army War College, and on the job training of each unit should be conducted through case study, role play, or seminar.

Increase the reliability and validity of officers' performance evaluation report by encouraging the rater and senior rater to base their evaluations on objective data by utilizing critical incidents as well as protracting objective information from externally subjective data.

A booklet including the current system, its strengths and weakness, and the current marking trends should be regularly published to educate rated officers, raters and senior raters.

Rating Responsibilities	1. Rate fairly and objectively the officer's duty performance and potential.	3. Rate all factors independently of each other.
	2. Rank-order the officer among 100 of his peers.	4. Balance your obligations to the officer with your obligations to the Army.

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Part I. Administrative Data

Rank	Service Number	Name	Branch	Specialty	Rating Period	Unit	Duty Title	Date Assigned Current Duty	Date of Rank

Personal Officer: \_\_\_\_\_ Duty Title: \_\_\_\_\_ Rank: \_\_\_\_\_ Service Number: \_\_\_\_\_ Name: \_\_\_\_\_ Signature: \_\_\_\_\_

Part II. Significant Contributions

Describe your major performance objectives:

List your significant contributions:

Rating	Rater	Senior Rater	1. Fully demonstrated knowledge and expertise in assigned tasks. 2. Possesses the potential to perform well but lacks effort. 3. Worked diligently but with mediocre results.	Rater	Senior Rater	4. Above descriptions are accurate. Can be expected to make future contributions. 5. Good effort but with poor results. 6. Lacks sincerity and integrity.

Part III. Ability and Performance Attitude

Patriotism	Rater	Senior Rater	Cooperation	Rater	Senior Rater
	1. Clearly dedicated to mission accomplishment and to the nation under any circumstances.				1. Believes in teamwork and cooperates willingly.
2. Generally dedicated to mission accomplishment and to the nation.			2. Generally cooperative, but not willingly.		
3. Appears to be dedicated to mission accomplishment and to the nation, but question-			3. Passively cooperative.		
4. Sometimes appears to be undedicated to mission accomplishment and to the nation.			4. Generally selfish and lacks cooperation.		
5. Can not be depended on to defend the nation.			5. Selfish and lacks cooperation.		

Figure 6.1 Adjusted Army Form 1-1-22.

Leadership	Rater	Senior Rater	Planning	Rater	Senior Rater
1. Possesses excellent leadership and commands very well.			1. Anticipates requirements and takes initiative in solving problems.		
2. Possesses good leadership and generally commands well.			2. Generally anticipates requirements and takes initiative in solving problems.		
3. Does not command very well, but maintains a cohesive unit.			3. Takes action after receiving guidance.		
4. Commands well only under favorable conditions.			4. Generally lacks foresight and initiative.		
5. Lacks leadership and causes subordinate dissatisfaction.			5. Lacks foresight and initiative.		
Responsibility	Rater	Senior Rater	Drive	Rater	Senior Rater
1. Possesses strong responsibility and accomplishes the mission thoroughly.			1. Efficiently accomplishes any mission under changing situations.		
2. Appears to have responsibility and usually accomplishes the mission.			2. Appears to accomplish a given mission.		
3. Appears to have responsibility but does not willingly accomplish the mission.			3. Efficiently accomplishes a mission only under favorable conditions.		
4. Passive and lacks responsibility.			4. Generally lacks driving force and desire to accomplish the mission.		
5. Lacks and shirks responsibility.			5. Lacks driving force and desire to accomplish the mission.		
Professional Knowledge	Rater	Senior Rater	Character	Rater	Senior Rater
1. Possesses the highest degree of professional competence in every aspect.			1. Earns the utmost respect by pride in high standards of dress, grooming, and military manner.		
2. Generally possesses a high degree of professional competence.			2. Generally earns respect by pride in high standards of dress, grooming, and military manner.		
3. Possesses an adequate degree of professional competence.			3. Fair in standards of dress, grooming, and military manner.		
4. Generally lacks professional knowledge in accomplishing the mission.			4. Poor in standards of dress, grooming, and military manner.		
5. Lacks professional knowledge in accomplishing the mission.			5. Does not earn respect by pride in high standards of dress, grooming, and military manner.		
Training Personnel	Rater	Senior Rater	Communication	Rater	Senior Rater
1. Trains subordinates very well.			1. Delivers clear, concise, and well-organized presentations.		
2. Generally trains subordinates well.			2. Generally delivers clear, concise, and well-organized presentations.		
3. Trains subordinates fairly.			3. Generally gives understandable presentations.		
4. Attempts to train subordinates well, but with poor results.			4. Frequently lacks confidence and gives unorganized presentations.		
5. Does not train subordinates very well.			5. Does not present logical, concise, and clear ideas.		

Figure 6.1 Adjusted Army Form 1-1-22 (cont'd).

Part IV. Aptitude, Future Development, Health			
Factors	Contents	Rater	Senior Rater
Aptitude	What kind of duty is this officer suited for? 1. Commander    2. Staff    3. Administrative 4. Special    5. Instructor    6. Other		
Future Development	What do you expect his future contribution as a leader to be? 1. Certainly to be expected    2. To be expected 3. Need more observation    4. Hard to decide		
Specialty	What specialty is proper for this officer? 1. Personnel    2. Intelligence    3. Operation 4. Logistics    5. Planning    6. Special		
Education	What is this officer's potential for education? 1. Recommend ahead of contemporaries 2. Recommend with contemporaries 3. Need to observe more 4. Do not recommend		
Potential for Higher Position	What is this officer's potential for carrying out the next higher duty position? 1. Certainly has potential to carry it out 2. Partially has potential to carry it out 3. Need to observe more 4. Does not have the potential to carry it out		
Self-Improvement	Does this officer seek self-improvement? 1. Always 2. Usually 3. Sometimes 4. Never		
Health	What is the condition of this officer's physical training? (    ) class		
	What is the condition of this officer's health? 1. Strong mental and physical state 2. Strong physical state, but weak mental state 3. Weak physical state, but strong mental state		
Personal Life	Describe this officer's personal and family life. 1. Excellent    2. Good    3. Average    4. Poor		

Figure 6.1 Adjusted Army Form 1-1-22 (cont'd).

Part V. Potential Capability									
		Contents	Opinion			Contents	Opinion		
Rater			Description of strong points.				Professional ethics.		
			Recommendations for improvement.				Management Capabilities.		
			Professional competence.				Relationship with others.		
Intermediate Rater		Overall opinion:							
		Duty Title:	Rank:	Name:	Signature:				
Senior Rater		Overall opinion:							
		Describe the fairness of the rater:	1. severe 4. slightly lenient	2. slightly severe 5. very lenient	3. balanced				
Part VI. Potential Evaluation									
Rater Evaluations	Rating		A	B	C	D	E	F	G
	Profile		Outstanding (1)	Excellent (4)	Above Average (15)	Average (60)	Below Average (15)	Poor (4)	Very Poor (1)
	Rater	Ratee							
		Rating							
	Senior Rater	Ratee							
		Rating							
Part VII. Rater Signature									
	Unit	Duty Title	Rank	Service Number	Name	Date Assigned Current Duty	Signature		
Rater									
Senior Rater									
Army HQ Judgment	Rating:			Personnel Officer	Rank:	Name:	Signature:		

Figure 6.1 Adjusted Army Form 1-1-22 (cont'd).



Rating Responsibilities	1. Rate fairly and objectively the officer's duty performance and potential.	3. Rate all factors independently of each other.
	2. Rank-order the officer among 100 of his peers.	4. Balance your obligations to the officer with your obligations to the Army.

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Part I. Administrative Data

Rank	Service Number	Name	Branch	Specialty	Rating Period	Unit	Duty Title	Date Assigned Current Duty	Date of Rank

Personnel Officer	Duty Title:	Rank:	Service Number:	Name:	Signature:
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Part II. Significant Contributions

Describe your major performance objectives:

List your significant contributions:

Rating	Rater	Senior Rater	1. Fully demonstrated knowledge and expertise in assigned tasks.	Rater	Senior Rater	4. Above descriptions are accurate. Can be expected to make future contributions.
			2. Possesses the potential to perform well but lacks effort.			5. Good effort but with poor results.
			3. Worked diligently but with mediocre results.			6. Lacks sincerity and integrity.

Part III. Ability and Performance Attitude

Patriotism		Senior Rater	Confidence		Senior Rater
1. Clearly dedicated to mission accomplishment and to the nation under any circumstances.			1. Can be relied on to accomplish any type of mission.		
2. Generally dedicated to mission accomplishment and to the nation.			2. Generally can be relied on to accomplish any type of mission.		
3. Appears to be dedicated to mission accomplishment and to the nation, but question-			3. Generally can carry out a given mission.		
4. Sometimes appears to be undedicated to mission accomplishment and to the nation.			4. Can not be relied on to accomplish an important mission.		
5. Can not be depended on to defend the nation.			5. Can not be relied on to accomplish any mission.		

Figure 6.2 Adjusted Army Form 1-1-24.

Leadership	Rater	Senior Rater	Planning	Rater	Senior Rater
1. Possesses excellent leadership and commands very well.			1. Anticipates requirements and takes initiative in solving problems.		
2. Possesses good leadership and generally commands well.			2. Generally anticipates requirements and takes initiative in solving problems.		
3. Does not command very well, but maintains a cohesive unit.			3. Takes action after receiving guidance.		
4. Commands well only under favorable conditions.			4. Generally lacks foresight and initiative.		
5. Lacks leadership and causes subordinate dissatisfaction.			5. Lacks foresight and initiative.		
Responsibility	Rater	Senior Rater	Drive	Rater	Senior Rater
1. Possesses strong responsibility and accomplishes the mission thoroughly.			1. Efficiently accomplishes any mission under changing situations.		
2. Appears to have responsibility and usually accomplishes the mission.			2. Appears to accomplish a given mission.		
3. Appears to have responsibility but does not willingly accomplish the mission.			3. Efficiently accomplishes a mission only under favorable conditions.		
4. Passive and lacks responsibility.			4. Generally lacks driving force and desire to accomplish the mission.		
5. Lacks and shirks responsibility.			5. Lacks driving force and desire to accomplish the mission.		
Professional Knowledge	Rater	Senior Rater	Character	Rater	Senior Rater
1. Possesses the highest degree of professional competence in every aspect.			1. Earns the utmost respect by pride in high standards of dress, grooming, and military manner.		
2. Generally possesses a high degree of professional competence.			2. Generally earns respect by pride in high standards of dress, grooming, and military manner.		
3. Possesses an adequate degree of professional competence.			3. Fair in standards of dress, grooming, and military manner.		
4. Generally lacks professional knowledge in accomplishing the mission.			4. Poor in standards of dress, grooming, and military manner.		
5. Lacks professional knowledge in accomplishing the mission.			5. Does not earn respect by pride in high standards of dress, grooming, and military manner.		
Training Personnel	Rater	Senior Rater	Communication	Rater	Senior Rater
1. Trains subordinates very well.			1. Delivers clear, concise, and well-organized presentations.		
2. Generally trains subordinates well.			2. Generally delivers clear, concise, and well-organized presentations.		
3. Trains subordinates fairly.			3. Generally gives understandable presentations.		
4. Attempts to train subordinates well, but with poor results.			4. Frequently lacks confidence and gives unorganized presentations.		
5. Does not train subordinates very well.			5. Does not present logical, concise, and clear ideas.		

Figure 6.2 Adjusted Army Form 1-1-24 (cont'd).

AD-A172 352

AN ANALYSIS OF THE REPUBLIC OF KOREA ARMY OFFICER  
PERFORMANCE EVALUATION SYSTEM(U) NAVAL POSTGRADUATE  
SCHOOL MONTEREY CA N G PARK JUN 86

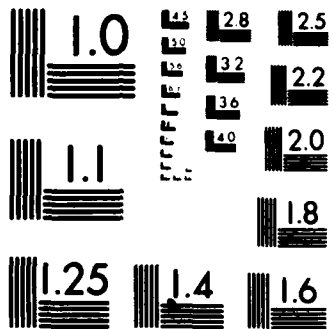
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MICROCOPY RESOLUTION TEST CHART  
NATIONAL BUREAU OF STANDARDS-1963-A

Part IV. Aptitude, Future Development, Health			
Factors	Contents	Rater	Senior Rater
Aptitude	<p>What kind of duty is this officer suited for?</p> <p>1. Commander      2. Staff      3. Administrative 4. Special      5. Instructor      6. Other</p>		
Future Development	<p>What do you expect his future contribution as a leader to be?</p> <p>1. Certainly to be expected      2. To be expected 3. Need more observation      4. Hard to decide</p>		
Specialty	<p>What specialty is proper for this officer?</p> <p>1. Personnel      2. Intelligence      3. Operation 4. Logistics      5. Planning      6. Special</p>		
Education	<p>What is this officer's potential for education?</p> <p>1. Recommend ahead of contemporaries 2. Recommend with contemporaries 3. Need to observe more 4. Do not recommend</p>		
Potential for Higher Position	<p>What is this officer's potential for carrying out the next higher duty position?</p> <p>1. Certainly has potential to carry it out 2. Partially has potential to carry it out 3. Need to observe more 4. Does not have the potential to carry it out</p>		
Self-Improvement	<p>Does this officer seek self-improvement?</p> <p>1. Always 2. Usually 3. Sometimes 4. Never</p>		
Health	<p>What is the condition of this officer's physical training?</p> <p>( ) class</p>		
	<p>What is the condition of this officer's health?</p> <p>1. Strong mental and physical state 2. Strong physical state, but weak mental state 3. Weak physical state, but strong mental state</p>		
Personal Life	<p>Describe this officer's personal and family life.</p> <p>1. Excellent      2. Good      3. Average      4. Poor</p>		

Figure 6.2 Adjusted Army Form 1-1-24 (cont'd).



Evaluation Profile for Rater								
Part I. Administrative Data								
Rank	Service Number	Name	Branch	Specialty	Duty Title	Date of Report		
Part II. Rater Profile								
Warrant Officer	Second Lieutenant	First Lieutenant	Captain	Major	Lieutenant Colonel	Colonel	Total Ratings	Profile
								1
								4
								15
								50
								15
								4
								1
								100
Comments:								

Figure 6.3 Evaluation Profile for Rater.

**APPENDIX A**

**PERTINENT REGULATION OF THE U. S. AIR FORCE**

**TABLE XIII  
BEHAVIORALLY ANCHORED RATING SCALES**

	PERFORMANCE FACTORS	PERFORMANCE
	PERFORMANCE FACTORS	PERFORMANCE
	FAR BELOW STANDARD (Any item)	BELOW STANDARD (Any item)
1.	<p><b>JOB KNOWLEDGE</b> (Depth, currency, breadth)</p> <ul style="list-style-type: none"> <li>• Has serious gaps in technical and professional knowledge</li> <li>• Knows only most rudimentary phases of job</li> <li>• Lack of knowledge affects productivity</li> <li>• Requires abnormal amount of checking</li> </ul>	<ul style="list-style-type: none"> <li>• Technical and professional knowledge is inadequate for the job</li> <li>• Must be assigned only routine duties and monitored regularly</li> <li>• Requires close supervision</li> </ul>
2.	<p><b>JUDGMENT AND DECISIONS</b> (Consistent, accurate, effective)</p> <ul style="list-style-type: none"> <li>• Reluctant to make decisions on his or her own</li> <li>• Decisions are usually not reliable</li> <li>• Declines to accept responsibility for decisions</li> </ul>	<ul style="list-style-type: none"> <li>• Usually makes sound routine decisions</li> <li>• Tends to procrastinate on necessary decisions</li> <li>• Reluctant to evaluate factors before arriving at decisions</li> </ul>
3.	<p><b>PLAN AND ORGANIZE WORK</b> (Timely and creative)</p> <ul style="list-style-type: none"> <li>• Fails to plan ahead</li> <li>• Disorganized and usually unprepared</li> <li>• Objectives are not met on time</li> </ul>	<ul style="list-style-type: none"> <li>• Scheduling and organizational efforts normally fail</li> <li>• Encounters difficulty with tasks other than routine</li> <li>• Finished products are usually behind schedule</li> </ul>
4.	<p><b>MANAGEMENT OF RESOURCES</b> (Manpower and material) (Fiscal)</p> <ul style="list-style-type: none"> <li>• Wastes or misuses resources</li> <li>• No system established for accounting of material</li> <li>• Causes delay for others by mismanagement</li> </ul>	<ul style="list-style-type: none"> <li>• Accomplishes conservation of material on a periodic basis</li> <li>• Squanders resources to get job done</li> </ul>
5.	<p><b>LEADERSHIP</b> (Initiative, acceptance of responsibility)</p> <ul style="list-style-type: none"> <li>• Often weak. Fails to show initiative and accept responsibility</li> <li>• Lacks self-confidence</li> <li>• Inconsistent in dealing with subordinates</li> </ul>	<ul style="list-style-type: none"> <li>• Avoids responsibility</li> <li>• Displays confidence only when working with familiar subjects</li> <li>• Initiative and acceptance of responsibility adequate in most situations</li> </ul>



TABLE XIV  
BARS (CONT'D)

STANDARDS (see note)	BEST STANDARD (Any item)	ABOVE STANDARD (AS items)	WELL ABOVE STANDARD (AW items)
1.	<ul style="list-style-type: none"> <li>• Demonstrates adequate technical and professional knowledge required for the job</li> <li>• Searches out facts and arrives at sound solutions to problems</li> <li>• Broad knowledge of related jobs and functions</li> <li>• Conversant with significant job-related developments</li> </ul>	<ul style="list-style-type: none"> <li>• Possesses keen insight and the ability to evolve it into practical solutions</li> <li>• Keeps informed of important developments in related fields</li> <li>• Can handle difficult situations effectively</li> <li>• Broad knowledge of related resources</li> <li>• Rarely requires guidance or assistance</li> </ul>	<ul style="list-style-type: none"> <li>• Possesses superb technical and professional knowledge</li> <li>• Sufficiently well versed in his or her job to discuss and implement improved methods resulting in savings in manpower or material</li> <li>• Maintains and increases professional and technical knowledge</li> <li>• Actively pursues new ideas and developments and their relation to the overall mission</li> <li>• Recognized authority in his or her field</li> </ul>
2.	<ul style="list-style-type: none"> <li>• Seeks out all available data before arriving at decisions</li> <li>• Consistently provides accurate decisions</li> <li>• Accepts responsibility for decisions and learns from incorrect judgments</li> <li>• Provides effective decisions by clear and logical thinking</li> </ul>	<ul style="list-style-type: none"> <li>• An exceptionally sound, logical thinker</li> <li>• Does not hesitate to make required decisions</li> <li>• Decisions are consistently correct</li> <li>• Opinions and judgment are often solicited by others</li> </ul>	<ul style="list-style-type: none"> <li>• Keen, analytical thinker</li> <li>• Makes accurate decisions under intense pressure</li> <li>• Extremely effective in exercising logic in broad areas of responsibility</li> </ul>
3.	<ul style="list-style-type: none"> <li>• Careful, effective planner</li> <li>• Anticipates and solves problems</li> <li>• Effectively balances resources</li> <li>• Finished products are consistently submitted on time</li> </ul>	<ul style="list-style-type: none"> <li>• Plans beyond requirements of present job</li> <li>• Plans coincide with related activities</li> <li>• Is flexible and able to adjust priorities</li> <li>• Frequently called on to organize complex tasks</li> </ul>	<ul style="list-style-type: none"> <li>• Able to anticipate critical areas and make plans prior provisions to deal with them</li> <li>• Plans encompass all feasible contingencies</li> <li>• Extremely effective in utilization of resources</li> </ul>
4.	<ul style="list-style-type: none"> <li>• Uses maximum material with good results</li> <li>• Establishes controls to ensure that manpower and material are accounted for and conserved</li> <li>• Develops and uses cost-effective methods</li> </ul>	<ul style="list-style-type: none"> <li>• Excellent results accomplished at minimum cost</li> <li>• Consistently suggests methods of conserving resources</li> <li>• Skillfully uses cost-effectiveness studies</li> </ul>	<ul style="list-style-type: none"> <li>• Extremely effective in use of material</li> <li>• Consistently seeks and projects ways of using existing equipment</li> <li>• Is often assigned to difficult and important projects where limited resources are a significant factor</li> </ul>
5.	<ul style="list-style-type: none"> <li>• Accepts responsibility of assigned tasks</li> <li>• Consistently displays initiative</li> <li>• Commands respect of subordinates</li> <li>• Is fair and consistent in dealing with subordinates</li> </ul>	<ul style="list-style-type: none"> <li>• Demonstrates a high degree of initiative and acceptance of responsibility</li> <li>• Displays exceptional skill in directing others</li> <li>• Promotes enthusiasm by interest and sincerity</li> <li>• Acknowledged leader among his or her peers</li> </ul>	<ul style="list-style-type: none"> <li>• Consistently demonstrates outstanding initiative and acceptance of responsibility</li> <li>• Exhibits complete confidence in his or her ability to handle any task</li> <li>• Induces maximum effort from everyone</li> <li>• Is decisive in critical situations</li> <li>• Provides direction and guidance for broad areas of responsibility</li> <li>• Leadership not limited to subordinates and peers</li> </ul>

TABLE XV  
BARS (CONT'D)

- |     |   |  |   |
|-----|---|--|---|
| 6.  | ADAPTABILITY TO STRESS (Stable, flexible, dependable)           | <ul style="list-style-type: none"> <li>• Panics in new situation</li> <li>• Tendency to skirt difficult situations</li> <li>• Reactions unpredictable</li> </ul>   | <ul style="list-style-type: none"> <li>• Prefers to work on routine tasks</li> <li>• Jumps to erroneous conclusions in new situations</li> <li>• Hesitates to become involved in new situations</li> </ul>  |
| 7.  | ORAL COMMUNICATION (Clear, concise, confident)                  | <ul style="list-style-type: none"> <li>• Does not convey ideas clearly and concisely</li> <li>• Has limited vocabulary</li> <li>• Cannot express thoughts in a logical sequence</li> </ul>   | <ul style="list-style-type: none"> <li>• Only occasionally able to verbally convey useful information</li> <li>• Briefings and discussions frequently exhibit a lack of confidence</li> </ul>   |
| 8.  | WRITTEN COMMUNICATION (Clear, concise, organized)               | <ul style="list-style-type: none"> <li>• Written communications are inadequate due to errors in vocabulary, spelling, and grammar</li> <li>• Communications often raise doubt as to exact meaning</li> <li>• Others must continually seek clarification or correct errors</li> </ul>                           | <ul style="list-style-type: none"> <li>• Clarity of written communications is inconsistent</li> <li>• Only occasionally able to convey a cogent idea</li> <li>• Extensive editing and correcting is usually required before communications can be dispatched</li> </ul>   |
| 9.  | PROFESSIONAL QUALITIES (Attitude, cooperation, bearing)         | <ul style="list-style-type: none"> <li>• Displays a negative attitude toward the military</li> <li>• Bearing is aloof and generally reflects cynicism</li> <li>• Totally unable to work with others</li> <li>• Does not accept or practice Air Force standards of bearing, behavior or grooming</li> </ul>     | <ul style="list-style-type: none"> <li>• Does not accept AF standards and must be continually reminded to comply</li> <li>• Shows lack of enthusiasm with the success or failure of AF missions</li> <li>• Is aware of shortcomings but makes excuses for them</li> <li>• Frequently unable to work with others</li> <li>• Bearing, behavior and grooming create a very poor impression</li> <li>• Does not enforce Air Force standards of bearing, behavior or grooming</li> </ul> |
| 10. | HUMAN RELATIONS (Equal opportunity, participation, sensitivity) | <ul style="list-style-type: none"> <li>• Openly and knowingly practices discrimination</li> <li>• Uses racial epithets or sexual slurs maliciously</li> <li>• Is deliberately hostile to minorities or members of the opposite sex</li> <li>• Does not show any consideration or concern for others</li> </ul> | <ul style="list-style-type: none"> <li>• Displays very limited sensitivity to equal opportunity policies</li> <li>• Treats minorities or members of the opposite sex markedly different than other personnel</li> <li>• Employs inflammatory or derogatory terms toward minorities or members of the opposite sex</li> <li>• Tends to lack concern for peers and subordinates</li> </ul>  |

Performance Standards. NOTE: These standards are not to be used or paraphrased as specific examples in section III of AF Form 707. They are simply standards by which the rater can judge which performance rating is supported by the specific example the rater is using. Use of general terms such as these in place of specific examples is inappropriate and is grounds for the report being returned to the rater for reaccomplishment.

TABLE XVI  
BARS (CONT'D)

6.
  - Flexible and open to new ideas
  - Willingly seeks assistance in difficult situations
  - Provides reliable decisions under pressure
  - Consistently displays calm and controlled behavior
  - Ready adapts to fluctuations and changing priorities
  - Consistently performs well in difficult situations
  - Anticipates changes and is prepared to react accordingly
7.
  - Gives direct and understandable responses to questions
  - Gives briefings which are organized and well presented
  - Writing is clear and concise
  - Written instructions and reports are readily understandable
  - Written communications are consistently well organized and grammatically correct
  - Very articulate in a wide range of difficult communications situations
  - Puts extra effort into conveying well
  - Capable of persuading an audience
8.
  - Writing is clear and concise
  - Written instructions and reports are readily understandable
  - Written communications are consistently well organized and grammatically correct
  - Writes reports can be easily followed by all readers
  - Communications are succinct and concise, containing only those words necessary to express an idea
  - Practices and actively promotes AF policies among peers and subordinates
  - Pursues new developments and applies them to existing procedures
  - Actively promotes participation and willingly accepts jobs that others avoid
  - Bearing, behavior and grooming create a very favorable impression
  - Demonstrates exceptional skill in working with others and eliciting their cooperation
9.
  - Is aware of and follows Air Force policies and objectives
  - Remains current on developments and procedures
  - Cooperates fully with new ideas and policies
  - Volunteers for additional duties and promotes participation
  - Bearing, behavior and grooming create a good impression
  - Effective in working with peers and subordinates
  - Practices and actively promotes AF policies among peers and subordinates
  - Pursues new developments and applies them to existing procedures
  - Actively promotes participation and willingly accepts jobs that others avoid
  - Bearing, behavior and grooming create a very favorable impression
  - Demonstrates exceptional skill in working with others and eliciting their cooperation
10.
  - Treats all personnel fairly and equitably
  - Voluntarily participates in activities in support of equal opportunity
  - Shows concern and is sensitive to needs of others
  - Establishes and enthusiastically maintains standards of equal opportunity
  - Encourages practice of equal opportunity and treatment in all activities
  - Displays a high degree of sensitivity and concern for others
  - Actively demonstrates strong, visible, and credible support of equal opportunity
  - Is extremely knowledgeable in the area of equal opportunity and treatment
  - Displays extreme sensitivity and a deep concern in all dealings with peers and subordinates
  - Is extremely effective in solving human relations problems - solutions always reflect fair and equal treatment

**APPENDIX B**  
**PERTINENT REGULATION OF THE U. S. MARINE CORPS**

MONITORED COMMAND 2D MARDIV		DUTY ASSIGNMENT PLAT SGT		MO 12	T/O NO M1013	LINE NO 47	SMC 0369																		
THE FOLLOWING MARKS HAVE BEEN ENTERED INTO YOUR RECORD:																									
13A	13B	13C	13D	13E	13F	13G	14A	14B	14C	14D	14E	14F	14G	14H	14I	14J	14K	14L	14M	14N	15A	15			
EX	NO	AA	NO	EX	OS	OS	EX	OS	OS	EX	AA	EX	NO	EX	AA	EX	AA	AV	EX	EX	OS	PD			
PERIOD		OCC		MNSP		PT		DEPENDENTS		FIRST DUTY PREFERENCE															
850401 to 860331		AN		W		E		M		PASS			MCAS KANEOHE												
SECOND DUTY PREFERENCE										THIRD DUTY PREFERENCE															
MARBKS JACKSONVILLE										NO APROP CODE FOR DUTY PREF															

SSgt X. Y. Zee USMC  
 123 45 6789  
 CO C, 1STBN, 2DMAR  
 2D MARDIV, FMF  
 CAMP LEJEUNE, NC 28542-5504

FITNESS REPORT RECEIPT/DATA NOTICE (1610) NAVJG PG 600 (REV. 1-89)  
 (PRINTED ON THE REVERSE SIDE)

1. After fitness reports are audited for completeness and compliance with this Manual, receipt of all fitness reports at HQMC is acknowledged by a computer-generated receipt as shown above.
2. Receipts are mailed to Marines at their duty address as determined from the reporting unit code reported through the MMS. Receipts for IRR's are mailed to their home address.
3. Receipts are printed in presealed envelopes and are addressed only to the individual Marine whose fitness report is being acknowledged. Information within the envelope is personal, and is not available to persons other than the individual Marine and the necessary processing and handling personnel at HQMC.
4. Marines who have not received a receipt within 90 days of the end of a reporting period may initiate inquiry by Administrative Action Form via the normal fitness report chain of command. Inquiries received at HQMC without intermediate endorsements will not be processed.
5. The Commandant of the Marine Corps (MMPE) should be advised of any incorrect data detected on a fitness report receipt; e.g., if a receipt shows an incorrect assignment, period of the report, or reporting occasion. The correct information should be included in the correspondence.

Figure B.1 Fitness Report Receipt Notice.



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