SYLLOGISTICS INC.

FINAL REPORT
AIR FORCE OFFICER EVALUATION
SYSTEM PROJECT

1987

& THE HAY GROUP

DTIC ELECTED JUL 11 1990

MANAGEMENT • PLANNING • ANALYSIS

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### TABLE OF CONTENTS

<table>
<thead>
<tr>
<th>SECTION</th>
<th>TITLE</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>PREFACE ......................................................................</td>
<td>iv</td>
</tr>
<tr>
<td></td>
<td>EXECUTIVE SUMMARY ..................................................</td>
<td>v</td>
</tr>
<tr>
<td>I</td>
<td>INTRODUCTION ..................................................................</td>
<td>I-1</td>
</tr>
<tr>
<td></td>
<td>Historical Background ................................................</td>
<td>I-1</td>
</tr>
<tr>
<td></td>
<td>Project Objectives and Tasking ....................................</td>
<td>I-9</td>
</tr>
<tr>
<td>II</td>
<td>STUDY METHOD ..................................................................</td>
<td>II-1</td>
</tr>
<tr>
<td></td>
<td>Phase 1: Background Study ..........................................</td>
<td>II-1</td>
</tr>
<tr>
<td></td>
<td>Phase 2: Data Gathering .............................................</td>
<td>II-2</td>
</tr>
<tr>
<td></td>
<td>Phase 3: Literature Review ..........................................</td>
<td>II-4</td>
</tr>
<tr>
<td></td>
<td>Phase 4: Data Analysis ...............................................</td>
<td>II-5</td>
</tr>
<tr>
<td></td>
<td>Phase 5: Synthesis of Recommendations ............................</td>
<td>II-5</td>
</tr>
<tr>
<td>III</td>
<td>FINDINGS ON PERFORMANCE APPRAISAL IN NON-AIR FORCE ORGANIZATIONS</td>
<td>III-1</td>
</tr>
<tr>
<td></td>
<td>Performance Appraisal: Findings from the Literature ...........</td>
<td>III-1</td>
</tr>
<tr>
<td></td>
<td>Performance Appraisal: Findings from the Private Sector ......</td>
<td>III-23</td>
</tr>
<tr>
<td></td>
<td>Performance Appraisal: Findings from the Other Services ......</td>
<td>III-33</td>
</tr>
<tr>
<td>IV</td>
<td>FINDINGS: AIR FORCE OFFICER EVALUATION SYSTEM .................</td>
<td>IV-1</td>
</tr>
<tr>
<td></td>
<td>Major Features of the Current OER System ........................</td>
<td>IV-1</td>
</tr>
<tr>
<td></td>
<td>Issues Affecting Officer Evaluations ..............................</td>
<td>IV-8</td>
</tr>
<tr>
<td></td>
<td>Summary ........................................................................</td>
<td>IV-21</td>
</tr>
<tr>
<td>V</td>
<td>CONCEPTUAL DESIGNS FOR THE AIR FORCE OER ......................</td>
<td>V-1</td>
</tr>
<tr>
<td></td>
<td>Formulation of Conceptual Design ....................................</td>
<td>V-1</td>
</tr>
<tr>
<td></td>
<td>Testing and redesign of Concepts ...................................</td>
<td>V-5</td>
</tr>
<tr>
<td></td>
<td>Conceptual Designs for Officer Evaluation ......................</td>
<td>V-6</td>
</tr>
<tr>
<td></td>
<td>Uniform Elements of the Conceptual Designs ......................</td>
<td>V-7</td>
</tr>
<tr>
<td></td>
<td>Conceptual Design 1: Differentiation through Command Persuasion</td>
<td>V-17</td>
</tr>
<tr>
<td></td>
<td>Conceptual Design 2: Differentiation through Rater Persuasion</td>
<td>V-22</td>
</tr>
<tr>
<td></td>
<td>Conceptual Design 3: Differentiation through Top Block Constraint</td>
<td>V-29</td>
</tr>
<tr>
<td></td>
<td>Evaluation of Conceptual Designs ...................................</td>
<td>V-37</td>
</tr>
<tr>
<td>SECTION</td>
<td>TITLE</td>
<td>PAGE</td>
</tr>
<tr>
<td>---------</td>
<td>-------</td>
<td>------</td>
</tr>
<tr>
<td>VI</td>
<td>IMPLEMENTATION PLAN</td>
<td>VI-1</td>
</tr>
<tr>
<td></td>
<td>Feasibility Assessment and Final Decision</td>
<td>VI-2</td>
</tr>
<tr>
<td></td>
<td>Design</td>
<td>VI-3</td>
</tr>
<tr>
<td></td>
<td>Development</td>
<td>VI-5</td>
</tr>
<tr>
<td></td>
<td>Test</td>
<td>VI-6</td>
</tr>
<tr>
<td></td>
<td>Full-Scale Training</td>
<td>VI-8</td>
</tr>
<tr>
<td></td>
<td>Full-Scale Operation</td>
<td>VI-9</td>
</tr>
<tr>
<td></td>
<td>Evaluation</td>
<td>VI-11</td>
</tr>
<tr>
<td></td>
<td>Refinement and Maintenance</td>
<td>VI-12</td>
</tr>
<tr>
<td>VII</td>
<td>CONCLUDING COMMENTS AND RECOMMENDATIONS</td>
<td>VII-1</td>
</tr>
<tr>
<td></td>
<td>Recommended Initial Steps</td>
<td>VII-2</td>
</tr>
<tr>
<td></td>
<td>Recommended Changes to OER Process</td>
<td>VII-3</td>
</tr>
<tr>
<td></td>
<td>Recommended Implementation Actions</td>
<td>VII-5</td>
</tr>
<tr>
<td></td>
<td>Other Issues</td>
<td>VII-7</td>
</tr>
<tr>
<td>APPENDICES</td>
<td>REFERENCES</td>
<td>A-1</td>
</tr>
<tr>
<td></td>
<td>SUMMARY OF PERFORMANCE APPRAISAL METHODS</td>
<td>B-1</td>
</tr>
<tr>
<td></td>
<td>PRIVATE SECTOR PERFORMANCE APPRAISAL INTERVIEWS</td>
<td>C-1</td>
</tr>
<tr>
<td></td>
<td>INITIAL AIR FORCE INTERVIEWS</td>
<td>D-1</td>
</tr>
<tr>
<td></td>
<td>FEEDBACK INTERVIEW SUMMARY</td>
<td>E-1</td>
</tr>
<tr>
<td></td>
<td>OER FORMS USED IN THE SERVICES</td>
<td>F-1</td>
</tr>
</tbody>
</table>
LIST OF TABLES

<table>
<thead>
<tr>
<th>TABLE</th>
<th>TITLE</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>I-1</td>
<td>Highlights of the Air Force OER</td>
<td>I-6</td>
</tr>
<tr>
<td>II-1</td>
<td>Focus Groups Identification</td>
<td>II-3</td>
</tr>
<tr>
<td>III-1</td>
<td>Comparison of Performance Appraisal Methods by Purpose and Costs</td>
<td>III-20</td>
</tr>
<tr>
<td>III-2</td>
<td>Other U.S. Services OER Comparison</td>
<td>III-64</td>
</tr>
<tr>
<td>V-1</td>
<td>Comparison of Conceptual Designs to Design Criteria</td>
<td>V-38</td>
</tr>
<tr>
<td>VI-1</td>
<td>Implementation Milestone Schedule</td>
<td>VI-13</td>
</tr>
</tbody>
</table>

LIST OF FIGURES

<table>
<thead>
<tr>
<th>FIGURE</th>
<th>TITLE</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>IV-1</td>
<td>Air Force Form 707</td>
<td>IV-4</td>
</tr>
<tr>
<td>V-1</td>
<td>Sample Job Description</td>
<td>V-10</td>
</tr>
<tr>
<td>V-2</td>
<td>OER Worksheet and Counseling Form</td>
<td>V-12</td>
</tr>
<tr>
<td>V-3</td>
<td>Conceptual Design 1</td>
<td>V-19</td>
</tr>
<tr>
<td>V-4</td>
<td>Conceptual Design 2</td>
<td>V-25</td>
</tr>
<tr>
<td>V-5</td>
<td>Conceptual Design 3</td>
<td>V-33</td>
</tr>
</tbody>
</table>
PREFACE

Syllogistics, Inc., and The Hay Group have prepared this final report of the Air Force Officer Evaluation System Project sponsored by the Deputy Chief of Staff/Personnel, under Air Force Contract No. F49642-84-D0038, Delivery Order No. 5025. Lieutenant Colonel James Hoskins, Personnel Analysis Center, Office of the Deputy Chief of Staff, Personnel, and Lieutenant Colonel Jerry Wyngaard, Air Force Military Personnel Center, monitored this effort and provided helpful comments on the draft final report. The Study was executed by a combined project team of Syllogistics, Inc., and The Hay Group.

The views and opinions expressed in this report are those of the authors and should in no way be interpreted as an official position, policy, or decision of any Government agency, unless so designated by other official documentation.

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EXECUTIVE SUMMARY

From June through September 1987, Syllogistics, Inc., and the Hay Group conducted a study to examine the strengths and weaknesses of the current United States Air Force Officer Effectiveness Report (OER) system and to recommend alternative designs which could improve its usefulness. Two other groups conducted separate but concurrent efforts with the same study objective. These were active duty and retired senior Air Force officers at Randolph AFB and students at the Air Force Command and Staff College. Specific Air Force guidance for the project was that any alternative conceptual design to the OER should: 1) focus on the officer's current job performance; 2) provide good differentiation among officers on potential for promotion and for successfully executing higher responsibility; and 3) provide some vehicle for giving officers feedback on their performance to support career development and counseling.

The study was carried out in five major phases:

- A study of the background of the officer evaluation process in the Air Force, including review of documentation and briefings by Air Force personnel;
- The field data gathering phase which included interviews and focus group discussions with Air Force officers and functional managers, (interviews and focus groups were conducted at Andrews, Charleston, Langley, Offutt, Randolph, Scott, and Wright-Patterson Air Force Bases);
- A review of performance appraisal in non-Air Force organizations (literature review, industry, other military services and government entities);
- The analysis of the data; and
Synthesis of options and recommendations.

KEY FINDINGS

Key findings from the study are described below, by source.

LITERATURE

- While a wide variety of performance appraisal methods have been studied, most are unacceptable because they are either inappropriate to Air Force needs or totally impractical to implement. The combination of graphic rating scales and verbal descriptions remains, in our judgment, the only feasible path to pursue.

- A performance appraisal system should focus on a single purpose, e.g., promotion. Other purposes should be addressed through alternate means.

- Performance evaluations can be improved by training the evaluators. This applies to both rating techniques and the need to rate accurately.

- Counseling (performance or career) is best done separately from the formal evaluation.

OTHER SERVICES

- Each of the other services recognizes the special relationship between an officer and his/her immediate supervisor and has tried to reduce the conflict between maintaining this relationship and providing an honest evaluation.
Each of the services has some mechanism for minimizing inflation in ratings, including peer rankings (Navy and Marine Corps), rate-the-rater (Army), and intensive headquarters review (U.S. Coast Guard).

INDUSTRY

Since the principal purpose of performance appraisal in the private sector is to support relatively short-term compensation decisions, much of what is done there would not meet Air Force needs.

Some type of rating control is prevalent in the private sector, but it is usually driven by the compensation or merit increase budgets.

Performance feedback is encouraged and emphasized as an important component in supervisor-subordinate relationships, and most private sector organizations train supervisors to give such feedback.

AIR FORCE CULTURE

There exists the perception that the Air Force officer corps is an elite group who are all above average.

The "controlled system" had a very negative effect on morale.

There is an unwillingness to openly make fine distinctions among officers.

Career advancement is often viewed as more important than job performance, especially by junior officers.

DEVELOPMENT OF CONCEPTUAL DESIGNS

Building upon the foregoing rich and diverse baseline of information, the Syllogistics/Hay study team developed three alternative approaches to enhance the OER
process. These alternatives were developed in accordance with several design criteria and guiding considerations. The design criteria stated that an improved OER should:

- Focus on job performance, not peripherals;
- Provide differentiation in potential for promotion;
- Be acceptable to the officer corps;
- Provide a means for developing subordinate officers; and
- Minimize the administrative burden.

In addition to these criteria the project team worked with a number of considerations, including:

- Alternative OER designs should reflect and sustain the larger Air Force culture;
- Within the Air Force, the alternative OER designs should encourage change in attitudes and habits concerning the OER;
- Promotion board judgment, not mere statistics, should be the ultimate method of making career decisions; and
- Alternative OER designs should be practical to implement.

RECOMMENDED OER DESIGNS

The study-developed alternatives share a number of common elements but represent three levels of departure from current practices. Common elements in the designs include a parallel, "off-line" feedback system between the rater and ratee; ratings on fewer performance factors; a single verbal description of performance which focuses
on specific accomplishment, not adjectives; computer basing of ratings; an improved method for producing job descriptions; and having potential rating done only by officers above the level of the rater. The principal distinguishing factor among the three alternatives resides in the methods used to assure that differentiation among officers is built into the system.

CONCEPTUAL DESIGN 1

The first alternative accomplishes differentiation in the same way as does the current Air Force system. That is, differentiation is represented by the level of the final indorser. Discipline is maintained by persuasion from the Chief of Staff to the MAJCOM commanders and by providing promotion boards with information on the distribution of indorsements produced by each command.

CONCEPTUAL DESIGN 2

The second alternative calls for ratings of performance by the rater on a number of scales and rating of potential by the indorser on a separate series of scales. This method attempts to obtain a fair degree of dispersion through the "rate-the-rater" concept. Specifically, rating and indorsing histories become part of every OER submitted to a promotion board and also become part of the rating and indorsing officers' records (and selection board folders) to be considered in their own evaluations. This alternative would provide a powerful stimulus to differential ratings. However, given the Air Force history and culture favoring "firewalling", there is substantial risk that this approach would meet considerable resistance to compliance from the officer corps; since with a changed system, many officers would be rated significantly lower than they are currently.
CONCEPTUAL DESIGN 3

The third and preferred alternative, differentiation through top block constraint, is designed to reduce any stigma of "negative" ratings, while simultaneously placing greater emphasis behind recommendations for early promotion by limiting them to ten percent of each grade at the wing level or equivalent. This ten percent target would allow for the overt identification of the truly outstanding performers. At the same time, it is a small enough minority of the population so as not to threaten officers who are not included in the ten percent stratum. By this approach, the rater would evaluate the overwhelming majority of officers as "meeting and sometimes exceeding" job requirements. The rater is encouraged to limit the number of officers rated "consistently exceeds the job requirements," through the rate-the-rater concept. The wing commander, on the other hand, would be compelled by regulation to comply with the ten percent early promotion recommendation limit.

Based on the study findings and analysis, the consulting team believes that the third alternative is most likely to meet the Air Force's needs in both the short and long term. In the short term, the amount of differentiation is very modest, but the possibility of acceptance without major upheaval is reasonable. In the long run, as the ten percent ratings and indorsements are distributed, promotion boards will be comparing individuals with variable and qualitatively different records (since an individual may receive different top block ratings on different factors from different raters and indorsers).

OTHER RECOMMENDATIONS

Some changes are also recommended in the information supplied to promotion boards. In addition to supplying rating and indorsing histories, it is recommended that only OERs in the current grade or the previous five OERs (whichever is greater) be provided, the board be given a list of Special Category Units (SPECAT) that are likely
to have a high proportion of outstanding officers, and a thorough exposition of the rating tendencies either of the command or of the raters/indorsers be provided to the boards along with the selection folders.

The final recommendation focuses on the importance of a carefully planned and deliberate implementation of any modification to the OER process. This is indeed a critical consideration; since the implementation phase involves a number of complex stages and sets the stage for the acceptance (or non-acceptance) of a modified officer evaluation system.

The report provides the necessary rationale and backup information for each of the conclusions and recommendations. We believe that the recommendations are workable and, if implemented, will contribute significantly toward assuring the continuation of a quality officer force.
SECTION I
INTRODUCTION

From June through September 1987, Syllogistics, Inc., in conjunction with the Hay Group, conducted a study to examine the strengths and weaknesses of the current United States Air Force Officer Evaluation Report (OER) and to recommend alternative designs which could improve its usefulness. This report documents the findings and recommendations from that study, and is organized in the following way.

Section I gives the historical background of the OER and explains the project's objectives and tasking. Section II sets out the procedures which were followed in the study. Section III presents the findings of the data collection and analysis phases of the study from non-Air Force sources, while Section IV gives the Air Force specific findings. Our rationale in formulating alternative OER designs is given in Section V followed by indepth descriptions of these alternatives for improvement of the OER system. Section VI outlines a proposed implementation plan and Section VII concludes with summary observations of the study group.

The assessment of officer performance is an important function for the United States Air Force and makes a significant contribution to the maintenance of the consistent high quality of its officer force. The Air Force uses the OER for several purposes, including: selection for promotion and school assignment; job assignment decisions; and augmentation and separation decisions.

HISTORICAL BACKGROUND

The Air Force like many large organizations has experienced inflated evaluation ratings and/or evaluation systems which were incompatible with their overall purposes. There have been six distinct phases in the Air Force OER system since the establishment of the Air Force as a separate service in 1947. These are: 1) the forced choice method
adopted from the Army in 1947-49; 2) the critical incident method used from 1949-52; 3) rating of performance factors with narrative commentary, 1952-1960; 4) the "9-4" system, 1960-1974; 5) the "controlled era", 1974-1978; and finally, 6) a return to a mechanism similar to 3) from 1978 to the present. Although these phases will be discussed in greater detail in the following pages, two characteristics have recurred throughout this history.

The first characteristic is that throughout all the OER changes, major and minor, the Air Force has availed itself of extremely high-level expertise, from academia, industry, and in-house, in its deliberations. The Air Force has over the years been willing to consider many state-of-the-art approaches to performance appraisal.

The second characteristic is the fundamental conflict between administrative need for differentiation, as institutionalized through the "up or out" system, versus an institutional reluctance to identify less than outstanding performance.

PHASE 1: 1947-1949

Initially the Air Force adopted the Army system for its OER program. This system included narrative comment, but the primary rating tool was the forced choice method which had been developed during World War II by industrial psychologists as a means of reducing bias in the ratings of Army officers. In this method the rater is asked to choose from sets of phrases those which are most and least descriptive of the ratee. Raters did not know how the overall rating would come out, as the OER forms were machine read and scored according to a "secret" formula. The forced choice system was discontinued due to the lack of rater acceptance. The raters wanted to know how they were "grading" their subordinates.
PHASE 2: 1949-1952

In 1949 a new evaluation system was implemented which incorporated the critical incident approach as well as mandatory comments by the rater. The front side of the form showed the rater's comments about certain ratee traits and aspects of performance along with the indorsement. The reverse side covered proficiency and responsibility factors on which the rater evaluated the ratee. The scores were then multiplied by a weighting factor, totaled, and divided by the number of factors to derive a total score.

This system was terminated in 1952 due to inflation of ratings and problems with the scoring of the forms. Total score became the predominant concern, outweighing individual factor scores. In addition there was some indication that inappropriate weights had been assigned to certain factors. Finally, the ratings on the front and reverse sides of the form often showed an illogical relationship and the form was very time-consuming to complete.

PHASES 3 AND 4: 1952-1974

In 1952 a third OER system was implemented. This system was derived from a study of private organizations, the other U. S. military services, and the Royal Canadian Air Force.

The basic form of the 1952 system incorporated six performance factors which were rated against graduated standards. The reverse side of the form called for an overall rating as well as providing space for the indorsement.

Although there have been many forms as well as policy changes since the 1952 system was implemented, the basic form and aim of the system have remained consistent, with the exception of the 1974-1978 period, through the present.
The changes which have occurred to the 1952 system include the timing of OER preparation. This has alternated between a prescribed date and occurrence of an event, e.g., a permanent change of station move. The period of supervision in which a supervisor must have observed the work of a subordinate for rater qualification purposes has gone from 60 to 120 days, to 90 days and back to 120 days. The relationship of the rater to the ratee have shifted from the officer in charge of career development in 1952 to the immediate supervisor in 1954. In addition, at various points the rank of the rater and of the indorser relative to the ratee has been variously controlled and uncontrolled. The number of top blocks which could constitute an outstanding overall rating has for psychological reasons, alternated between 1 block and 3. One top block supposedly sent the message that most officers should fall in the "middle of the pack." Three top blocks were thought to encourage greater differentiation.

In 1960 the "9-4" system was begun. The 9-4 system continued to use the overall 9 point scale evaluation from previous systems but added to it a requirement to rate promotion potential on a scale from 1 to 4. Initially, the 9-4 system did bring some discipline to the ratings but eventually the ratings became "firewalled" at the top score of 9-4. This inflation occurred even with an extensive educational program to warn evaluators against rating inflation.

By 1968 ratings inflation had once again rendered the OER system ineffective. Nine out of ten officers received the highest rating, 9-4.

Development work on a new system began in 1968 and continued through 1974 when the controlled OER came into being. During this six year period four major designs were put forth as collaborative efforts of the Air Force Human Resources Laboratory, industry, universities, government laboratories, foreign military services, the other Armed Services, the Air University, and the Air Staff.
PHASE 5: 1974-1978

In 1974 the controlled OER era began. The basic form of the previous OER was retained but raters were instructed to distribute their ratings as follows: 50% in the 1st and 2nd blocks (two highest) with a limit of 22% in the highest block. Although the system had been extensively discussed and pretested prior to implementation, it encountered almost immediate resistance.

The basic problem with the controlled OER was that officers who were experienced in a system that gave top marks on just about all evaluations understandably resisted a system where top marks became the exception. Perceptions centered about the notion that a "3" rating was the end of an upward career track in the Air Force.

Although educational efforts were made to overcome such misgivings and ultimately only the top block was controlled, the initial anxiety about the system was never overcome. In 1978 the controlled OER era ended when the Air Force leadership decided that individual need for a less stressful OER system was more important than the management benefits of differentiation.

PHASE 6: 1978-PRESENT

Since 1978, the OER has retained performance factors, narrative comment, and promotion potential ratings. The majority of ratings are again "firewalled" to the top blocks and the discriminating factor has become the rank of the indorsing official and the words in his/her narrative remarks. Table I-1 shows various characteristics of the OER since 1947.
<table>
<thead>
<tr>
<th>DATES</th>
<th>FORMS</th>
<th>SYSTEM</th>
<th>WHEN</th>
<th>PERIOD OF SUPERVISION</th>
<th>RATER</th>
<th>INDORSER</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
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<td>JUL 1947</td>
<td>WD 67-1</td>
<td>Forced Choice</td>
<td>Prescribed date</td>
<td>60 days</td>
<td>Immediate Supervisor</td>
<td>2 Evaluators, No Escalation</td>
<td>- separate counselling</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>- unacceptable to raters</td>
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<tr>
<td>MAR 1949</td>
<td>AF Form 77</td>
<td>Critical Incident</td>
<td>&quot;</td>
<td>&quot;</td>
<td>&quot;</td>
<td>&quot;</td>
<td>- problems with scoring, factor weighting</td>
</tr>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>- time consuming</td>
</tr>
<tr>
<td>DEC 1951</td>
<td>AF Form 77</td>
<td>Scored performance factor; Overall Evaluation</td>
<td>&quot;</td>
<td>&quot;</td>
<td>Officer Responsible for Career Development</td>
<td>2 Evaluators, escalation permitted</td>
<td>- 3 top blocks</td>
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<tr>
<td>NOV 1953</td>
<td>AF Form 77</td>
<td>Performance Factors Overall Evaluation</td>
<td>&quot;</td>
<td>&quot;</td>
<td>&quot;</td>
<td>&quot;</td>
<td>- 1 top block (to send message that most offices should be in middle)</td>
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<tr>
<td>JUN 1958</td>
<td>AF Form 77</td>
<td>Performance Factors Overall Evaluation</td>
<td>&quot;</td>
<td>120 days</td>
<td>Immediate Supervisor</td>
<td>&quot;</td>
<td>- 3 top blocks</td>
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<td>DATE</td>
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<td>SYSTEM</td>
<td>WHEN</td>
<td>PERIOD</td>
<td>RATER</td>
<td>INDORSER</td>
<td>COMMENTS</td>
</tr>
<tr>
<td>----------</td>
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<td>------------</td>
<td>---------</td>
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</tr>
<tr>
<td>MAY 1960</td>
<td>AF Form 707</td>
<td>Performance Factors; Overall Evaluation; Promotion Potential (9-4 system)</td>
<td>Event Centered</td>
<td>120 days</td>
<td>Immediate Supervisor</td>
<td>2 Evaluators, Escalation Permitted</td>
<td>- for field grades* - 1 top block 9-4 - more than 2 evaluators becomes rule</td>
</tr>
<tr>
<td>NOV 1960</td>
<td>AF Form 77</td>
<td>&quot;</td>
<td>&quot;</td>
<td>90 days</td>
<td>&quot;</td>
<td>&quot;</td>
<td>- limited company grade - 1 top block</td>
</tr>
<tr>
<td>JUL 1962</td>
<td>AF Form 77</td>
<td>&quot;</td>
<td>&quot;</td>
<td>&quot;</td>
<td>&quot;</td>
<td>&quot;</td>
<td>- top 2 blocks outstanding for company grade</td>
</tr>
<tr>
<td>FEB 1965</td>
<td>AF Form 709</td>
<td>Open</td>
<td>&quot;</td>
<td>&quot;</td>
<td>&quot;</td>
<td>&quot;</td>
<td>- for regular AF integration selection</td>
</tr>
<tr>
<td>AUG 1965</td>
<td>AF Form 706</td>
<td>Closed</td>
<td>&quot;</td>
<td>&quot;</td>
<td>&quot;</td>
<td>&quot;</td>
<td>- for colonel promotion recommendations</td>
</tr>
<tr>
<td>FEB 1972</td>
<td>AF Form 709</td>
<td>Open</td>
<td>&quot;</td>
<td>&quot;</td>
<td>&quot;</td>
<td>&quot;</td>
<td>- discontinued</td>
</tr>
<tr>
<td>NOV 1974</td>
<td>AF Form 707</td>
<td>Controlled OER</td>
<td>Prescribed Date</td>
<td>120 days</td>
<td>&quot;</td>
<td>3 evaluator limit</td>
<td>- use for all officers</td>
</tr>
<tr>
<td>SEP 1977</td>
<td>AF Form 707</td>
<td>&quot;1's&quot; controlled  &quot;2's&quot; decontrolled</td>
<td>&quot;</td>
<td>&quot;</td>
<td>&quot;</td>
<td>&quot;</td>
<td></td>
</tr>
<tr>
<td>OCT 1978</td>
<td></td>
<td>Decontrolled OERs; Promotion Potential</td>
<td>Event Centered</td>
<td>&quot;</td>
<td>&quot;</td>
<td>3 evaluator limit; escalation permitted</td>
<td>- Controlled OER Terminated</td>
</tr>
</tbody>
</table>

* Beginning with the introduction of AF Form 707, more than one form was in use simultaneously in most periods.
<table>
<thead>
<tr>
<th>DATE</th>
<th>FORMS</th>
<th>SYSTEM</th>
<th>PERIOD</th>
<th>RATER</th>
<th>INDORSER</th>
</tr>
</thead>
<tbody>
<tr>
<td>MAR 1979</td>
<td>AF Form 705</td>
<td>Closed Lt Colonel</td>
<td>120 days</td>
<td>Immediate Supervisor</td>
<td>3 Evaluators limit, Escalation Allowed</td>
</tr>
<tr>
<td>JUL 1981</td>
<td>AF Form 705</td>
<td>Event Centered Promotion Recommendation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PRESENT</td>
<td>AF Form 707</td>
<td>Promotion Potential</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
PROJECT OBJECTIVES & TASKING

The Air Force leadership is concerned that the OER has again become less than effective for its intended purposes. Some of the features which have been observed to be deficient and which an acceptable revision should possess are: 1) focuses on the officer's current job performance, 2) provides good differentiation among officers on potential for promotion and for successfully executing higher responsibility, and 3) provides some vehicle for giving officers feedback on their performance to support career development and counseling. In order to achieve these goals, the Deputy Chief of Staff for Personnel directed that a study of the OER be performed, to result in recommendations for an improved Air Force OER system and for its implementation.

Three groups were tasked to perform this study. The first of these groups is composed of active duty and retired senior Air Force officers and is based at Randolph AFB, Texas. The second group is composed of twelve students at the Air Force Command and Staff College at Maxwell AFB, Alabama. They conducted their study as a class project. The Syllogistics/Hay team is the final study group. This team was chosen to provide an independent, outside view of the officer evaluation issue and to apply the expertise of the private sector to the solution of the problems. This study is the basis of this effort.

The Syllogistics-Hay team was specifically tasked to study the current Air Force Officer Evaluation Report process to determine its strengths and weaknesses, to apply their knowledge of available methods for performance appraisal, and to develop one or more conceptual designs for an improved OER process and recommendations for the implementation of the design(s).
SECTION II

METHOD

The study was carried out in five major phases: 1) a study of the background of the officer evaluation process in the Air Force, including review of documentation and briefings by Air Force personnel; 2) the field data gathering phase, which included interviews and focus group discussions; 3) a review of performance appraisal from non-Air Force sources; 4) the analysis of the data; and 5) synthesis of options and recommendations. Each of these phases will be described in some detail in the following sections.

PHASE 1: BACKGROUND STUDY

At the outset of the study, the Air Force provided a briefing to contractor personnel, covering several aspects of the OER, its purposes and the process by which it is completed. The briefing described the current officer evaluation report form and its evolution through the history of the Air Force, with information on the lessons learned as each change was implemented. It described the philosophy of officer evaluation, as it has evolved, and the difficulties which have recurred through time, especially inflation of ratings and "gaming" of the evaluation system.

At the contractor's request, an additional briefing was provided, covering the Air Force promotion system and its interaction with officer evaluation. This briefing provided valuable background on the operation of promotion boards, on the use of the OER in promotion decisions, and on the officer force structure and factors affecting promotion opportunities.

Copies of briefing materials, as well as pertinent reports, Air Force regulations and other publications were provided to the contractors. Contractor personnel carefully
reviewed these materials. This was an essential step in the preparation for the next study phase, the gathering of data from Air Force personnel and others.

PHASE 2: DATA GATHERING

The data gathering phase of the study had four components. The first was personal interviews with individual Air Force officers who are highly knowledgeable of the personnel policies and procedures relating to officer evaluation. These officers ranged from general officers in command and policy-making positions to mid-level officers responsible for administration of the OER system. In each case, an interview guide (see Appendix D) was used to direct the discussion and to ensure coverage of points which the contractors had determined to be of major importance to the study. Notes were taken in all interviews for later analysis by the study team. All interviews were conducted by senior team members with extensive experience and expertise in interview techniques. The interviews ranged in length from one to three hours. A list of the officers interviewed is displayed at page D-2.

The second data gathering component was the convening of focus groups of six to eight Air Force officers each to discuss the OER process. The nine groups included ranks from lieutenant to major general, but each group was composed of officers of similar rank (e.g., lieutenants and junior captains, lieutenant colonels and colonels). Some groups included only rated officers or only support officers, while others were mixed. A list of the groups, their location, and composition is given in Table II-1.
### TABLE II-1

**FOCUS GROUPS IDENTIFICATION**

<table>
<thead>
<tr>
<th>Group No.</th>
<th>Location</th>
<th>Ranks</th>
<th>Other Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Randolph AFB</td>
<td>General Officers</td>
<td>Promotion Board Members</td>
</tr>
<tr>
<td>2</td>
<td>Pentagon</td>
<td>Colonel</td>
<td>All Air Staff; mixed Rated/Non-rated</td>
</tr>
<tr>
<td>3</td>
<td>Randolph AFB</td>
<td>Lt/Junior Capt</td>
<td>Non-rated; support</td>
</tr>
<tr>
<td>4</td>
<td>Charleston AFB</td>
<td>Lt/Junior Capt</td>
<td>Rated; operations</td>
</tr>
<tr>
<td>5</td>
<td>Randolph AFB</td>
<td>Sr Capt/Maj</td>
<td>Rated; operations</td>
</tr>
<tr>
<td>6</td>
<td>Randolph AFB</td>
<td>Sr Capt/Maj</td>
<td>Non-rated; support</td>
</tr>
<tr>
<td>7</td>
<td>Randolph AFB</td>
<td>Maj/LtCol</td>
<td>Rated; operations</td>
</tr>
<tr>
<td>8</td>
<td>Charleston AFB</td>
<td>Maj/LtCol</td>
<td>Non-rated; support</td>
</tr>
<tr>
<td>9</td>
<td>Randolph AFB</td>
<td>LtCol</td>
<td>Mixed rated/non-rated; ops/support</td>
</tr>
</tbody>
</table>

Each focus group was conducted by two contractor personnel, with additional personnel present as recorders at most sessions. One of the two served as chief facilitator and led the group discussion with the aid of a discussion guide (see Appendix D). The second facilitator was less active, entering the discussion only infrequently, and assisting in maintaining the focus of the session. The Air Force personnel in the groups were informed of the purposes and method of the study at the beginning of each session and were encouraged to be honest and open. The contractor’s goal in these groups was to elicit information, not only on the operation of the OER system, but more importantly on how officers feel about the process and how it affects their careers.

Each focus group met for approximately one and one-half to two hours.

The third component of the data gathering effort was a series of interviews with persons responsible for administering officer evaluation systems of the U.S. military services other than the Air Force and of the U.S. Department of State and the Canadian
Armed Forces. These interviews were conducted to learn about details of the officer performance evaluation systems of these services. The interviews focused upon identifying the ways in which these systems differ from the Air Force OER system and the significance of such differences. Each respondent was asked about specific strengths and weaknesses of the system which he/she administered, and most respondents provided documentation on their systems.

The fourth data gathering component was a series of telephone interviews with representatives of major corporations which have active management performance appraisal programs. These interviews were conducted to obtain information on current private sector performance evaluation practices. Fourteen interviews were completed, using an interview guide (see Appendix C) to ensure that all major points were covered. The interviews were performed by persons with expertise in private sector performance evaluation issues.

PHASE 3: LITERATURE REVIEW

In addition to the study of the background materials provided by the Air Force, the contractors searched and reviewed a large sample of historical and current literature on performance appraisal. Textbooks and review articles were used for an overview of "traditional" performance appraisal methods, and for information on the salient features of each of these methods.

Special attention was given to current research literature, with the goal of identifying and evaluating currently popular appraisal methods and systems. This literature was reviewed selectively, with emphasis on issues and methods which appeared especially relevant to the needs of the Air Force.
PHASE 4: DATA ANALYSIS

The data analysis effort included several elements, some of them performed concurrently. Since the literature review analysis produced a conceptual framework within which other information was analyzed, it will be discussed first.

The literature review findings were analyzed and organized in several ways. First, the information was searched to determine major features which are common to all or most performance appraisal systems. These features were listed and used in the analysis of data from other sources (see below). The study team also developed a taxonomy of performance appraisal systems, based on what is evaluated, what measures are used, and the techniques by which the measures are applied. The next step was to identify in the literature a consensus on the relationship between organizational characteristics and performance appraisal methods. This resulted in a number of principles relating organizational characteristics to the categories of appraisal methods which have been found to be appropriate to them.

The material from the briefings and documents provided by the Air Force was reviewed to extract major recurring themes or issues. These issues were listed and classified for use when evaluating alternative proposals for changes to the OER process. Those issues which emerged as most important were also compared with the data gathered in interviews and focus groups, (i.e., Are the historically important issues still seen as important by current officers?)

The notes from interviews with Air Force personnel and from the Air Force focus groups were analyzed to determine major issues. A capsule description of each issue was prepared, and where specific issues could be identified with particular
population groups, this was done. Certain issues, for example, were of concern more to rated than to non-rated officers; others were more salient to junior officers than to senior officers.

The issues were categorized into groups according to their content or area of reference, for example, issues relating to the OER form, to the OER process, to the matter of control of rating distributions. The study team was careful to document the perceived strengths of the present system as well as its perceived weaknesses. The study team also noted its impressions of Air Force cultural and organizational characteristics which interact with the OER process, since these are of great importance in determining the acceptability and feasibility of any proposed changes to the OER process.

The data from interviews with the other services and departments were reviewed and analyzed to extract major features of each performance appraisal system. A comparison matrix was prepared to facilitate understanding of these systems and of their similarities and differences. These systems were also examined to determine how each deals with the issues which had been found to be of greatest importance to the Air Force.

The information gathered by telephone interview from large corporations was subjected to an analysis similar to that used for the other military services. Major features of each corporation's performance appraisal system were extracted, and a matrix was prepared comparing the features across companies.

PHASE 5: SYNTHESIS OF RECOMMENDATIONS

Upon completion of the data analysis, the study team began developing conceptual designs for improving the Air Force OER process. This involved careful consideration of the criteria which had been developed for a successful OER, the practical considerations which had emerged in the analysis phase, and the knowledge
gained from the literature and from other organizations concerning the feasibility and effectiveness of various potential solutions to the problems we had identified.

Several preliminary OER designs were outlined, and their salient features were listed. These features were then discussed during interviews with 20 Air Force officers of various ranks, many of whom administer OER processing for their commands or activities, to obtain feedback on the value and feasibility of each feature. The feedback interview results were tabulated and analyzed, and decisions were made by the study team about features to be retained and those to be discarded or revised. The preliminary alternative conceptual designs were then revised into final recommended conceptual designs for presentation at the final briefing and in this final report.
SECTION III

FINDINGS ON PERFORMANCE APPRAISAL IN NON-AIR FORCE ORGANIZATIONS

This section gives the findings about performance appraisal in non-Air Force organizations. These were collected from a review of the performance appraisal literature, interviews with fourteen private sector organizations, and interviews with officials from the other armed services as well as the Department of State.

PERFORMANCE APPRAISAL: FINDINGS FROM THE LITERATURE

A literature search was conducted during the project with two purposes in mind. First, we wanted to determine recent trends and developments in the field of performance appraisal. Second, we hoped to cull from the literature an indication of standard elements for a performance appraisal system which could be used in our analysis of, and deliberations over, alternative OER designs.

In addressing these two purposes, this section is organized into four parts. The first part, Survey and Background, discusses the available literature and gives the historical development and current position of performance appraisal. The second part, Standards, offers a set of standards for all performance appraisal systems and discusses typical errors in appraisal. This part also includes a discussion of the components of any performance appraisal system. The third part, Methods, describes the primary forms of performance appraisal with the emphasis on subjective methods and compares these methods. The fourth part, Implications, offers some conclusions from the literature search and their implications for the Air Force's inquiry into alternative OER designs.
SURVEY AND BACKGROUND

The literature on performance appraisal is both extensive and diverse, and touches on many side issues such as motivation, job satisfaction, equity, etc. The bulk of the literature focuses on different aspects of documentable performance measures, a focus which is understandable due to the legal requirements of Equal Employment Opportunity legislation.

At the same time, an area that is somewhat lacking in treatment is that which pertains to such broad organizational issues as the practical and meaningful implementation of performance appraisal within an organization and the matching of performance appraisal techniques with performance appraisal purposes.

Rating scales, as a performance appraisal technique, have been in use at least since the 1920s. Although several newer techniques have been introduced, rating scales still predominate. Much has been written about Behaviorally Anchored Rating Scales (BARS), but the developmental costs appear to outweigh the advantages associated with the technique. The use of outcome-oriented techniques, such as management-by-objective, as a performance appraisal method is increasing in popularity as a management tool, but there is some indication that its popularity for appraisal purposes may be fading.

The thrust of the literature search was on current literature which for our purposes was 1985 to the present. Certain standard texts were also used, primarily for the Methods section. These were Organizational Behavior and Personnel Psychology by Wexley and Yukl (1977); Personnel: A Diagnostic Approach by Glueck (1978); and, finally, Applied Psychology in Personnel Management by Cascio (1982).

Performance appraisal, evaluation, or, as it is alternatively called, employee proficiency measurement, is generally defined as "the assessment of how well an
employee is doing in his/her job" (Eichel and Bender, 1984). The activity of assessing job performance is certainly widespread in the United States. A Bureau of National Affairs (BNA) study in 1974, for example, found that three-fourths of supervisors, office workers, and middle managers have their performance evaluated annually. A second BNA study (BNA 1975) showed that 54% of blue collar workers participate in performance appraisal. How these assessments are used by organizations, however, varies widely and has shifted noticeably over time.

Before 1960, performance appraisals were used by most organizations to justify administrative decisions concerning salary levels, retention, discharges, or promotions. In the 1960s, the purpose of performance appraisal grew to include employee development and organizational planning (Brinkerhoff and Kanter, 1980). In the 1970s, requirements of the Equal Employment Opportunity laws caused organizations to formalize performance appraisal requirements in order to justify salary, promotion, and retention decisions (Beacham, 1979).

Currently, performance appraisal is used primarily for compensation decisions and often for counseling and training development. Performance appraisal is used less frequently as a basis for promotion, manpower planning, retention/discharge, and validation of selection techniques. (Eichel and Bender, 1984; Hay Associates, 1975; Locker and Teel, 1977).

Although performance appraisal is widely practiced, the activity is still usually regarded "as a nuisance at best and a necessary evil at worst" (Lazer and Wikstrom, 1977). This attitude towards performance appraisal seems to be held often by both evaluator and evaluatee. Schneier, Beatty, and Baird (1986) note that the requirements of performance appraisal systems often clash with the realities of organizational culture and of managerial work. For example, a manager often has an interest in taking decisive action whereas the performance appraisal may have ambiguous, indirect results.
Employee attitudes toward organizational promotional systems have also been found to be negative. In one study of such attitudes it was found that respondents believed that personality was the most significant factor in career advancement and that promotion decisions were usually made subjectively and arbitrarily by superiors (Tarnowieski, 1973).

Regardless of the perceptions, performance appraisal is a necessary organizational activity. The following sections describe the current state of this activity.

STANDARDS OF PERFORMANCE APPRAISAL

Whatever performance appraisal system is used, there are certain standards which the system should meet. The literature identifies five such categories of criteria, namely: legality, validity, reliability, acceptability, and practicality (i.e., cost and time). These categories are closely related and must be defined in relation to one another.

Legality refers to the legal requirements for performance appraisal systems, which are the same as for any selection test in that they stipulate that the performance appraisal system be valid and reliable. Validity, in turn, refers to the extent to which an instrument or method measures what it purports to measure. For example, an organization decides to evaluate an employee's performance. If the goal of the performance appraisal is selection for promotion then the performance factors to be evaluated must be selected based on an idea of what will be successful performance indicators for the next level position. This evaluation would not be valid unless it could be demonstrated that success in the selected factors was a predictor of success in the job to which the employee was being promoted.

Apart from legal implications, it must be noted that the idea of validity is important at the more elementary level of organizational planning as well. If the organization were to evaluate job performance for developmental purposes then the
evaluation must be designed to identify individual strengths and weaknesses and must incorporate a vehicle for communicating this information between the rater and ratee.

The third criterion, reliability, is the extent to which a personnel measurement instrument provides a consistent measure of some phenomenon. For example, given the assumption that a person's skills do not change, an instrument which measures skills repeatedly would be reliable only if it repeatedly produced approximately the same scores.

The fourth criterion, acceptability, refers to a system's having to be acceptable to both evaluators and evaluatees. By acceptable, we mean that the system be perceived as fair and supportable within the organizational culture. Findings from one study of middle-level managers indicate that the procedures by which appraisals were made seemed to affect the perception of fairness to the same degree as the ratings themselves (Greenberg, 1986). This study also found that procedures that give employees input to the performance appraisal system are seen as being fairer than those that do not.

The issue of acceptability must be considered whenever there is an attempt to introduce a new appraisal system into an established organization. No matter how well-designed an appraisal system is from a technical standpoint, it is not likely to be effective if it requires behaviors which are incompatible with the customs and expectations of the organization's members. A well-designed and well-implemented program of education and training may improve the acceptability of any appraisal system, but it will not overcome a fundamental mismatch between the appraisal method and the corporate values or culture.

Finally, the criterion of practicality refers to the requirement that the performance appraisal system should be fairly simple to administer and reasonable in terms of time required and cost of development.
Problems of Performance Appraisals

Although these standards could go a long way in promoting the integrity of performance appraisal systems, there are still typical, almost unavoidable errors made in the performance appraisal process due to the subjective nature of most measurement techniques combined with the proclivities of the raters. Among these are central tendency errors, "halo" effects, contrast effects, similarity-to-self errors and opportunity bias.

Central tendency error is the propensity to grade performance at an average point on a scale rather than rate at the very high or very low end. Leniency and strictness are different manifestations of the same theme -- leniency being defined as the tendency to constantly rate at the higher end of the scale and strictness the reverse.

A second common difficulty is referred to as the "halo" effect. The halo effect occurs when an evaluator assesses all factors based on the evaluator's own feelings about one or more factors of performance, rather than assessing each factor objectively. Halo effect can be reduced either by changing the sequence in which the evaluator rates performance factors or by making the performance factors more specific.

Contrast effects occur when a person is evaluated against other people rather than against the requirements of a job. For example, three people are up for a promotion, one average and two less than average performers. The evaluator promotes the average performer because he or she looks better in contrast to the other two candidates, not because he/she is necessarily qualified for the promotion.

Similarity-to-self error occurs when an evaluator rates a person based on the evaluator's (often unconscious) perception of how similar that person is to him- or herself. This similarity could be in terms of job experience, educational background,
personal preferences, etc. Once again, the evaluator is not using a job related criterion to make his/her rating decision.

Opportunity bias is a rating error which can manifest itself in two ways. The first is when objective data which may or may not be job related are used in an evaluation. Such objective data could be absenteeism, tardiness, sick leave, etc. These data are objective and readily available, but may be over-emphasized relative to other aspects of the job which are unable to be measured objectively.

The second way in which opportunity bias occurs is often associated with evaluations for employees of field offices, remote sites, etc., by headquarters personnel. In this manifestation, the evaluator tends to downgrade the field personnel because their work is not visible to the evaluator.

Components of Performance Appraisal

Prior to discussing specific methods of performance appraisal, the actual components of the performance appraisal system need to be identified. These include goals, methods of performance appraisal, indicators of performance, schedule of appraisals, and evaluators.

Goals. The goal or purpose of performance appraisal is usually either to support the administrative needs of the organization or to facilitate individual employee development. The goal of the performance appraisal should drive the type of performance appraisal system used and the type of performance information collected. For example, the primary administrative uses of performance appraisal are for compensation and promotion decisions. One would assume, then, that an organization would make these decisions based on assessment of current performance and would choose a performance appraisal method which would provide that information. The same idea would hold for the organization whose performance appraisal goal is employee
development. The method chosen in this case should give an indication of employee strengths and weaknesses.

*There is indication in the literature that performance appraisal for multiple purposes which include development tends to fail on the development side.* One important study showed that employees became defensive about performance counseling when a compensation decision was dependent on a favorable rating (Meyer, Kay & French, 1965). For this reason some authors argue for separate performance appraisal systems for different purposes or at least for separating the counseling session in time from the formal evaluation.

**Methods.** Methods of performance appraisal can be categorized as objective and subjective methods for purposes of broad differentiation.

Subjective methods, on the one hand, rely on the opinion of an individual or several individuals regarding an employee's performance. Most often subjective methods use some sort of scaling device to record these opinions concerning specified performance factors. There is tremendous variation in these techniques, mainly in the degree of accuracy attempted by the scale.

Objective methods, on the other hand, use direct measures to rate employees. Such direct measures can be either rates of production, personnel statistics (e.g., absence rates, sick days) accomplishment or non-accomplishment of specified performance objectives or test scores.

Objective methods are generally used with employees whose jobs are repetitive or production-oriented. Objective measures carry the obvious advantage of not being dependent on evaluator judgment. However, they may not be as useful to many organizations as subjective measures because they often reflect outcomes which may not provide the total, or most important, picture of an individual's performance. In
addition, they frequently fail to provide a means for comparison of performance among employees. Finally, it is occasionally the case that plausible objective performance measures simply cannot be devised for a particular job. Practical considerations usually limit the use of objective techniques, although it is important to note that objective information can be helpful in supporting subjective ratings, even when correlations between subjective and objective ratings are low (Cascio & Valenzi, 1978).

Taylor and Zawacki (1984) categorized methods as traditional (i.e., use of quantitative or statistical tools along with judgment by an evaluator to evaluate performance) or collaborative (i.e., use of some form of joint, evaluator-evaluatee, goal-setting technique related to performance.) In a study of Fortune 500 companies, these authors found that collaborative designs brought about improvements in employee attitudes more often than traditional designs. They also found that, although more companies were satisfied with collaborative than with traditional designs, there was a general shift in usage to traditional designs, perhaps due to legal requirements for precise measurement.

In another study of the effects of goal-setting on the performance of scientists and engineers, nine groups were formed which varied goal setting strategies (assigned goals; participatively set goals; and "do your best") and recognition vehicles (i.e., praise, public recognition, bonus) (Latham & Wexley, 1982). Those in the groups which set goals, either assigned or participatively, had higher performance than those in the "do your best" group. In addition, it was found that those in the participative group set harder goals and had performance increases which were significantly higher than the other two goal-setting categories.

**Indicators.** Indicators of performance can be behaviors displayed by employees, tangible results of employees performance, and/or ratings on employee traits or qualities (e.g., leadership, initiative).
There is consensus in the literature that traits are not the preferred performance indicators. Traits are difficult to define and therefore can lead to ambiguity and poor inter-rater reliability. Trait rating may also not be helpful from a developmental position as it is hard to counsel employees, for example, on "drive." Finally, a trait-oriented appraisal is likely to be rejected by the courts (Latham & Wexley, 1982). It is difficult to show, first, that a trait has been validly and objectively measured, and second, that a particular trait is a valid indicator of job performance level. Behavioral indicators can be shown through job analysis to be valid measures of performance. Research on these indicators suggests that rating both behaviors and results is the best course of action (Porter, Lawler & Hackman, 1975).

**Schedule of the Appraisal.** Most organizations appraise performance annually, usually for administrative convenience. Schedules are often based on employee anniversary dates with the organization, seasonal business cycles, etc.

Appraisals scheduled once a year solely for administrative convenience are difficult to defend from a motivational viewpoint, since feedback is more effective if it immediately follows performance (Cook, 1968). In addition, if all appraisals are conducted at one time then managers have an enormous workload, although the annual dates for all employees need not coincide. Variable schedules for appraisals can be used when there are significant variations in an employee's behavior, although problems with this idea can include inconvenience and lack of consensus over what should constitute "significant variation."

**Evaluators.** An evaluator can be the employee's immediate supervisor, several supervisors, subordinates, peers, outside specialists or the employee him/herself.

In a study by Lazer & Wikstrom (1977), the employee's immediate supervisor was found to be the evaluator for lower and middle management in 95% and for top
management in 86% of companies surveyed. Use of the immediate supervisor as the evaluator is generally based on the belief that the supervisor is the most familiar with an individual's performance and therefore the best able to make the assessment.

Several supervisors can be used to make the appraisal, a method which has the possibility of balancing any individual bias. Eichel and Bender's study (1984) shows that in 63% of the responding companies another supervisor would join in the appraisal in some way. Another study (Cummings and Schwab, 1973) showed however, that an evaluation by a trained supervisor was as effective as by a typical rating committee. In any event, the research on the effectiveness of joint appraisal by several supervisors is sparse and inconclusive.

Peer evaluation, although rarely used, consistently meets acceptable standards of reliability and is among the best predictors of performance in subsequent jobs. Also, peer appraisals made after a short period of acquaintance are as reliable as those made after a longer period (Gordon & Medland, 1965; Korman, 1968; Hollander, 1965). Peer evaluations may not be used extensively because peers are often reluctant to act as evaluators or to be evaluated by their peers, supervisors may not want to relinquish their managerial input to evaluation, and it may be difficult to identify an appropriate peer group.

Outside specialists can be brought in to conduct appraisals but this is rare. The assessment center technique incorporates outside personnel but this technique is often expensive in terms of time and manpower. Use of outside specialists was so infrequent that it was not even reported in the 1975 BNA study.

Self evaluation in the form of either formal or informal input to the appraisal process was reported in three out of four responding companies in Eichel and Bender's survey (Eichel & Bender, 1984). Several studies which compared self and supervisory
assessments showed low agreement between the two techniques (Meyer, 1980). Self assessment appears to be used primarily for employee development purposes, while supervisory assessment is used mainly for evaluative purposes.

The role of the evaluator is key in most performance appraisal systems, because most performance appraisal systems rely on the judgment of the evaluator. On this point the literature supports the idea that *evaluator training can be effective in reducing evaluator error, such as "halo", especially if the training includes practice* (Landy & Farr, 1980).

Within the context of these components of any performance appraisal, specific methods of appraisal are described next.

**METHODS**

As discussed in the previous section, methods for performance appraisal can be divided into objective or subjective. An overview of methods is described below with the subjective methods first. Appendix B offers a more complete discussion of each technique along with sample forms.

**Subjective Methods**

Nine subjective performance appraisal methods are identified in the literature, including:

**Rating Scales.** These have been and continue to be the most popular forms of performance appraisal. In this method, the evaluator is asked to score an employee on some characteristic(s) on a graphic scale. Characteristics can be personal traits such as drive, loyalty, enthusiasm, etc., or they can be performance factors such as application of job knowledge, time management, and decision-making. Scoring is sometimes left completely to the judgment of the evaluator; alternatively, standards can be developed
which give examples of what should constitute a particular score on the trait or performance factor.

The scale on which the factor is scored may be a continuous line or in the multiple step variation the evaluator may be forced to score in discrete boxes.

The widespread use of rating scales is probably attributable to administrative convenience and applicability across jobs. In their simplest forms, however, rating scales are prone to many types of evaluator bias.

Behaviorally Anchored Rating Scales, or BARS, were developed to address this problem. BARS provide specific behavioral examples of "good" performance or "poor" performance developed and validated by supervisors for a particular job. The use of behavioral examples precludes much of the ambiguity of such descriptors as "exceptional". BARS, once developed, are fairly easy to use and can provide the employee with rather specific feedback. BARS are very expensive to develop and usually are constructed for each specific job. There seems to be some consensus that on a job by job basis the expense may be outweigh the value. Their most appropriate application is for very high density jobs such as telephone operators.

Checklists. In this method the evaluator is given a list of behavioral statements and asked to indicate or check whether he/she has observed the evaluated employee exhibiting these behaviors. A rating score is obtained by totaling the checks. Weighted checklists also use behavioral statements, but weights have been developed for each statement which correspond to some numerical point on a scale from poor to excellent. Evaluators indicate presence or absence of each behavior without knowledge of associated scores. The evaluatee's final score is obtained by averaging the weights of all items checked.
Forced Choice. The forced choice method was developed during World War II by industrial psychologists as a means of reducing bias in the ratings of Army officers. In this technique groups of statements are developed and grouped, two favorable and two unfavorable per group. The evaluator is asked to pick from each group of four statements which are most and least descriptive of the employee being rated. One statement in each group is actually a discriminator of effective and ineffective behavior. The other statements are not. The rater does not know which statements are the discriminators and which are not. Scoring is done separately, usually by the personnel department.

The obvious advantage of this technique is that the system, properly constructed, should reduce subjectivity. However, evaluators are often reluctant to use the method because they don’t know how they are rating employees. In addition, considerable time is required to develop the discriminating statements properly. Finally, the system does not effectively support employee development needs.

Critical Incident. Like checklists, the critical incident technique involves preparing statements which describe employee behaviors. These statements, however, describe very effective or successful behaviors. Supervisors then keep a record during the rating period indicating if and when the employee exhibits these behaviors. This record can be used during the appraisal interview to discuss specific events with employees. The critical incident technique can be very effective for development purposes, but is not as useful for compensation or promotion decisions.

Forced Distribution. The forced distribution method asks the evaluator to rate employees in some fixed distribution of categories, such as 20 percent poor, 50 percent average, and so forth. This distribution can be done in sequence for different purposes, i.e., job performance and promotion potential. This technique is administratively simple, but there are several disadvantages to the use of a forced distribution. It is not useful in
providing feedback to the ratee on his/her performance for use in developmental counseling. It often encounters resistance from the raters, who are uncomfortable assigning large numbers of subordinates to categories which are less than favorable. The use of forced distributions where the ratings of multiple groups must be combined may also lead to problems, because the groups may not all be seen as of equal "quality" by raters and ratees. For example, is an average performance in a highly selected work group the same as an average performance in a less elite group? If not, how can the difference be equitably dealt with in the system? Forced distribution is usually done to control ratings and to limit inflation.

**Ranking.** Ranking involves simply rating employees from highest to lowest against some criterion. The method carries about the same advantages and disadvantages as forced distribution but is harder to do as the group size increases. Ranking also does not allow valid comparison across groups unless the groups share some of the individuals in common.

**Paired Comparison.** The paired comparison is a more structured ranking technique. Each employee is systematically compared one on one against each other employee in a defined group on some global criterion, such as ability to do the j... When all employees in the group have been scored, the number of times an employee is preferred becomes, in effect, his/her score. This method gives a straightforward ordering of employees; however, it does not yield information which might be helpful for employee development. Paired comparison, like ranking, does not allow comparison across groups.

**Field Review.** The field review approach uses an outside specialist, often someone from the personnel department, to conduct the evaluation. Both the manager and the subordinate are questioned about the subordinates' performance, then the specialist prepares the appraisal with managerial concurrence. The major advantage of
the field review technique is that it reduces managerial time in the appraisal system and may provide more standardization in the appraisal s. Managers may, however, delegate all the appraisal function to the personnel office when in practice the technique is designed to be a collaborative effort.

Essay Evaluation. In this technique the evaluator writes an essay about the employee's performance. The essay is usually directed, that is, certain aspects of the employee's behavior must be discussed. Essays are often used in conjunction with graphic rating scales to explain a score. One disadvantage of this approach is that the writing ability of the rater can influence the employee's final rating if the evaluation is passed through the organizational hierarchy.

Objective Methods

Objective methods do not rely on the judgment of an evaluator and usually involve capturing direct information about an employee's proficiency or personal work statistics such as tardiness, etc. Objective methods are usually restricted to production oriented and repetitive jobs although they are also applied to jobs which are responsible for sales, profit or other objective outcomes. Even though objective methods may not rely on subjective judgments, they are still not a panacea for performance appraisal for the jobs where they are applicable. This is because the objective data is most relevant to the assessment of current performance, but probably could not stand alone as a performance appraisal technique for promotion or development purposes. Judgment as to the relevance of the data still adds a level of subjectivity which is impossible to avoid.

Two objective methods, proficiency testing and measurement against production standards are discussed below.
**Proficiency Tests.** Proficiency tests measure the proficiency of employees at doing work and are basically simulations of the work a job entails. Typing tests and assessment center simulation are examples of this technique. Written tests can also be used to measure the employee's job related knowledge. One disadvantage of the testing technique, in addition to those given generally above, is that some people are more anxious during a testing situation than in an actual work situation, and these people will be at a disadvantage if their anxiety affects their performance. A second disadvantage is that proficiency tests tend to measure what can be done as opposed to what is done daily on the job. For example, lack of motivation on the job may not be reflected in the test scores.

**Measurement Against Production Standards.** Production standards are levels of output which reasonably can be expected from an employee within a given amount of time. Standards can be set through sophisticated industrial engineering techniques or they can be as simple as the average output of all employees in the given time. In any event, an employee's actual performance can then be measured against the standard rather than against other employees.

**Other Methods**

**Management By Objective (MBO).** MBO, which can be a goal oriented management tool, can be used either separately or simultaneously as a performance appraisal technique. When MBO is used as a performance appraisal technique, the supervisor and subordinate usually establish performance objectives, often in quantitative terms, for the rating period. At the end of the rating period, actual performance is compared to the objectives and scored. In an intuitive sense MBO is very appealing as a technique for performance appraisal as it appears straightforward, can be used to convey broad organizational goals, and usually has a quantitative orientation. Many
organizations have adopted MBO or some form of goal setting for appraisal purposes, possibly for these reasons (Kane & Freeman, 1986, Eichel & Bender, 1984).

MBO as a performance appraisal technique is relatively new and therefore has not been studied extensively (for that purpose). The literature does indicate, however, some areas where MBO can be troublesome. MBO can be difficult as an appraisal technique if the appraisal is for promotion purposes; because MBO does not provide relative performance indicators (French, 1984). A second possible problem is that MBO tends to focus on goals which can be quantified: production rate, return on investment, etc. Such quantitative goals often do not include or address causal issues such as leadership, judgment, etc. In addition quantitative organizational goals are rarely the result of the performance of an individual. Thus, the appraisal may incorporate factors beyond the control of the individual. For whatever reason, the literature indicates that MBO and, to some extent, goal setting as a performance appraisal technique may be decreasing in popularity (Schuster & Kindall, 1974; Kane & Freeman, 1986; Taylor & Zawacki, 1984).

Comparison of Methods

Table III-1 compares the various performance appraisal methods by purpose or goal of the performance appraisal and by cost in terms of development and usage.

Examination of this table shows that there is no one method which would satisfy all three purposes: development, compensation allocation, and promotion. It also shows that costs associated with various systems vary primarily as a function of the amount of information which must be collected or developed. Finally, the three employee comparison methods (ranking, paired comparison, and forced distribution) have the particular advantage/disadvantage of being useful for employee comparison within a group, but offering considerable barrier to comparing employees across groups.
In the next part we will discuss conclusions from the literature and some possible implications for the Air Force.

IMPLICATIONS FOR THE AIR FORCE

The performance appraisal literature is frustrating in that it tends to dwell more on specific details of certain methods rather than on larger organizational issues. There are, however, some themes which appear relevant to the current OER considerations.

The Air Force is a huge and diverse organization which must recruit, train, develop, and retain its desired workforce. In addition, through the up or out system, the Air Force must constantly pare away at each class of officers. With these thoughts in mind, the performance appraisal system and the information it can yield to the individual and the organization take on extraordinary importance. It is also clear, however, that attempts to increase accuracy in measurement, fairness in procedure, and information for developmental purposes must be assessed against the administrative realities and practicalities of a very large and somewhat decentralized organization.

The idea has been offered that the purpose of the performance appraisal system should drive the type of technique chosen or at least the information collected. The Air Force, like most organizations, uses performance appraisal now for multiple purposes but primarily for promotion. If the OER system is to be effective for the purpose of selection for promotion, then it should focus on that purpose and achieve its other, current purposes through alternative means.

A variety of performance appraisal methods was described, classified according to how performance is measured. Examination of these methods suggest that some methods may be more realistic for the Air Force than others. For example, the
<table>
<thead>
<tr>
<th>METHOD</th>
<th>DEVELOPMENT (Assessment of employee strengths and weaknesses in current job)</th>
<th>PURPOSE: COMPENSATION (Assessment of current performance relative to other employees)</th>
<th>PROMOTION (Assessment of employee potential to do next highest job relative to other employees)</th>
<th>COSTS: DEVELOPMENT</th>
<th>USAGE: Costs to administer; ongoing cost of measuring</th>
</tr>
</thead>
<tbody>
<tr>
<td>Graphic Rating Scale</td>
<td>Yes</td>
<td>Yes</td>
<td>Medium</td>
<td>Low</td>
<td></td>
</tr>
<tr>
<td>Forced Choice</td>
<td>Yes</td>
<td>Yes</td>
<td>Low</td>
<td>High</td>
<td></td>
</tr>
<tr>
<td>MBO</td>
<td>Yes</td>
<td>Yes</td>
<td>Medium</td>
<td>High</td>
<td></td>
</tr>
<tr>
<td>Essay</td>
<td>Depends on narrative content</td>
<td>Yes</td>
<td>Low</td>
<td>High</td>
<td></td>
</tr>
<tr>
<td>Critical Incident</td>
<td>Yes</td>
<td>Yes</td>
<td>High</td>
<td>Medium</td>
<td></td>
</tr>
<tr>
<td>Weighted Checklist</td>
<td>Yes</td>
<td>Yes</td>
<td>High</td>
<td>Low</td>
<td></td>
</tr>
<tr>
<td>BARS</td>
<td>Yes</td>
<td>Yes</td>
<td>High</td>
<td>Low</td>
<td></td>
</tr>
<tr>
<td>Ranking</td>
<td>Yes</td>
<td>Within job - Yes. Within mixed job group - No.</td>
<td>Low</td>
<td>Low</td>
<td></td>
</tr>
<tr>
<td>Paired Comparison</td>
<td>Yes</td>
<td>Within group - Yes. Across groups - No.</td>
<td>Low</td>
<td>Low</td>
<td></td>
</tr>
<tr>
<td>Forced Distribution</td>
<td>Yes</td>
<td>Within group - Yes. Across groups - No.</td>
<td>Low</td>
<td>Low</td>
<td></td>
</tr>
<tr>
<td>Performance Test</td>
<td>Yes - If test contains multiple job dimensions</td>
<td>Yes</td>
<td>Varies</td>
<td>Varies</td>
<td></td>
</tr>
</tbody>
</table>
employee comparison techniques of forced distribution, ranking, and paired comparison could not be used easily for promotion purposes, because once the rankings within a particular group have been established, there is no information to support comparisons across the ranked groups. The problem of equating rankings or distributions across work groups or commands does not have a simple solution and is one of the issues which contributed to the lack of acceptability of the 1974-1978 controlled distribution system.

Critical incident, BARs, and MBO are, or can be, extremely good techniques for employee development purposes. Each technique, however, carries some feature(s) which would seem to conflict with the administrative realities of such a huge organization as the Air Force. For example, BARs involves extensive development resources and a single OER form could not be used across jobs. Critical incident requires the superior to keep a log on each subordinate throughout the rating period. MBO tends to focus on short term quantitative effects and, like ranking, does not provide relative information across people, much less groups.

The forced choice method appears to actually distinguish performance but is also associated with user resistance and high developmental costs.

Surprisingly, the method which may be the most feasible, given administrative workload and organizational culture, is the traditional graphic rating scale, which, in fact, the Air Force uses now.

Rating scales provide relative information, and can be made more or less specific through anchors or standards (such as the Air Force has now). Also the performance factors can be used to transmit the emphasis which the Air Force believes its officer corps should exhibit. The need may be not so much for a new technique to improve the OER system but rather control of the present technique to reduce inflation and improve the quality of performance information evaluated. Currently, the system works with
informal controls (such as the indorsement process) or with no controls (the tendency to 
firewall on the front side of the OER form).

One means of controlling the technique is to influence the rater. This could be 
done by including "evaluation of subordinates" as a performance factor on the OER, by 
maintaining a history of the ratings given by the rater, or some combination of these.

*Evaluations can also be improved through rater training.* This idea is very 
important if the Air Force wants to move away from the writing style and content habits 
currently in use. Raters can be given instruction on the type of behaviors (depending on 
technique) to be observed as well as on the organizational desire to have some accurate 
means of distinguishing performance. Thus, the training would be two-pronged, 
focusing on 1) what and how to rate and 2) the need to rate accurately.

The Air Force currently does not include counseling as part of its overall 
performance appraisal system but has indicated a desire to do so. *The literature seems to 
indicate that counseling is best done separately from the formal evaluation.* Also, related 
to counseling, the literature points to participative goal setting as the most useful 
technique in actually changing employee performance and/or attitudes.

Peer evaluation is a promising source of information concerning leadership 
identification. Peer evaluation seems to be especially applicable in a military setting 
where groups of people enter together and attend training schools, etc. where such 
evaluations could be conducted. Peer evaluations should only be used as a 
supplementary leadership indicator, however, as there is substantial opportunity for 
personal change over a 12-20 year career.

The most fundamental implication appears to be the need for organizational 
responsibility toward a performance appraisal system. In order to be useful, a
performance appraisal system cannot be an independent managerial tool but rather a process which is an organic part of the organization in which it is operating.

Organizational responsibility toward a performance appraisal system encompasses:

- stating the specific purposes of the performance appraisal;
- defining those behaviors or performance factors which the organization has established as being necessary to its mission and culture; and,
- supporting the performance appraisal system through education of the workforce and consistent enforcement of performance appraisal guidelines from the highest levels of the organization to the lowest.

PERFORMANCE APPRAISAL: FINDINGS FROM THE PRIVATE SECTOR

This section discusses the findings of a series of telephone interviews with representatives of large, well known industrial organizations. The purpose of the interviews, which were conducted during the months of June and July 1987, was to obtain data about current performance appraisal practices and methodology in the private sector.

Individuals from fourteen organizations were interviewed using a semi-structured interview approach. The interviews were designed to acquire information about the following:

1. The purpose(s) of the performance evaluation system;
2. Process issues (who rates, ratings review, timing, etc.);
3. Rater training;
4. Type of system;
5. Feedback; and

6. Control mechanisms

SAMPLE

Of the fourteen corporations covered, ten belong to the Fortune 100 list and the remaining four are in the Fortune 500 group. A special effort was made to contact organizations which were comparable to the United States Air Force in terms of budget and personnel dimensions, and this was successfully accomplished. The fourteen organizations are located in the eastern (9) and midwest (5) regions of the country.

Following is a breakdown of the organizations by industry sector:

- Aerospace - 4
- Electric/Electronics - 6
- Chemicals - 3
- Pharmaceutical - 1

The interviews were conducted with individuals who represented the human resource management function of their organizations, and were knowledgeable of and/or responsible for the performance appraisal system for exempt employees.

FINDINGS

All the organizations had operational performance appraisal systems in place, and with one exception, all were quite systematic in their approach to evaluating job performance. The findings about these performance appraisal systems will be discussed in aggregate and by the following categories:

1. Purpose(s);
2. Type;
3. Process (who, what, when);
4. Feedback;
5. Rater training;
6. Review; and
7. Controls.

### Purpose

In general, all performance appraisal systems were clearly compensation focused, i.e., the primary purpose of performance appraisals was for short-term compensation and salary administration issues (merit increases, incentives, etc.).

The purposes of the appraisal systems in these private sector organizations were few (the maximum number of purposes reported was three) and clearly defined. Specific purposes were mentioned (all of which were secondary in importance compared to the short-term compensation purpose) among which are the following: promotion/succession planning, development, monitoring of performance, and feedback.

### Type of System

Ten of the fourteen corporations reported the use of goal setting/MBO-type performance appraisal systems, with varying degrees of flexibility. For example, some organizations described their systems as "straight" MBO procedures, while others reported that they employed a "loose" version of MBO.

### Process

This section will discuss who conducts the rating, the things being rated, and the timing and frequency of the performance evaluations.
In nine of the fourteen organizations the immediate supervisor was responsible for conducting the performance appraisal. In three organizations, the evaluation was performed by the direct supervisor and the rater's supervisor. In one organization the appraisal had two parts: one was completed by the ratee and the other by the direct supervisor. In the remaining organization, the rating was prepared by a group of directors.

All fourteen participants in the interview process reported that employees are rated against performance standards, rather than on a comparison with peers. This is an important distinction because, as shall be discussed later in the "Implications" section, comparison against peers is used for the most part for promotion/succession planning purposes, while ratings against performance standards are used almost exclusively for compensation related activities.

The findings also yield a very interesting dichotomy of performance standards:

1. Results-oriented standards, which measure the results or output of the employee being rated. Examples would be sales or profit figures for the rating period.

2. Behavioral standards, which rate the employee's work behavior rather than results. The rating factors on the Air Force OEP are examples of behavioral standards.

Again, there are important implications in terms of the purpose for which each set of standards is used, since results-oriented standards tend to be used for the immediate purpose of determining short term compensation matters, while behavioral standards are instrumental in promotion/succession planning decisions.
Performance appraisals are conducted annually in thirteen organizations (every six months in one organization). More than 50% of the interviewees reported that the performance appraisal cycle is driven by the merit increase/salary administration schedule. (This reinforces the notion that performance appraisals in the private sector are primarily applied to compensation determinations.)

The timing of the performance appraisals is also a critical issue. Over 50% of the interviewed organizations execute the appraisals for all their employees during the same time period (usually at the end of the fiscal year). This is not an unexpected finding given the prevalence of MBO-type systems. In an MBO system - at least conceptually - individual goals are derived from the unit's yearly goals, and the unit's goals are themselves derived from the division's yearly goals, and so forth. The goals at all the different levels of an organization are ultimately derived from the organization's overall goals; logic and efficiency dictate that accomplishment of goals at all levels be assessed simultaneously.

A related process issue refers to the length of time that appraisal forms are kept in the individual employee's record. For the present sample, the performance appraisal forms remain in the employee's record for an average of approximately 3 years. In one case, only the current appraisal form is part of the record, but the form includes a section on performance history.

Feedback

All fourteen organizations - with the exception of one participant who indicated that this was a problem area - encourage and emphasize feedback as an important component of the supervisor-subordinate relationship. In most of the organizations, rater and ratee meet at the beginning of the yearly cycle for a goal-setting exercise. The ratee usually signs off on a list of potential goals or accomplishments.
Two organizations have an "areas for improvement" section in the appraisal form, as well as a self assessment section. In one instance, it was reported that feedback/coaching was one of the main performance factors on which supervisors were rated.

**Rater Training**

Twelve of the fourteen organizations require and provide formal rater training for their supervisors. One person interviewed indicated that rater training was a problem area, and another reported that informal training was provided to their supervisors. The majority of the organizations place a strong emphasis on rater training, including the distribution of written materials on the subject. In one instance, outside consultants were hired to provide formal training to supervisors. Several of the organizations emphasize the goal-setting and feedback aspects of performance appraisal.

**Review**

In eight of the fourteen organizations the performance appraisal is reviewed by the rater's supervisor. In four cases, the appraisal is reviewed by a group (i.e., group of supervisors, central office, employee relations department). One organization did not provide information on this issue. One participant reported that there are three levels of review for performance appraisals, when it comes to making promotion decisions.

**Controls**

Eight of the fourteen participants are currently employing a forced distribution scheme with varying degrees of flexibility, in order to control the rating process, especially the problem of inflation. Two corporations are considering the implementation of a forced distribution process, while the remaining four do not have a control process at this time. In almost all cases, there is a very strong tendency to
carefully monitor performance ratings. (One of the four organizations without controls, interestingly enough, has encountered a central tendency rather than an inflation problem.)

Several of the organizations with forced distribution schemes have defined a minimum number at which the forced distribution shall be implemented (e.g., 100 employees). In addition, the distributions conform to various shapes, although the tendency is to have small groups at the higher and lower extremes, plus a large group in the middle.

Whether there is a forced distribution process in operation or not, performance ratings in general are very carefully monitored at levels several times removed from the rater, for promotion/succession planning purposes.

IMPLICATIONS

The purpose of this section is to discuss the implications of the private sector findings for the Air Force's OER system. The potential impact and applicability of the key features of performance appraisal systems in the private sector will be examined. This will be accomplished following the format of the previous section, i.e., by findings category.

Purpose

*Perhaps the single most important finding in the entire interview process was the fundamental difference between the primary purpose of performance appraisal in the private sector and in the United States Air Force. The primary purpose of performance appraisals in the private sector is to make short-term compensation-focused decisions. An OER in the Air Force has far-reaching promotion and career implications for the individual officer. This fundamental difference represents a major obstacle to the*
application of private sector practices in the Air Force. However, several key features of appraisal systems in the industrial world can be successfully incorporated into the Air Force setting.

A second issue relates to the number of purposes for which performance ratings are used. Air Force regulations cite no fewer than six purposes for the current OER. It will be recalled that three was the maximum number of purposes reported by the private sector interview participants. A useful suggestion would be to reduce the number of purposes for which the OER is used in the Air Force, or at least to specify its primary purpose(s).

**Type**

The prevalence of goal-setting/MBO systems in the private sector was not surprising, given the compensation focus of the systems. Several features of an MBO-type system -- clear performance objectives, increased communications between rater and ratee, continuity, goal orientation -- could be considered for possible implementation by the Air Force.

However, it should be kept in mind that without an organization-wide commitment to MBO, isolated features of the system should be carefully considered.

**Process**

In all fourteen corporations the immediate supervisor was directly involved in the performance ratings. Significantly, the rater was removed from the potential for promotion decision. The practice of having the rater provide only performance ratings (without getting directly involved in the promotion decision) is an issue for consideration by the Air Force.
Regarding the criteria against which individuals are evaluated, the usual practice in the private sector companies is to rate the employee against a series of performance standards. Comparison with peers, on the other hand, is used for succession planning/promotion purposes and the rater is usually not directly involved in this process.

As already mentioned, the private sector sample tended to use two sets of performance standards -- results-oriented and behavioral. The Air Force can consider adopting two sets of performance standards, with the results-oriented standards applied to duty performance ratings and the behavioral standards used for future potential/promotion determinations at a higher level.

The timing of the appraisal is another process issue which was explored in the interviews. Most organizations conduct all of their appraisals at the same time. This is a good practice but it probably cannot be easily implemented in the Air Force. However, the Air Force could consider the option of incorporating all OER's into the permanent record at the end of the year.

A final process issue refers to retaining the appraisal forms in the individual's record. The Air Force should consider whether all OER's should remain in the officer's selection record (as current practice dictates) or whether some limit should be imposed.

Feedback

Feedback is an important aspect of performance appraisal systems in the private sector. Formal feedback mechanisms could be established in the Air Force, with an "areas for improvement" section. This feedback/coaching exercise should probably be established as a parallel process, rather than forming part of the OER form. Informal and interim feedback/coaching can also be actively encouraged by evaluating the raters on this managerial aspect of their officer duties.
**Rater Training**

*Rater training is a key feature of appraisal systems in the private sector.* Formal and specific courses on performance appraisal are available, and in most cases required in private sector organizations. Training programs emphasize different things (e.g., providing feedback, goal-setting, use of rating scales) depending on the kind of system being used. A stronger emphasis on training officers in performance appraisal matters - - as an integral function of their duties and responsibilities -- is recommended.

**Review**

In virtually all the corporations that were interviewed, performance ratings are reviewed at a higher level (usually the rater's supervisor). This review is conducted with the purpose of examining the correctness of the performance ratings per se. In some cases, higher level reviews are conducted but with different objectives, i.e., promotion and succession planning. A similar process, for example, could be established at the Wing Commander level of the Air Force.

**Controls**

This is a particularly interesting topic given the evolution and history of the United States Air Force officer performance evaluation process. A similar evolutionary insight was gained from the present set of interviews, as virtually all participating organizations had either abandoned, implemented, or considered the implementation of a control mechanism. In addition, the controls issue in these large corporations as well as in the Air Force goes to the heart of the most pressing and evident performance appraisal problem of the OER system -- the inflation of ratings.

Ten of the fourteen private sector organizations either had implemented or were considering the implementation of a control mechanism for performance ratings. Even
though the four remaining organizations were not currently using formal control mechanisms, strong monitoring and training programs in these companies were making a significant contribution to a healthy variance in performance ratings.

From a more technical perspective, it was interesting to note that in the interview sample, it was common practice to configure the forced distribution with small groups at the extremes and a large group in the middle (which in some cases consisted of 2 or 3 sub-groups). In hindsight, it seems that the '22-28-50' configuration which was implemented in United States Air Force in 1974 was counter to the way in which most programs are designed.

An additional technical issue regarding forced distribution schemes refers to a minimum number of individuals on which the distribution is imposed. In the current interview sample, this minimum number ranged from 50-100. This issue calls to mind the often cited example of the Thunderbird pilots. Applying a forced distribution to the six (eight if you count the two alternates) most accomplished pilots in the Air Force is not a reasonable proposition. Having a minimum number of 50-100 pilots, for example, would allow for more equitable and meaningful distinctions between higher and lower performers.

PERFORMANCE APPRAISAL: FINDINGS FROM THE OTHER SERVICES

Early in this study, data were collected from other uniformed services to learn how these organizations have responded to the challenges of conducting performance appraisals of their officers.

The data was gathered in a series of interviews with representatives of the Army, Navy, Marine Corps, and Coast Guard. In addition to these uniformed services, an interview was held with representatives of the Department of State concerning performance appraisal of foreign service officers. (The study team judged that the
conditions of employment for foreign service officers are sufficiently like those for Air Force officers to warrant inclusion of this information in the analysis.)

In each service, these interviews were held with representatives of the office in the service headquarters having proponency for policy toward, monitoring of, and quality control of the officer evaluation process. In each case, the person interviewed was the officer in charge, generally in the grade of colonel/GM-14, except for the Department of State where the interviewee was the Deputy Director. (It is interesting to note that in two services, the Army and the Navy, the individual in charge of officer evaluation reporting is a civilian employee.)

Each service furnished copies of its basic instructions for OER preparation, the forms used, and supporting pamphlets and materials. In the course of each interview, questions were asked to learn the issues each service has faced in developing a meaningful evaluation system. Each service was cooperative and without exception provided candid responses to our questions.

In addition to United States Government entities, data were collected from the Embassy of Canada on the evaluation of Canadian Armed Forces officers. It was not feasible to interview the Canadian officials having responsibility for operation of the OER system. For that reason, because there is nothing uniquely different in the Canadian OER system, and because the Canadians use a closed system, this information will not be included in the subsequent portions of this section of the report.

The remainder of this subsection will consist of brief discussions of the systems for officer evaluation used in each service, followed by a summary showing the central tendencies among these systems compared and contrasted to the Air Force OER system.
United States Army

The Army OER system uses a form and a procedure that were substantially revised in 1979 in response to unacceptable inflation in ratings. The preceding form had been in use for six years, and had also been introduced in response to inflation. Research had suggested that the strongest pressures to inflate ratings were placed on the immediate supervisor of the ratee. Therefore, the essence of the current system is to shift the responsibility for applying meaningful discrimination from the rater to the senior rater (the final indorser), who is typically the rater's supervisor.

Purpose

The purposes served by the Army OER system include the following:

1. Influence the selection of future leaders through maximum input from the field.

2. Improve the linkage between individual and corporate performance (modified Management By Objective).

3. Strengthen the chain of command by bonding the ratee to the rater and encouraging continual, two-way communications between senior and subordinate.

4. Enhance professionalism by displaying the standards of professional competence and ethical behavior which Army officers are expected to display (teach through use of the form).
The ratee must have been under the supervision of the rater for not less than 90 days and the senior rater for not less than 60 days. The OER is submitted under the following general conditions:

1. Annually, based on date of last report;
2. When there is a change in the ratee's principal duty (to include PCS);
3. When departing on extended temporary duty or long term schooling;
4. When there is a change of rater;
5. To complete the record when the ratee is scheduled to meet a promotion board (in or above the zone) and has not had a report in the current job.

The process begins at the beginning of the rating period when ratee and rater are required to hold a face-to-face meeting to develop a duty description and set major performance objectives to be accomplished during the rating period. This information is recorded on the OER support form (see Appendix F). The rater is the ratee's supervisor.

Throughout the rating period the ratee and rater are expected to meet periodically to assess whether the duty description and performance objectives are adequate. The rater is expected to coach the ratee on his/her personal and professional development.

At the end of the rating period the personnel support center initiates the OER preparation by forwarding the OER form to the ratee, who validates the rating chain and the administrative information thereon. The ratee then writes a description on the
support form of the significant contributions he/she has made in the job during this period and forwards the OER form and the support form to the rater.

The rater and intermediate rater (if any) evaluate the performance and potential of the ratee on the OER form. They also provide comments on the OER support form and forward both to the senior rater. (An intermediate rater is used only when there is an officer in the chain of supervision between the rater and senior rater. This occurs most often when the rater's supervisor does not meet the grade test to qualify as senior rater.)

The senior rater provides an independent evaluation of the ratee's potential and, in most cases, the final chain-of-command review of the OER. When the senior rater has completed the OER, the support form is returned to the ratee. The OER is dispatched to the Military Personnel Center. A copy of the OER is given to the ratee at this time.

At the Military Personnel Center, the senior rater's potential evaluation is entered into the automated personnel record and his/her rating history for that grade is recomputed. A profile of this rating history is pasted onto the OER next to the senior rater's potential evaluation of the ratee. The OER is then entered into the official military personnel file.

**Form**

One form is used for all officer evaluations, warrant officer through major general. An example of the current Army OER form is displayed at Appendix F. The rater prepares the duty description, using the OER support form. He/she rates fourteen performance factors on a scale of 1 to 5 and may write optional comments on professional ethics. The rater also rates on overall performance (scale of 1 to 5) and
potential for promotion (scale of 1 to 3). Finally, the rater provides separate narratives on performance and on potential.

The intermediate rater provides comments on performance and potential, but does not evaluate on any numeric scale.

The senior rater evaluates the potential of the ratee for promotion, considering all other officers of that grade in the Army, on a scale of 1 to 9. The senior rater also completes a narrative section that focuses mainly on potential but which may refer to performance by the ratee or to the comments or ratings of the rater or intermediate rater.

**Discriminating Factors**

The results of surveys of Army selection board members show that the most useful discriminator on the OER is the senior rater's evaluation, taken as a whole (that is, the combination of the potential rating, the senior rater's rating profile, and the narrative). Other factors from the OER which the selection boards find useful in discriminating among officers are (in descending order of importance): the rater's narrative on potential, the rater's narrative on performance, and the duty description.

**Feedback**

In the Army system, the sources of feedback to the ratee are the OER support form and the face-to-face discussions which are mandated by Army regulation. Compliance with the system was not as good as was desired, and in 1985 a provision was added which requires ratee and rater to certify, by initialing the form, that the discussion required at the start of the rating period had occurred. Written feedback at the end of the rating period (using the support form) is optional. The ratee receives a copy of the completed OER but the feedback is diluted by the fact that the senior
rater's profile is not attached and by the widespread inflation in rater evaluations. The ratee can review the official file which includes senior rater profiles on his/her OER, by application to the Army Military Personnel Center.

**Quality Control**

The essence of the Army's quality control system is an attempt to influence the behavior of the approximately 10,000 senior raters through interventions initiated by the Military Personnel Center. To date, these interventions appear to be successful, as the rate of compliance by senior raters with the guidance is above 85 percent.

The most stringent control over senior rater behavior involves placing a form in his/her official military personnel file which displays that senior rater's rating history. This history reveals at a glance whether the senior rater is complying with the spirit of the system -- that is, creating a distribution of scores, over time, along the scale of potential for promotion. This information is available for promotion board review, thus placing those senior raters who inflate ratings in jeopardy of their own future promotions. Second, the Army Military Personnel Center has a senior rater contact program by which they hope to provide continuing education and training in the system. One of the themes of this education program is the concept of center of mass. Senior raters are urged to select one or two blocks on the nine point scale (other than the top one) where they will place typical, high-performing officers, leaving room to rate exceptional officers on each side of this center of mass. The rationale provided to convince senior raters to use this approach is that they should want to:

1. Leave space to identify the very best;

2. Not ruin the careers of the others; and

3. Not de-motivate the officer corps.
Even the most conscientious senior raters are prone to inflation in score (however, it is the Army experience that few senior raters are attempting to game the system). A feature of the senior rater contact program is to offer a senior rater the opportunity to restart the profile if he/she decides that it has become so inflated as to obscure meaningful evaluations. The Army is also experimenting with an Army-wide restart (in warrant officer grades) and will observe the effect on inflation control.

Promotion boards are given a briefing by the OER Evaluation Office. The response of the boards to the senior rater profile technique, as measured by a confidential survey procedure, is quite positive. In fact, the boards have asked for rater profiles in addition; however, the evaluation staff doubt that rater compliance would be high enough to make this step meaningful.

United States Coast Guard

The Coast Guard OER system was substantially revised in 1984, and the resulting process and form are in many respects like that of the Army. The Coast Guard system protects the ratee-supervisor relationship by shifting the burden of discrimination to the next higher level (reporting officer). Also, the most useful discriminator is the overall potential evaluation for which the reporting officer's profile is maintained and added to the report at Coast Guard Headquarters.

A distinguishing feature of the Coast Guard OER system is the degree of responsibility placed on the ratee. He/she is specifically tasked to clarify the duty requirements, to obtain feedback and counseling, and to manage his/her performance to meet or exceed the standards.

Purpose

The purposes served by the Coast Guard OER system include the following:
1. To provide information for central personnel management decisions, especially promotions and assignments.

2. To set the standards for officer character and performance.

3. To prescribe a common set of values by which Coast Guard aspirations for its officer corps can be described.

4. To teach each officer what is expected of him/her.

5. To provide a means by which officers can receive feedback about how well they are measuring up to the standards.

Process

The OER is submitted under the following general conditions:

1. Annually, batched by grade, for officers in grades lieutenant commander (O-4) through captain (O-6); semi-annually, also batched by grade, for officers in grades lieutenant (O-3) and below.

2. Transfer of ratee

3. Transfer of reporting officer (Note: not the supervisor, but the supervisor's supervisor.)

4. Promotion of the ratee (Note: there are different forms for each grade with different performance standards).

The process is initiated by the ratee who is required to verify the administrative information on the OER form and forward it to the supervisor 14 days before the end of the rating period. The ratee may also record the duty description and a list of accomplishments during the rating period on the optional OER support form and
forward it along with the OER. (This OER support form is mandatory in the case of ensigns and lieutenants (junior grade). For these officers there are mandatory face-to-face meetings with their supervisors at the beginning and end of each rating period at which times the OER support form is used.) Copies of these forms are displayed in Appendix F.

The supervisor evaluates the ratee's performance of duties, interpersonal relations, leadership, and communications skills using graphic scales and narrative. He also prepares the duty description. The supervisor completes the optional OER support form and forwards the OER and support form to the reporting officer. The reporting officer is normally the supervisor's supervisor. He/she may be in the same grade as the ratee provided they are separated by two year groups. The reporting officer evaluates the ratee on a set of personal traits and a set of factors under the title - "Representing the Coast Guard" using graphic rating scales and narrative. The reporting officer comments on overall leadership and potential for promotion and rates on an overall potential scale (range of 1 to 7).

The report is reviewed by a third officer, normally the reporting officer's supervisor. Only Coast Guard officers may act as reviewing officers. The reviewer's responsibility is to ensure that the report is consistent and that it reflects the Coast Guard standards for officer evaluation.

At the Coast Guard Headquarters, the OER is reviewed for administrative accuracy and internal consistency. Unsatisfactory reports are returned for correction/revision. The reporting officer's potential rating is entered into the automated personnel record and his/her rating history for that grade is recomputed. A profile of that rating history is pasted onto the record copy of the OER, just below the reporting officer's evaluation for potential.
When accepted as correct at Headquarters, a copy of the report, without the rating profile, is returned to the ratee.

**Form**

A separate OER form is used for each officer grade. (Appendix F displays the form used for lieutenant commanders.) A distinguishing feature of the Coast Guard OER is that the evaluation standards for each rated factor are printed on the form; thus the need for a separate form for each grade. For each factor there is a brief description of what is to be rated and a scale of 1 to 7. For values 2, 4, and 6, there is provided a description of the behaviors corresponding to those values on the scale. This is a variant of the behaviorally anchored rating scale described in Appendix B. The scales are so constructed (and the instructions emphasize) that a value of 4 describes the "typical, high performing Coast Guard Officer" of that grade. It is expected (and, to date, experienced) that 70 percent of officers will be found in the range 3 to 5 on the scale for most factors. Raters are encouraged to use the "not observed" block, if appropriate (it should be noted that the instruction does not mandate minimum periods of observation for either supervisors or reporting officers.)

The supervisor is responsible for describing the duties performed. He/she also evaluates the ratee in four sections:

1. **Performance of Duties Section.** Consists of a narrative and five performance factors rated on the scale described above.

2. **Interpersonal Relations Section.** Consists of a narrative and two factors measuring how an officer affects or is affected by others.
3. **Leadership Skills Section.** Consists of a narrative and four factors. One of these factors is entitled **Evaluating Subordinates.** This factor is described as follows:

"The extent to which an officer conducts, or requires others to conduct, accurate, uninflated, and timely evaluations for enlisted, civilian and officer personnel."

The behavior identified with the midpoint on this scale is described as follows:

"Prepares evaluations which are timely, fair, accurate, and consistent with system standards. Required narratives are concise, descriptive, and contribute to understanding subordinates' performance and qualities. Seldom gets reports returned for correction/adjustment. Provides constructive counselling where needed. Does not accept inaccurate, inflated, or poorly prepared reports from others."

4. **Communication Skills Section.** Consists of narrative and three factors which measure the officer's ability to communicate in a positive, clear, and convincing manner.

The reporting officer may comment on the supervisor's evaluation. He/she then rates the officer in two sections:

1. **Personal Qualities** section consists of a narrative and five personal traits related to the officer's character.
2. **Representing the Coast Guard** section consists of a narrative and four factors which measure an officer's ability to bring credit to the Coast Guard through appearance and actions.

The reporting officer writes a narrative section which describes the ratee's demonstrated leadership ability and overall potential for promotion and command. He/she then rates the overall potential on a scale of 1 to 7. There is a space on the form for a label (added at Coast Guard Headquarters) showing the reporting officer's rating history for officers of this grade.

**Discriminating Factors**

The Coast Guard Evaluation Office reports that the current system is not experiencing substantial inflation. Therefore, the selection boards can review the reports on their face value without the need to search for hidden discriminators. However, the promotion board procedures are informal and are kept confidential. The Evaluation Office does not have data showing what sections of the OER are most important to these boards. The majority of the OER is oriented toward performance description rather than evaluation. However, it is prudent to assume that the reporting officer's potential rating, when reviewed in the light of his/her rating profile, is a significant factor.

**Feedback**

The Coast Guard places responsibility on each reported-on officer to seek feedback and counselling. The OER support form is but one means of gaining such feedback, and use of this form is optional for grades above lieutenant (junior grade) (O-2). The OER form provides substantial information to the ratee; and, since inflation is not widespread, the majority of reports provide useful information to the ratees on their job performance. The OER copy furnished to the ratees does not contain the reporting
officer's rating profile, but the system is open, and ratees can view this profile at Headquarters or write for a copy.

Quality Control

The central themes in the Coast Guard quality control process for the OER system are extensive review of reports at all levels and involvement of the chain of command in supervising the rating chain.

The review process starts at the local level where reports are reviewed first for administrative accuracy and then for excessive inflation. (Note that periodic reports on Coast Guard officers are batched and that all reports on officers of a certain grade are being reviewed at one time.)

At Coast Guard Headquarters, reports are routed through the assignment officers who screen the reports for administrative accuracy and for internal consistency. In particular, the reports are checked to ensure that the narrative comments support the numeric ratings in each section. Reports containing administrative errors or inconsistent ratings are referred to the Evaluation Office. Many of these reports are returned to the rating chain for correction with an analysis of the errors or inconsistencies.

Returned reports with inconsistent ratings are usually referred to the reviewing officer for resolution. Compliance with this quality control program has been high. In recent months, 90 percent of rejected reports have been returned to Headquarters with additional narrative and, surprisingly, 50 percent with changed numeric ratings.

It has not yet been necessary to adopt any special interventions focused on the reporting officers. The strong support of the chain of command has been adequate to control inflation. A strength of the Coast Guard OER system is that the officer corps
accepts it. This acceptance has been developed by and is maintained through a strong education program.

United States Navy

The current fitness reporting system was instituted in 1974 and has not changed substantially since then. The system is well accepted by Navy officers, particularly reporting seniors who think they understand the system and believe that they are communicating well with selection boards.

A distinguishing feature of the Navy fitness report (FITREP) is that there is only one evaluator and only one signature appears on the form. This evaluator, the reporting senior, is normally the officer designated in law as the commander. Thus, for most Navy officers the FITREP is not prepared by his/her supervisor but at a higher level. Another distinction evolving from this procedure is that the preparation of FITREPs is an important function of command and, at least in theory, more responsive to direction from the Navy leadership.

Purpose

The prime use of the FITREP is to support the decisionmaking process of promotion selection boards, and reporting seniors view it so. A secondary purpose that the Navy views as valuable is to support judgments about future assignments. The instruction on preparation of the FITREP cites ten purposes, among which is counseling of junior officers. These other purposes are not viewed as particularly useful; and counseling, especially, is not done well in conjunction with the FITREP.

Process

The FITREP is prepared annually for all officers but lieutenants (junior grade) who are evaluated twice a year. FITREPs are prepared in batches by grade so that all
FITREPs for any particular grade are submitted at the same time. The FITREP is also submitted upon the transfer of the reported-on officer or the reporting senior.

The process begins thirty days prior to the end of the reporting period when the ratee has the opportunity to provide information to the reporting senior about the performance of his/her duties during the reporting period. There is no specified format for this information and the reporting senior is not required to include any of it in the FITREP. Also during this period, the ratee’s supervisory chain provides information to the reporting senior. This also is an informal procedure, not specified in the instruction.

At the end of the rating period the reporting senior completes the FITREP. He/she enters a duty description and a narrative describing the job performance and potential for promotion. The reporting senior evaluates the ratee on twelve performance factors and six personal traits using a scale of 1 to 9. He/she also indicates whether or not the ratee would be desired as a subordinate in each of five types of possible future duties, using the same scale. Finally, the reporting senior makes a promotion recommendation. The reporting senior indicates the rank of the ratee (1 of 3, 3 of 3, etc.) among those officers of any particular grade recommended for early promotion.

There is an appraisal worksheet for use by reporting seniors in preparing the FITREP. In contrast to the procedures of the other services, the worksheet is not used by the ratee and remains in the reporting senior’s possession when the FITREP has been completed.

The completed FITREP is forwarded to the Navy Military Personnel Command without further review. A signed copy of the FITREP is given to the ratee. In the case of junior officers (O-3 and below), the copy is given at the time of completion. For other officers the copy may be given to the ratee at the time the relationship is severed.
An example of the Navy FITREP form is displayed in Appendix F. The FITREP form requires the use of an optical character reader font. All but the narrative portions are entered into the automated personnel system. Subsequently, this system produces numeric summaries of each officer's performance record for use by selection boards.

Following the administrative information, there is space for a description of duties assigned. There is then space for the reporting senior to rate on twelve performance factors and six personal traits. The reporting senior also indicates the desirability of having the ratee assigned under his supervision in five types of jobs (command, operational, staff, joint/OSD, or foreign shore). Finally, there is space for an overall performance evaluation. All of these are rated on a scale of A to I (1 to 9), "A" being the highest. In the use of the overall performance evaluation (labeled "mission contribution"), the reporting senior is required to show the distribution of ratings for all officers of that grade being evaluated at that time.

Finally, the form provides space for the reporting senior to comment on the promotion potential of the ratee. The scale is 1 to 3 (promote early, promote, do not promote). The reporting senior is required to show the peer distribution among all officers of the grade given a rating of "promote early" (1 of 3, 3 of 3, 3 of 6, etc). However, this peer distribution is used only for officers in grades lieutenant commander through captain (O-4 through O-6).

**Discriminating Factors**

Navy promotion board procedures have a bearing on the relative usefulness of various ratings on the form and deserve a brief summary. In contrast to the Air Force and Army, where every panel member reads every file and records a vote, in Navy and
Marine Corps boards, selection is by iterative voting by the panel based on briefings given by one of the panel members. In each iteration, each panel member is given a small number of files (about five) for detailed review. After this review, the panel assembles in a briefing room where each panel member briefs his files to the other panelists using visual aids consisting of numeric summaries of all previous FITREPs and qualitative summaries of previous experience and qualifications. The panel members vote on each officer simultaneously and secretly at the conclusion of that briefing. After voting on all officers in the zone, the clear winners and losers are removed, the files are redistributed, and another cycle occurs. This process is followed until the number of selectees allowed is attained.

An advantage of this procedure is that the briefer can spend much more time reviewing each file he is given than if he were required to look at the entire zone. This suggests that a better job can be done in integrating all aspects of the FITREP to arrive at a judgment and that any one factor has less importance in discriminating among officers than is the case in other systems such as the Air Force and Army. This explanation also supports the statement made to the study team by the Department of the Navy representative that the narrative is the most important discriminator on the form. The briefer has time to read the narratives on all the FITREPs and relate them to other rating sections.

Other factors cited as being important discriminators are the promotion recommendations (including the peer ranking) and the job description. Members of promotion boards have observed that promotion recommendations are evaluated in the perspective of the importance of the billet. For example, a promotion ranking of "3rd of 20" in a training command billet is recognized as weaker than a "4th of 8" in a deployed squadron for the fighter pilot community.
Feedback

Although providing performance and career counseling is an objective of the officer evaluation system, the Navy believes that the feedback mechanism is not very effective. The FITREP, in particular, is perceived to be an unacceptable counseling tool. This situation derives from the fact that commanders tend to inflate the ratings of less than excellent officers. Therefore, the FITREP does not communicate an officer's strengths and weaknesses. Reporting seniors are encouraged to show reports to ratees (and are required to do so for junior officers). However, for officers in grades lieutenant commander and above, reporting seniors are not required to conduct counseling nor to show reports. There is no alternative mechanism, such as the Army OER support form, to foster counseling.

Quality Control

There is a substantial amount of inflation in the Navy evaluation system. For example, reporting seniors recognize that ratings of less than "A" for performance factors and traits are regarded as derogatory by promotion boards, so there are few ratings of "B" or less. Similarly, narratives are puffed up; although the feedback from promotion boards shows that most reporting seniors are communicating effectively on performance and potential through the narrative. The ranking among peers remains an effective discriminator for many reported-on officers although some reporting seniors are known to game the system by artificially subdividing the population of officers rated in order to generate more "1" and "2" promotion rankings. However, the ranking system does not apply to officers in the grades of lieutenant (O-3) and below.

The Department of the Navy has not chosen to intervene in the fitness reporting system. Consequently, there is no central management of a quality control system for officer fitness reports.
The Marine Corps has also revised its officer evaluation system recently in response to an inflation in ratings. The current Performance Evaluation System (PES) was installed in 1985 in response to a study which indicated that the degree of inflation posed a threat to the credibility of the promotion system.

Distinguishing features of the PES are that counseling has been removed from the PES and that those marines rated as outstanding in "general value to the service" are ranked among each other.

Like the Army, the Marine Corps has recognized the pressures on immediate supervisors to inflate evaluation reports and has installed measures to counter this tendency. Some of these measures include:

1. A policy which forbids the rating chain from showing completed reports to the ratee;
2. Strict requirements for accelerated promotions; and
3. Requirement to rank the outstanding against one another.

Purpose

The primary purpose of the PES is to support the central selection, promotion, and retention of the best qualified marines. A secondary purpose is to aid in the assignment process and other personnel management actions.

The recent study of the Marine Corps evaluation system concluded that counseling is antithetical to the purposes of an evaluation system and a major source of inflationary pressure. Therefore, while effective counseling is encouraged, a substantial effort has been taken to separate the counseling process from the PES.
**Process**

A report is not submitted on a marine unless he/she has been under the supervision of the reporting senior, who is the marine's immediate supervisor, for 90 days. The FITREP is submitted under the following general conditions:

1. Annually, batched by grade;
2. When the ratee's duty changes or he/she departs the unit;
3. When departing for extended temporary duty or long term schooling;
4. When there is a change in the reporting senior; or
5. Upon promotion.

At the end of the reporting period, the reporting senior prepares the FITREP, assisted in administrative processing by the supporting personnel office. He/she rates seven duty performance factors, fourteen personal quality factors, and estimates the ratee's "general value to the service." The reporting senior also completes a narrative describing duty requirements, performance, and general value to the service.

The reporting senior forwards the report to the reviewing officer who is normally the reporting senior's supervisor. The reviewing officer is responsible to ensure that the reporting senior has complied with the spirit and instructions of the Marine Corps order governing the PES. The reviewing officer may add comments, especially if he/she disagrees with the evaluation performed by the reporting senior.

The completed FITREP is transmitted to Headquarters U.S. Marine Corps where it is reviewed and entered into the official personnel record of the marine reported-on. Administratively incorrect or inconsistent reports are returned to the rating chain for correction. Copies are not maintained in unit files nor routinely furnished to the ratee.
Ratees are annually furnished a copy of the Master Record Brief, a report containing the numerical ratings from all FITREPs in his/her record. On entering the zone for promotion, each marine is furnished a complete copy of the microfiche containing all previous FITREPs. Additionally, marines can view their FITREPs at Headquarters, U.S. Marine Corps.

**Form**

One form is used to evaluate all marines in grades sergeant (E-5) through colonel (O-6). An example of this form is displayed in Appendix F. The administrative data is entered with an optical character reader font. Note that there is no space to enter a duty description, only a title. Additional duty requirements must be placed in the general narrative section.

The reporting senior evaluates seven performance factors and fourteen personal qualities on a six point scale. He/she then estimates the ratee's "general value to the service" on a ten point scale. The reporting senior is required to show how he/she has distributed ratings in this section ("general value to the service") for all other marines of the same grade during this rating period. The reporting senior then completes a narrative section.

On the reverse of the form, the reporting senior is required to show the rank of the ratee, if he is rated an outstanding (10) in "general value to the service," among other marines of that grade also rated as outstanding. Finally, the reporting senior is required to list the names of all marines of that grade for whom he/she is the reporting senior.

The reviewing officer is provided a space to make comments. These comments are mandatory if he/she does not agree with the evaluations or comments by the reporting senior. Reviewing officers are encouraged to add a comment showing the ranking of the ratee among all marines of that grade whom the reviewing officer is
responsible to review. The intended purpose is to evaluate the marine reported-on across a wider segment of his/her peers. This technique is especially encouraged when the reporting senior only rates one or two marines of a particular grade.

**Discriminating Factors**

Marine Corps promotion boards are conducted in about the same way as are the Navy boards. Therefore, the comments on discriminating factors in the previous section apply. Beyond this, the Marine Corps representatives informed the study team that the most important discriminators for promotion boards are:

1. The trend in the numeric ratings;

2. The rank among peers rated as outstanding in "general value to the service"; and

3. The narrative.

**Feedback**

Feedback to the ratees on performance of duties or career development is not a part of the PES. Reporting seniors and reviewing officers are specifically forbidden from using the FITREP as a part of counseling. Reinforcing this practice is a prohibition against even showing the FITREP to the marine reported-on. Although the Marine Corps encourages counseling of subordinate officers, such counseling is not related to the evaluation process, and there are no forms or other aids in the PES to assist marine officers in this task.

**Quality Control**

Improving quality control of the PES was one of the initiatives resulting from the 1985 study. The goal of the quality control program is to limit the impact of inflation
on the effectiveness of the PES. At Marine Corps Headquarters, the Promotion Evaluation Branch is responsible for quality control. This branch screens approximately 205,000 reports a year, of which about 6,000 are returned for corrections. A review of a list of most common reasons for rejecting reports reveals that the Marine Corps is not able to audit for internal consistency to the extent of the Coast Guard, and most of the errors are in failure to follow the instructions. However, these screenings, and the knowledge that they are done at Headquarters, are reported to positively affect the quality of the FITREP accepted. Other elements, previously mentioned, that act to limit the inflation of reports include:

1. Requirement to rank those rated as outstanding;

2. No show policy;

3. Strict limits on accelerated promotions; and

4. Enhancement of the reviewing officer's responsibility to include certification of the accuracy of the report and the requirement to comment on reports that do not accurately reflect an officer's performance and potential.

Foreign Service

Foreign Service officers of the Department of State are evaluated annually through a process similar to those used by the armed services. The assignment and personnel management policies of the Foreign Service are similar to those used in the Air Force. Specifically, Foreign Service officers are subject to:

1. Frequent reassignments to overseas locations on an involuntary basis;

2. Competitive promotions based on a grade pyramid;
3. An up or out policy. Foreign Service officers not keeping up with their peers in promotions are selected for release by promotion boards (if they do not self-select by resigning).

4. Central management of the personnel function to include centralized promotions.

For these reasons, a review of performance appraisal in the Foreign Service is appropriate in the context of lessons that could be applied to the Air Force officer evaluation issues.

**Purpose**

The primary goal for personnel evaluation is to provide a just basis for career tenure, promotions, and separations. Other goals include:

1. The allocation of within-class salary increases and performance pay;

2. Support to the assignment process;

3. Planning for training; and

4. Improvements in efficiency through feedback on performance and collaborative goal setting.

**Process**

An annual report is submitted on each Foreign Service officer as of April 15th of each year, provided the ratee has been under the supervision of the rater for 120 days. Other reports are submitted covering any period of at least 120 days culminating in a change of duty or a change in rating officer (including transfer).
The Foreign Affairs Manual requires that the rater and ratee agree in writing on the duty requirements and performance standards within 45 days after the beginning of the rating period. This understanding is recorded on the evaluation report. The rater is required, in addition, to review performance at least twice during the year. (Representatives of the Office of Performance Evaluation indicated that these requirements are honored more often in the breach than in observance.)

At the end of the rating period, the rater prepares the evaluation report and rates the employee on overall performance as well as potential. The rater is expected to show the evaluation to the ratee and discuss it. The rater is the ratee's supervisor.

The rating officer's supervisor is designated as reviewing officer. The reviewer checks the report and prepares a narrative assessing the ratee's performance and potential.

The report is then forwarded to the ratee for comment. Space is provided for the rated officer to comment on the period of performance to include specific accomplishments, areas not otherwise addressed in the report, and aspects which may need clarification or correction. The employee is also encouraged to remark on career goals including training and future assignments.

Every bureau within the Department of State and every post abroad with more than ten Foreign Service members establishes a review panel which reviews all evaluation reports. The functions of these review panels include:

1. Checking reports for accuracy, consistency, inadmissible comments, and conformity with rules and policy;

2. Referring poorly prepared reports up the reporting chain for correction; and
3. Identifying on each report the officers responsible for any late submissions.

Reports are then forwarded to the Office of Performance Evaluation where they are maintained in manual form only. Typical procedure for Foreign Service officers who are dissatisfied with their evaluation reports is for the officer to file a union grievance (most Foreign Service officers are union members). The 8,000 to 10,000 evaluation reports submitted each year typically generate about 100 grievances.

**Form**

One form is used in evaluating all Foreign Service officers. This form is displayed in Appendix F. The form is almost entirely narrative (which suits the Department of State, a writing culture group). Despite the ample amount of white space on the form, the typical report has addendum sheets attached.

Part one of the report is a narrative description of the work requirements of the position, which is to be prepared at the beginning of the rating period. There is a section in which the ratee may explain, at the end of the period, special circumstances influencing his/her ability to meet the work requirements.

Part two is a narrative evaluation of the overall accomplishments in the job during the period, prepared by the rater. Part three is a narrative evaluation of potential together with a five point rating scale, also prepared by the rater. The Office of Performance Evaluation has observed that both parts two and three are greatly inflated. Most Foreign Service officers expect a top block rating for potential and a narrative that complements this rating.

There is a subsection in part three in which the rater is to cite areas in which the ratee should concentrate his/her efforts to improve performance. This section is widely
gamed so as to show innocuous or frivolous faults. Rarely does a rater put candid remarks about employee weaknesses in this section.

In part four, the rater is required to indicate the dates on which counseling sessions were held. Foreign Service officers generally do very little counseling (as reported by the Office of Performance Evaluation representatives) and this compliance section does not help in improving performance.

Part five is a narrative covering both performance and potential which is completed by the reviewer. He/she is asked to certify that the report is adequately documented. The reviewer’s comments are also subject to inflation.

In part six, the rated employee provides his/her views on the period of performance. This is completed after the rater and reviewer have completed parts one through five. Therefore, it is an opportunity to rebut any negative comments.

Finally, there is a section in which the review panel may certify their review of the report.

**Discriminating Factors**

There is little on the form to review apart from the narratives, the work requirement statement, and the overall potential scale. Yet the inflation in rating of the overall potential makes that factor useless in discriminating. Nevertheless, the promotion boards report that they are able to discriminate among officers being considered through close reading of the evaluation report files.

**Feedback**

Feedback is an integral part of the Foreign Service evaluation reporting process. The mechanisms for feedback are mandatory counseling sessions and the referral of OER
reports to ratees for comment. Yet inflation in the reports renders the reports themselves less than useful for counseling purposes. Perhaps this influences the general reluctance to perform counseling which was reported to the study team.

**Quality Control**

The system design provides for quality control through a reviewing officer and a review panel. However, the system is not now working to control inflation nor does it result in uniform compliance with such administrative requirements as timely submission of reports.

The Office of Performance Evaluation does not have adequate staff to perform substantial amounts of quality control. However, they do read each report (staff of sixteen, 8-10 thousand reports, mostly arriving in May). Most of the reports which are returned for correction contain inadmissible comments in the report or administrative errors that cannot be corrected in the Office of Performance Evaluation.

A revision of the evaluation system is in progress at the Department of State to deal with rating inflation and the excessive amounts of narrative. The proposed solutions being considered include a system of rating the rater (similar to U.S. Army or U.S. Coast Guard) and computerization of the evaluation process.

**IMPLICATIONS FOR THE AIR FORCE**

This subsection will address some of the central tendency observed among the other services discussed above. There are some features, for example, that reflect lessons previously learned by other services that have application to the issues facing the Air Force. Table III-2, at the end of this section summarizes the major features of each service's OER system.
Purpose

While each of the services has a different list of objectives for the OER system, the central theme of each is that it provides evaluation to support a central promotion system. Most also state that the OER supports the centralized officer assignment system, but as a secondary objective. The further the stated objectives depart from these two, the less efficient the systems become to accomplish these additional objectives.

One purpose which appears contradictory to the central purpose is that of feedback on performance. It is generally observed that raters, recognizing the importance of the OER to the long-range career aspirations of the ratee, will not be truly candid about current job performance in the OER. Also, the necessity to brief the OER to the ratee as part of the feedback process results in inflated ratings. Two of the services have recognized that contradiction by removing feedback on performance from their list of objectives (USA, USMC) and the others acknowledge that the feedback link is not working.

Protect the Ratee - Rater Relationship

The uniformed services also recognize that there is a special relationship between an officer and his supervisor that is unique to military service. A part of this relationship is rooted in the dictates of military discipline and obedience to authority. Second, there is a military concept of loyalty between the two that works in two directions among officers. Finally, there is a sense of responsibility for the junior's career development which is fostered in all the services. The requirement to evaluate subordinates, and particularly to evaluate potential is threatening to this relationship. Therefore, the services have taken steps to reduce the conflict. In two (USA, USCG), the requirement to perform meaningful discrimination has been placed on the second writer of the OER, the supervisor's supervisor. In the Navy, the supervisor doesn't even
write on the OER (except for those officers directly supervised by commanding officers). Finally, in the Marine Corps, this relationship is protected by a no-show policy and the complete separation of evaluation and feedback.

**Inflation**

All the services have suffered from unacceptable levels of inflation and all have developed mechanisms to influence a distribution of potential ratings among officers of a cohort along some scale. Two services rely on a forced, auditable peer ranking (Navy and Marine Corps), and two use persuasion and a rate-the-rater system that has an indirect threat for those officers who don't comply (Army and Coast Guard). The Foreign Service has also begun to consider adopting such a rate-the-rater system.

**Quality Control**

There is an evident movement toward managing the quality of OERs from the service headquarters level. Three services (Army, Coast Guard, and Marine Corps) have substantially increased their level of interventions in the system in recent years and another has stated the intention to do so (Department of State).
<table>
<thead>
<tr>
<th>Purpose</th>
<th>Counselling</th>
<th>Who Writes</th>
<th>When Submitted</th>
<th>Narrative</th>
<th>Numbers</th>
</tr>
</thead>
<tbody>
<tr>
<td>USAF Promotion, assignment, selection, feedback</td>
<td>Not part of OER system, Feedback from review of OER</td>
<td>Supervisor, next in chain &amp; indorser (3)</td>
<td>Annual (Batch)</td>
<td>Each writer may comment on performance or potential</td>
<td>Rater: 10 Performance factors (1-4), Rater &amp; indorsers: potential (1-6)</td>
</tr>
<tr>
<td>USA Promotion, Assignment Improve Performance Enhance Chain of Command Teach Professional Attributes</td>
<td>Formal part of OER process, Support form used to encourage Copy of OER to officer when complete</td>
<td>Supervisor, next in chain (if senior), Intermediate rater in few cases (2 or 3)</td>
<td>Change duty, &quot;Complete Record&quot; Extended TDY</td>
<td>Rater: Professionalism, Performance, Potential, Senior Rater: General</td>
<td>Rater: 14 Professionalism Factors (1-5), Performance (1-5), Potential (1-3), Senior Rater: Potential (1-9)</td>
</tr>
<tr>
<td>USN Promotion, assignment, feedback</td>
<td>Yes (Modest) Copy of Report to Lt and below Copy may be given other officers</td>
<td>Commander (1)</td>
<td>Annual (Batch)</td>
<td>One large block 6 Traits (1-9), Desirability (5 duties) (1-9)</td>
<td>12 Specific Performance factors (1-9), Mission Contribution (Peer Rank) (1-9), Promotion 1-3 (Peer Rank)</td>
</tr>
<tr>
<td>Purpose</td>
<td>Counselling</td>
<td>Who Writes</td>
<td>When Submitted</td>
<td>Narrative</td>
<td>Numbers</td>
</tr>
<tr>
<td>------------------------------</td>
<td>------------------------------</td>
<td>-----------------------------------</td>
<td>----------------</td>
<td>---------------------------------------------------------------------------</td>
<td>---------</td>
</tr>
<tr>
<td>USMC Promotion, assignment</td>
<td>No Counselling from the form</td>
<td>Supervisor, next in chain (2)</td>
<td>Annual (Batch)</td>
<td>One space for rater</td>
<td>7</td>
</tr>
<tr>
<td></td>
<td>No show policy</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>USCG Promotion, assignment</td>
<td>Yes, but ratee must seek counselling</td>
<td>Supervisor, next in chain (2)</td>
<td>Annual (Batch)</td>
<td>9 Narrative sections, corresponding to areas where numeric ratings given</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>Set standards &amp; values</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Instruct officers</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Feedback to officers on</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>performance</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Numbers**

7 Performance factors (1-6)

14 Personal qualities (1-6)

Potential (Peer Distr.) (1-10)

Rank Order if rated outstanding

**Supervisor**

5 Performance factors (1-7)

2 Interpersonal relations factors (1-7)

4 Leadership factors (1-7)

3 Communications factors (1-7)

**Reporting Officer**

5 Personal qualities (1-7)

4 Representing CG factors (1-7)

Comparison Scale (Peer Rank)
<table>
<thead>
<tr>
<th>Purpose</th>
<th>Counselling</th>
<th>Who Writes</th>
<th>When Submitted</th>
<th>Narrative</th>
<th>Numbers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Foreign Service</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Promotions, assignments, training</td>
<td>Mandatory sessions</td>
<td>Supervisor, next in chain (2)</td>
<td>Annual (Apr 15)</td>
<td>Rater: Performance of duties &amp; potential</td>
<td>Rater: General potential (1-5)</td>
</tr>
<tr>
<td>Separation</td>
<td>All reports referred to ratee for comment</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pay increases</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Improve performance</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### TABLE III-2 (CONT'D)

**OTHER U.S. SERVICES OER COMPARISON**

<table>
<thead>
<tr>
<th>Peer Ranking</th>
<th>Discriminators For Promotion</th>
<th>Pressure Point for Inflation Control</th>
<th>Quality Control</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>USAF</td>
<td>No</td>
<td>Major Commanders &amp; Chain of Command</td>
<td>Staff of 3</td>
<td>Rating Officer has access to previous reports on ratee (&quot;Halo&quot; effect)</td>
</tr>
<tr>
<td></td>
<td>Grade of indorser (closed process)</td>
<td></td>
<td>Pressure on major commands to limit percentage of flag indorsements</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Narrative</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>USA</td>
<td>Yes</td>
<td>10,000 Senior Raters (Indorser)</td>
<td>Control senior rater behavior through interventions, &quot;rate the rater&quot;, information programs</td>
<td></td>
</tr>
<tr>
<td>Indorser:</td>
<td>Senior Rater profile &amp; ranking</td>
<td></td>
<td></td>
<td>Center of mass concept</td>
</tr>
<tr>
<td>Potential</td>
<td>Rater &amp; Senior Rater narrative</td>
<td>Senior Rater Profile (part of his promotion file)</td>
<td>85% compliance</td>
<td>Senior Rater profile restart</td>
</tr>
<tr>
<td>III-67</td>
<td>Promotion Ranking</td>
<td>Rater (Commander)</td>
<td>Indirect</td>
<td>Shield Rater from pressure</td>
</tr>
<tr>
<td></td>
<td>Performance Ranking</td>
<td>6-7000 In System</td>
<td></td>
<td>Scant space for job description</td>
</tr>
<tr>
<td></td>
<td>Narrative</td>
<td></td>
<td></td>
<td>Unique role of &quot;Commander&quot;</td>
</tr>
<tr>
<td>USN</td>
<td>Yes</td>
<td>Chain of Command</td>
<td>Review at HQ USMC</td>
<td>No show policy</td>
</tr>
<tr>
<td>Rater:</td>
<td>Trends in numeric</td>
<td></td>
<td>Return for revision (chiefly derogatory)</td>
<td>List of marines rated</td>
</tr>
<tr>
<td>(1) Performance (2) Promotion</td>
<td>Peer ranking for promotions</td>
<td>Rater</td>
<td>Chain of Command</td>
<td>Reduced below the zone opportunity</td>
</tr>
<tr>
<td></td>
<td>Narrative</td>
<td></td>
<td>Interest of Commandant</td>
<td>All take pressure off rater</td>
</tr>
</tbody>
</table>
### TABLE III-2 (CONT'D)

**OTHER U.S. SERVICES OER COMPARISON**

<table>
<thead>
<tr>
<th>Peer Ranking</th>
<th>Discriminators For Promotion</th>
<th>Pressure Point for Inflation Control</th>
<th>Quality Control</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>USCG</td>
<td>Yes</td>
<td>Unknown</td>
<td>Indorser (through Chain of Command)</td>
<td>Close review of all reports</td>
</tr>
<tr>
<td></td>
<td>Indorser: Performance</td>
<td>Board Deliberations kept secret</td>
<td>Return inconsistent reports for revision</td>
<td>Requires unique form for each grade</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Promote on best qualified basis</td>
<td>Influence scores</td>
<td>Reporting Officers profile similar to Army</td>
</tr>
<tr>
<td>Foreign Service</td>
<td>No</td>
<td>Narrative</td>
<td>Not effective</td>
<td>Overseas post or Bureau Review Panel</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>No automation</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Very great amount of inflation</td>
</tr>
</tbody>
</table>
SECTION IV

FINDINGS: AIR FORCE OFFICER EVALUATION SYSTEM

This section discusses the current Air Force Officer Evaluation System, beginning with a review of the major features of the OER, as determined in our information gathering efforts. This part includes the purpose of the OER and a description of the OER preparation process as well as the form itself. It also discusses the discriminating factors operating in the current Air Force system, the provision of feedback to the officer being evaluated, and the provisions for quality control of OERs.

The second part of the section discusses the issues identified by the study group in our interviews and focus groups, including those which are cultural as well as those dealing with the OER form and process directly. The third part briefly summarizes these findings.

MAJOR FEATURES OF THE CURRENT OER SYSTEM

PURPOSE OF THE AIR FORCE OER

According to Air Force Regulation 36-10:

"The purpose of the officer evaluation system is 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, augmentations, school selections, and separations. It is also intended to provide individual officers information on their performance and potential as viewed by their evaluators."
Our guidance from Air Force leadership has reinforced this statement, but has placed emphasis on the objectives of accurately assessing current job performance, differentiating among officers in potential for promotion, and facilitating the provision of feedback to officers which will help them to improve their performance and thus to increase their value to the Air Force. We have kept these purposes in mind throughout the study, and our assessment of the Air Force OER has been performed with these objectives as its criteria.

THE AIR FORCE OER PROCESS

The Air Force OER process begins when the Consolidated Base Personnel Office (CBPO) determines that an OER is required for a given officer. AFR 36-10 lists all of the events which require completion of an OER, but the most common are a PCS move by the rater or ratee, or a change of assignment. As a minimum, an OER must be completed at least every six months for lieutenants with less than three years of service, and annually for all other officers through colonel. The rating officer receives two copies of the computer-generated notice that the OER is required. This notice includes the Ratee Identification Data for the OER, and it is recommended that it be verified by the ratee. The rater then is responsible for collecting all the additional information he/she needs to complete the OER. Typically, the rater may ask the ratee to provide an update on his/her accomplishments during the rating period, and may solicit information on the ratee's performance from other supervisors who have observed the ratee's work.

The rater completes the rater portions of OER, and then submits it to the additional rater for completion of the next portion. The additional rater adds comments, signs the form, and forwards it to the indorser for final comments and signature. The indorser returns it to the CBPO for further processing and quality control in most cases.
The above is the idealized route of an OER. Our interview and focus group subjects indicated that the actual routing is more complex, with extensive communications passing up and down the rating chain, and within the indorser's organization, to determine the level of indorsement for any given officer's OER and to provide the additional rater and the indorser with information to use in generating their comments and recommendations. We were also informed by many officers that it is common for the rater to ask the officer being evaluated to provide a rough draft of his or her own OER, a questionable extension of the practice of providing the rater with an update on activities and accomplishments during the rating period.

THE AIR FORCE OER FORM

The current Air Force Officer Effectiveness Report, AF Form 707, has been in use since the end of the control era in 1978, although the current form is dated 1982. A copy of the form is shown in Figure IV-1. The form consists of eight sections. Section I contains ratee identification data, which is provided to the rater by the CBPO, and verified by the rater and ratee. Part II is the job description, which calls for duty title, key duties, tasks and responsibilities. Part III is the rating of specific performance factors. As shown in Figure IV-1, the form provides for the rating of 10 specific factors on a five-point scale, and requires narrative comments with specific examples of each factor. The OER regulation, AFR 36-10, provides specific standards for use in rating these factors, although our respondents report that this guidance is seldom consulted.

Part IV is the first section of the reverse side of the OER, and provides space for the rater to make recommendations for the ratee's next assignment. Part V is the overall evaluation of potential, with a six point scale to be used by the rater, additional rater, and indorser. Part VI, the rater comments section, is the last portion of the form completed by the rater, and provides space for comments on the promotion.
I. RATEE IDENTIFICATION DATA (Read AFR 36-10 carefully before filling in any item)

1. NAME (Last, First, Middle Initial)
   SMITH, Jack II

2. RANK (Include Suffix)
   231-34-5432

3. GRADE
   Captain

4. ORGANIZATION, COMMAND, LOCATION
   345 Tac Ftr Wg (TAC), Mt Home AFB, ID

5. REF CODE
   A1321X

6. PERIOD OF REPORT
   FROM: 13 Jul 81 | THRU: 31 Oct 82

7. NO. DAYS OF SUPERVISION
   120

8. REASON FOR REPORT
   Annual

II. JOB DESCRIPTION
   Enter command level and approved duty title as of the closeout date of the report (paragraph 2a this attachment).

Item 2: Describe the type and level of responsibility, the impact, the number of people supervised, the dollar value of projects managed, and any other facts which describe the job of this particular ratee.

III. PERFORMANCE FACTORS
   Enter example of performance required

1. JOB KNOWLEDGE (Depth, currency, breadth)
   What has the ratee done to actually demonstrate depth, currency or breadth of job knowledge? Consider both quality and quantity of work.

2. JUDGMENT AND DECISIONS
   Does the ratee think clearly and develop correct and logical conclusions?
   Does the ratee grasp, analyze, and present workable solutions to problems?

3. PLAN AND ORGANIZE WORK
   Does the ratee look beyond immediate job requirements? How has the ratee anticipated critical events?

4. MANAGEMENT OF RESOURCES
   Does the ratee get maximum return for personnel, material and energy expended? Consider the balance between minimizing cost and mission accomplishment.

5. LEADERSHIP
   How has the ratee demonstrated initiative, acceptance of responsibility, and ability to direct and motivate group effort towards a goal?

6. ADAPTABILITY TO STRESS
   How has the ratee handled pressure? Does quality of work drop off? Improve?

7. ORAL COMMUNICATION
   How has the ratee demonstrated the ability to present ideas orally?

8. WRITTEN COMMUNICATION
   How has the ratee demonstrated the ability to present ideas in writing?

9. PROFESSIONAL QUALITIES
   How well does the officer meet and enforce Air Force standards of bearing, dress, grooming and courtesy?
   Is the image projected by the ratee an asset to the Air Force?

10. HUMAN RELATIONS
    How has the ratee demonstrated support for the AF Equal Opportunity Program, and sensitivity for the human needs of others? Evaluation of this factor is MANDATORY.
### IV. ASSIGNMENT RECOMMENDATION:

1. **Suggested Job (Include AFSC):**

2. **Organization Level:**

### V. EVALUATION OF POTENTIAL:

Compare the ratee’s capability to assume increased responsibility with that of other officers whom you know in the same grade. Indicate your rating by placing an “X” in the designated portion of the most appropriate block.

### VI. RATER COMMENTS

Organize comments within the standards of good writing. Do not use headings, underline, or capitalize merely to add emphasis. Include those comments required by paragraph 3-15. Add any other comments not covered elsewhere and not excluded by paragraph 3-14 which will increase the value and meaning of the report. Amplify those positive aspects of the ratee’s performance deserving special note.

### ADDITIONAL RATER COMMENTS

Review the ratings and comments of the rater for completeness and impartiality. If the additional rater does not concur with any rating in section III or V, or any comments, check the nonconcur block. To reflect disagreement, initial appropriate blocks (section III) and mark additional rater block (section V). Significant disagreement (para 2-26) requires justification.
recommendation, as well as for any other information the rater wishes to provide. Parts VII and VIII are for additional rater and indorser comments, respectively.

DISCRIMINATING FACTORS IN THE AIR FORCE OER

Our respondents indicated that the indorser comments, especially regarding promotion, and the indorser's rating of potential, as well as the rank and position of the indorser, have become the most important factors in differentiating between officers for selection purposes. The explicit ratings of performance factors have become so inflated that they differentiate only the most deficient officers, with virtually all others "firewalled" in the highest block. Thus the words used by the indorser to communicate his or her enthusiasm for the ratee and to justify the promotion recommendation have taken on great importance.

The rank and position of the indorser, considered with his/her narrative comments, are perhaps the most important differentiators for promotion. Because of this, indorsement inflation has occurred, and it has become necessary to place considerable pressure upon the major commands to limit the highest level indorsements they provide. In fact, the Headquarters, US Air Force, provides guidelines to the major commands on the upper limit of reports for each grade which should be indorsed by senior general officers. The pressure of these guidelines and other informal communications has led to the establishment of elaborate but largely invisible procedures within each command to determine which officers receive which levels of indorsement. De facto quotas of high level indorsements are thus apportioned among the officers in a manner quite similar in effect to the apportionment of "one" and "two" ratings during the control era, although different in application and method. Officers in the field perceive the similarity to the controlled era. In addition, it was widely reported to the study team that indorsements are often managed so as to "peak" when an officer is about to
FEEDBACK TO THE RATEE ON PERFORMANCE

The Air Force regulation on Officer Evaluation, AFR 36-10, specifically states that the OER is not to be used as a "counseling device", but it does instruct the supervisor to counsel ratees "as the need arises" and suggests that periodic counseling is advisable as well. The Air Force provides no formal counseling or feedback form, however, to facilitate such a process. The ratee has access to his OER as soon as it has become a part of the permanent record, although he/she is not given a copy as part of the normal OER preparation and routing process.

Our focus group respondents were mostly in agreement that supervisors should provide job performance feedback to their subordinates, although the term "counseling" was not comfortable for some of them. Few officers reported receiving sufficient job performance feedback at any time in their careers, and many admitted that as supervisors they did not give as much feedback as they should. Some officers expressed the feeling that, although they gave little formal counseling, their subordinates "know where they stand", and nearly all said that they were quick to inform a subordinate when his performance was seriously deficient. Many officers appeared uncomfortable with the idea of compulsory periodic counseling, and they agreed that considerable training would be required to prepare most Air Force officers to counsel effectively. Some were familiar with the Army OER Support Form, but we found no consensus on whether a similar counseling and feedback form would be effective in the Air Force. Most officers who were asked felt that the Air Force was not currently in a position to implement management by objectives (MBO) performance management techniques.
The current Air Force system relies on the CBPOs to perform quality control checks on OER forms, with the Headquarters USAF level retaining the responsibility to "administer rating policy and to determine qualitative adequacy, rating trends, and adequacy of command management" (AFR 36-10). Guidelines for quality control, including statements on what subjects are appropriate and inappropriate for discussion on the OER, are given in AFR 36-10.

The Headquarters, USAF quality control capability is resident at the Military Personnel Center. There are approximately three manpower spaces devoted to OER policy development and interpretation. Quality control of Air Force OER ratings distributions is the responsibility of the major commands and agencies.

There is currently no published system of ratings control or distribution in the Air Force, and no control is imposed on the numerical ratings of performance factors or of potential for promotion. However, our briefings and interviews revealed that there is an unpublished mechanism in use to limit the number of three and four star level indorsements given within the major commands. As discussed above, this pressure to limit the number of high level indorsements has given rise to fairly elaborate unwritten guidelines within the commands, which serve as an implicit control mechanism. In our interviews and focus groups, officers indicated that they were aware that such a system exists, though few were able to describe its operation in their own commands. Some officers expressed dissatisfaction with the "invisibility" of this system, and clearly wished it were more open, but many were quite accepting of the status quo.

ISSUES AFFECTING OFFICER EVALUATION

Our information gathering activities yielded much data on the Air Force OER system, and in our analysis of this data it became clear that several major issues could be
identified. These issues chiefly are the outcomes of interactions between the people, (Air Force officers), and the OER system. These interactions produce reactions: values, opinions and beliefs which must be taken into account if modifications are to be successful. We have organized these issues into four categories:

1. Air Force Culture
2. OER Process
3. OER Content
4. Non-OER Promotion Issues

AIR FORCE CULTURE

Over the past few years a great deal has been written about the topic of culture as applied to corporate environments. Through our information gathering in the Air Force we observed a number of cultural characteristics and beliefs which have a very important bearing on the question of how likely it would be for a new OER process to be successful. The following is a description of these characteristics and beliefs.

All officers are above average

The focus group discussion revealed a strong belief that because of the successive screening processes an individual must go through to become an Air Force Officer, the resulting group is an elite corps well above an “average” population in many ways. From a statistical standpoint it seems quite likely that the selection process would indeed produce an above average population in terms of intelligence, education, persistence, and energy level. The consulting team members strongly concurred that the group of Air Force officers with whom we had come in contact were comparable or superior to most professional and managerial groups we had worked with in other client settings.
The implication of this very strongly held Air Force belief is that for an officer to be labelled as "below average" is a very severe blow to his/her ego and perceived career potential. Our respondents indicated that this factor was a major cause of the very strong negative reaction which the "controlled" system elicited. Thus, any newly designed system should avoid the need to label as "below average" any officers who are viable candidates for future promotion. In today's Air Force culture any rating of "below average" is a strong signal to the individual to seek his/her future career elsewhere.

**Unwillingness to differentiate openly**

Two major reasons were given for the unwillingness of most officers to differentiate openly among the officers they must rate. The first goes back to the previous discussion. Since there is a strong feeling that all officers are above average, rating officers strongly resist any system whereby they must identify those officers who are below average. In our interviews, however, there was some willingness to identify the truly outstanding individuals, and the individuals whose performance or potential is so poor that they should be released from the Air Force.

A second factor concerns the closeness of the superior/subordinate relationship. Here, officers feel that to advise an individual that he/she isn't meeting performance expectations is demotivating and may have negative effects on the individual's job performance. In the absence of potential merit increases or bonuses for short-term performance, rating officers feel they have to give "pats on the back" through the OER system, even to those whose performance is acceptable but not outstanding. The superior/subordinate relationship, along with the group cohesiveness encouraged by the Air Force culture, also leads to officers' feeling an obligation to "promote their people". It is a matter of pride for an officer to have his or her subordinates receive promotions, and reflects adversely upon his/her ability to develop subordinates if they are passed
over. The importance of this value sometimes appears to override the need to select the best possible leaders for the Air Force. However, most officers expressed the belief that there are远远 more good officers than there are promotion opportunities at the higher grades. They consequently believe that there seldom is a conflict between promoting "one's own" and promoting the best leaders for the Air Force.

**Up or out system**

Because of budget requirements, legislative controls and a number of other factors, the Air Force system requires an officer either to be promoted at each opportunity or to leave the service at some point prior to completion of a full career. It is this fact that places so much of a burden on the OER system. There is no parallel in private industry whereby one performance appraisal can, in effect, dictate a decision to lay off a person many years in the future. While we did not take a random sample, the bulk of officers we questioned believed that the "up or out" system was good for the Air Force insofar as it assured that officers would continue to be motivated to perform well throughout their careers.

**The controlled OER system**

Our interviews and focus groups indicated that the controlled system has left deep scars within the officer ranks. It has an almost uniformly negative image and people are quick to relate instances of "good" officers leaving or being forced out of the service because of a "three" rating. There is thus a negative feeling toward any type of statistically-based controls on ratings. However, as our interview and focus group discussions of the problems of inflation unfolded, many participants offered suggestions which amounted to some type of control. Thus, the desire to curb rating inflation is expressed as a willingness to see some type of "controls" implemented at an appropriate level. Most frequently mentioned in such discussions is the Wing level. It is also clear
that if a system that limited ratings in some way were to be installed, a terminology avoiding the word "control" might avoid the worst of the negative reactions.

**Distrust of promotion board sensitivity**

There appears to be a feeling, among junior officers in particular, that individuals on promotion boards may look at surface data only, and therefore miss many of the more important aspects of an officer's record. For instance, some officers were concerned that if the level of indorsement declines from one OER to the next, the board will automatically treat this as a very negative factor without looking any further, when in fact the person had changed assignments to where he/she was much further removed organizationally from an indorser of the same rank. One source of this belief is the common knowledge that boards cover so many candidates in so little time. A simple division of time by candidates yields only a few minutes per candidate, so the general feeling among many junior officers is that no in-depth reading or understanding can be achieved. Promotion board members report, however, that they need spend little time on those records that clearly go in either the "yes" or the "no" piles. They then report spending much more time with those on whom there is more doubt (the records in the "gray" zone). Also, as one might expect, promotion board members report that they do look behind the surface facts when inconsistencies appear in a record.

**Careerism/focus on peripherals**

Because of the lack of differentiation in OER ratings a cultural phenomenon of "focusing on peripherals" has developed. That is, many officers feel that since they cannot stand out on the basis of their ratings they must pursue certain types of education and assignments, which may have nothing to do with preparing them to assume greater responsibility, in order to provide the promotion board with the proper "image". A corollary to this phenomenon is the feeling of unfairness caused by the fact
that certain primary assignments make it much more difficult to accomplish these peripheral activities. For instance, certain aircrew members may find it impossible to attend evening classes to improve their educational attainments on a regular basis, if much of the time they are away on temporary duty (TDY).

These then are some of the cultural issues we discovered which surround the OER and promotion process. The next sections deal with some of the issues concerning the process and form itself.

OER PROCESS ISSUES

Nomination process for determining indorsements

An extensive system currently exists for differentiating among officers on OERs for the purpose of promotion recommendations. Because the ratings have become so inflated, the differentiation no longer appears in the ratings themselves, but rather is found in the level of the final indorsing official and the words which that individual uses or does not use to recommend the officer for promotion. Clearly, higher level indorsements indicate more favorable OERs. The choice of who will receive the highest indorsements is made with great care. This choice is the result of considerable dialogue, both verbally and in writing, between levels of command to determine who are the best performers and those most worthy to "push" for promotion. Thus, the overt rating process for which the OER form was designed has really been replaced with one which is not visible to the ratee. While most officers we interviewed were well aware of the fact that the level of the indorsing official was the primary differentiator, there was little spontaneous conversation in the focus groups on how the decision of who will indorse the OER is made. It may be that officers do not wish to offset the positive feelings they receive from inflated OERs with a more critical examination of how they will or will not be differentiated from others in the promotion decision.
"Creative" use of language

Because officers feel they must "firewall" the ratings, and because the form requires a description of performance to justify each rating, the result is that much description of meritorious behavior is exaggerated. This results in an ethical and an administrative issue.

Many officers report that they are disturbed about having to say things which they do not truly believe, but they feel forced to do so to avoid destroying the career of an acceptable officer. In general, the level of ethical discomfort expressed was not severe, but in a few cases it was quite intense. In addition, there is some feeling that by encouraging such behavior in the writing of OERs the Air Force is setting the wrong example for what might be expected in other areas of behavior, especially for junior officers.

The need to provide verbal descriptions for superlative ratings also creates an administrative burden. That is, since the rating officer must back up any rating with "facts" about the person's performance that justify the ratings, rating officers spend a good deal of time marshalling their facts. The process becomes a maximization game. The rating officer knows he/she must fill ten spaces for the performance ratings and a larger space for the rater comments. The rater also knows that promotion board members normally will not read the comments on the front of the OER. Therefore, his/her "best" facts are saved for the rater comment section on the back. However, given this number of spaces to fill, many separate facts must be described, and a good deal of time is spent collecting and documenting them. In addition, some rating categories are more easily observed in peripheral activities than in the major assignment (such as oral communication for a fighter pilot). Such ratings are often made on the basis of a performance as peripheral as conducting a tour of an airplane for a grammar school class, rather than on flying performance.
Administrative burden

Some of the sources of the administrative burden of OER preparation were discussed in the section above. In addition, the need for absolute correctness and neatness with no erasures, and the unwritten ground rule that all spaces must be filled with verbiage, has led to the situation where OERs often are retyped many times and proofread by officers many times at the originating unit, and read and reviewed for correctness at higher level units as well. Although word processing equipment is used in some cases, it is estimated from survey data that Air Force officers may spend an aggregate 650,000 hours a year in the writing process alone. Adding to this the repeated proofreadings, the typing time, the successive reviews and indorsements, the total time involved in the OER process is enormous. Most importantly, this time is all spent in the process of documenting performance; it is not the very productive time that might be spent by rating officer and subordinate in a performance planning or review session to actually improve performance.

Control of inflation

While reactions to the control program that was instituted in the 70's are still very negative, many officers expressed the belief to the project team that there was a need for some way to remedy the current inflated ratings situation. Most often the Wing level was mentioned as a logical place for a review and differentiation process to take place, and for controlling influences to be applied.

Frequency of OERs

The yearly time cycle of an OER is not an issue with the officer corps but certain aspects were mentioned as problems. The six-month interval for lieutenants' OERs is felt to be overly burdensome and not very useful, since a lieutenant typically shows little change in his/her level of performance in six months. The other problem
mentioned was the requirement to produce a report on an individual because of a change of assignment in either the rater or ratee, when the period of the report was only a few months. The same problem of lack of sufficient time for observation of significant performance changes applies in this case.

**Implementation of change**

The Air Force is a relatively conservative institution with a strong staff orientation. In such organizations, except under crisis conditions, change must be evolutionary rather than revolutionary. Thus, new systems must be tied to old and must flow out of established values and practices. Given the strong concentration of authority in the major commands it is imperative that the command staffs be part of developing and implementing any change to the OER system. Our respondents felt strongly that any change would need reinforcement through as many channels as possible.

**Need for training**

The officers we spoke to all agreed upon the need for training raters, reviewers, indorsers, personnel staff, promotion board members and anyone else involved with the OER so that they will be prepared for their changed roles in any new system. While the requirements to accomplish such training may be very substantial, it will be necessary if any significant cultural change is to take place. Training and information distribution deficiencies were seen by many officers as having contributed to the failure of the controlled OER.

**OER accessibility**

There are two issues here, one concerning the availability of past OERs to the rating and indorsing officers during the preparation of an OER and the other having to do with the number of past OERs which are made available to the promotion board. On
the first issue there was some concern that raters and/or indorsers referred to previous OERs in preparing the current one. Some officers interviewed believe that this is unfair in the case of someone who may have had a bad experience (such as a personality conflict with his rater) in the past, but who has performed differently over the period of the current report. By referring to past reports for making current ratings, a rater would, in effect, be usurping the function of the promotion board which is charged with reviewing the entire record.

The second issue is the question of how long OERs should be kept in the personnel and selection record. Presently, the record consists of all OERs from the time the officer was commissioned, but there are reasons why this may be inappropriate. For example, many senior officers, who had been in the Air Force during the controlled OER period, felt that they or their peers were still feeling the ill effects of that period, since many still had "3" ratings from that time in their selection folders. They were certain that if a selection board had to decide between two folders which were otherwise equivalent, the one with a "3" from 1977 would be at a disadvantage. The expression "a one-mistake Air Force" was another phrase we heard referring to the perception that one poor OER, even when followed by years of fine performance, could jeopardize an officer's career. This was seen by most officers as unfortunate, if not unjust.

Feedback to officers being rated

For the most part, the officers we interviewed expressed strong interest in obtaining feedback on their performance from their immediate superiors. They agreed, however, that the OER was not an effective vehicle for accomplishing this. This desire for feedback was keenest among younger officers—a phenomenon that is not unlike that found in private industry. The current generation of professionals coming out of our colleges is much more attuned to an "open" environment where performance feedback,
career planning, and the use of individual initiative are an expected part of the job environment.

CONTENT OF THE OER FORM

Job description

It was unanimously stated that the job description was an important part of the OER and definitely should be retained. There was, however, a feeling that the description could be improved by greater concentration on what the officer actually does and on the scope of his or her responsibility and authority (e.g., number of people, budgets, etc.).

Greater focus on job performance

Many officers believe that the OER as it is now constituted encourages excessive attention to peripheral activities at the expense of the primary job and performance in that job. The performance rating factors were seen to engender this problem especially for rated officers in flying jobs. These jobs provide little opportunity to demonstrate performance factors such as "oral communication" or "management of resources", but since a rating of "Not Observed" is culturally unacceptable, the rater must find something to justify his ratings. It is in these cases that peripheral duties, such as management of a coffee fund, or presentations to community groups, may be assigned as opportunities for the officer to perform on these factors. Not surprisingly, many rated officers feel that this is not a productive use of their time, nor is it seen to promote the best long-term interests of the Air Force. The general feeling was expressed that too many factors were being rated that were not directly related to job performance in many jobs. There was a strong desire to rate factors that were directly pertinent to performance in the primary position together with significant additional duties.
Performance ratings

There was general agreement that because of inflation the performance ratings no longer perform the function for which they are designed. There were, however, few suggestions for improvement of these ratings. In those instances where differentiated ratings were discussed, respondents talked about identifying the extremes rather than finding differences at all levels of performance. Also, where differentiation was discussed, the suggestion was made that such differentiation could best be introduced at the Wing level.

There was almost universal agreement that the required comments on the performance ratings should be eliminated since they are not useful. Promotion board members acknowledged that they did not read these descriptions of performance except in very, very rare cases. While the suggestion was made that perhaps these comments are useful for assignments, our discussions with those responsible for assignments indicated that they were not read for that purpose either.

Format of narrative portions

Air Force Regulation 36-10 suggests that narratives be written in straight prose style and discourages the use of headings, underlining, or capitalization to add emphasis. Many officers felt that bulleted and similar techniques should be used to shorten the required prose and to highlight the points that are most important. Such techniques are used currently by some of the other services on their OERs.

Statement of promotability

Promotion boards indicated that they put considerable weight on what the indorsing officer writes about promoting the individual. Thus, an indorsing officer can inadvertently hold a person back from being promoted by not making an overt statement
about "promotion now" even though he/she has described the officer's performance and potential in glowing terms. It appears that a more structured process for obtaining a statement of promotability from indorsing officials would avoid potential misunderstandings.

**NON-OER PROMOTION ISSUES**

**Role of augmentation**

Today, nearly all officers are augmented to the regular Air Force by their seventh year. It is possible that some greater degree of selectivity in augmentation may serve to eliminate people with lesser chances for a long and successful career at a time when they are more employable on the outside and to assure an almost universal promotion to major for all who are interested in an Air Force career and pass through the augmentation screen. This is, however, a subject which has implications far beyond our ability to generate the appropriate facts and we merely raise it as an issue that might be pursued more aggressively by the Air Force staff.

**Picture in the folder**

A good deal of hostility is expressed over the inflated importance of details which have become associated with the photograph of the officer in the selection folder. Variables such as the skill of the photographer, how photogenic the officer is, or individual likes and dislikes of those serving on promotion boards are all factors which are seen as unnecessarily biasing in relation to the picture. Many officers would prefer removal of the photograph from the folder.

**Instruction to boards**

It appeared to us that selection boards receive a good deal of instruction on techniques for making their selections and coming to agreement but only very general
guidance on the criteria for selection. It seems that if the Chief of Staff were trying to
emphasize certain criteria then specific instructions about such factors should go to
promotion boards. This could relate to such policy issues as the Chief's desire to view a
record of good performance in cockpit jobs as sufficient reason for promotion through
lieutenant colonel. The instruction mechanism could also be used to assure that boards
pay particular attention to the needs of the service at any particular time for particular
types of skills or backgrounds. In general, more pointed instructions about the
philosophy the Chief of Staff is trying to reinforce can be given to promotion boards as
one of the major factors in the reinforcement system.

SUMMARY

This section has identified many issues and problems relating to the Air Force
OER system. Some of these are vitally important to the functioning of the system while
others are minor or peripheral issues which will not be given high priority in the search
for ways to improve the OER.

The issues and problems which the study team considers most important are those
relating to:

1. The honesty and integrity of the OER system;
2. The adequacy of the OERs focus on job performance;
3. Means for differentiating and identifying promotion potential;
4. The provision of performance feedback to the officer being evaluated;
5. Discipline or control of OER ratings and indorsements;
6. The administrative burden associated with the OER process.
Of all the issues we identified, these are the ones which relate most directly to the fundamental objectives of the OER system, as stated in AFR 36-10 and as expressed in the guidance we received from Air Force leadership. Thus these are the ones which must be addressed by any conceptual designs for an improved OER system. The next section will discuss the process by which the study team developed its proposed conceptual designs to deal with these issues and will present the three designs in detail.
SECTION V

CONCEPTUAL DESIGNS FOR THE AIR FORCE OER

This section describes the process by which the conceptual designs were initially formulated and refined. The specific designs are then explained in detail.

FORMULATION OF CONCEPTUAL DESIGNS

The first step taken by the project team in developing conceptual designs for Air Force officer evaluation was to determine what tests would be applied to each design in order to determine that they have potential use to the Air Force. Given all of the previous input, the project team developed the following set of design criteria as being the most pertinent against which to test any recommended design:

An improved OER system should:

1) focus on job performance, not peripherals;
2) provide differentiation in potential for promotion;
3) be acceptable to the Officer Corps;
4) provide means for developing subordinate officers; and
5) minimize administrative burden

GUIDING CONSIDERATIONS

In addition to the design criteria outlined above, the project team worked with a number of considerations which had emerged from interviews and discussions with members of the Air Force officer corps as well as from corporate knowledge and experience of human resources management. These guiding considerations are discussed below.
Alternative OER Designs Should Reflect the Larger Air Force Culture.

This consideration takes into account that the Air Force officer corps is a group of highly trained professionals which perceives itself to be above average in ability and performance. Along with this perception is the historical inclination by the Officer Corps to place great emphasis on rewarding subordinates and assisting in their promotion opportunities by rating subordinates very highly on their OERs.

In conflict with these realities is the fact that the Air Force, like all other services, must work within the constraints of the “up or out system” which mandates selection of an ever smaller population at each officer grade. This conflict breeds an unwillingness to differentiate openly for appraisal purposes. In consequence, the Air Force OER process, like many other performance appraisal systems, has been characterized by high inflation in overall ratings.

The controlled OER (1974-1978) struck directly at the inflation problem by requiring a forced distribution of ratings. Initially, the top 2 blocks were controlled such that no more than 50% of the officer corps could be in these two blocks. The perception at that time was that a 3 rating or below was akin to the end of an upward Air Force career track. Terminated in 1978, the controlled OER generated a great deal of anxiety and loss of morale which are well remembered today.

A lesson to be learned from this era is that the requirement to rate a subordinate in an “unpromotable” category, real or perceived, is at odds with the culture and probably will not be accepted. A second lesson is that avoidance of design features which resemble the controlled system should ease implementation and acceptance of a new system.
Alternative OER Designs Should Encourage Change in Cultural Attitudes and Habits Concerning the OER.

This consideration recognizes that over time and many changes to the OER, certain cultural habits surrounding the OER have become ingrained within the Officer Corps. These habits include not only the inclination to give high ratings on potential across the board, but also puffery in narrative comments. In addition, there is the understandable tradition of seeking the highest level indorsement possible.

To encourage change in these habits the project team decided that alternative OER forms and indorsement patterns should be sufficiently different to require raters, indorsers, and promotion boards to adopt new modes of behavior and not merely apply old habits to substantively different report forms.

Judgment, not Statistics Should be the Ultimate Method of Making Career Decisions

While numerous interviewees mused about the possibility of being able to "score" OERs to make a promotion decision, it is the project team's firm belief that this is the wrong direction in which to head. The Air Force created promotion boards for good and sufficient reason. The human brain is far more powerful than any computer even envisioned at the present time. Also, the field of psychophysical measurement (the physical measurement of psychological phenomena, e.g., a rating of "leadership traits") is worlds behind computer technology. To suggest that these technologies replace the judgment of a small group of experienced and mature officers in the interest of "fairness" is folly. We have therefore directed our efforts not toward mathematical exactitude, but to produce the richest collection of information practically obtainable for promotion boards to use in their deliberations.
**Alternative OER Designs Should be Practical to Implement.**

Apart from the criteria of minimizing administrative burden, the project team felt that any alternative OER design should be formulated to take advantage of available technology to the extent possible. This would apply to storage as well as processing of OER information for both individual rater and promotion board purposes.

Practicality as a consideration also extended to implementation of an alternative OER system. Again, drawing from lessons of the controlled OER, the project team believed that gradual and perhaps evolutionary implementation might be more acceptable to the officer corps than an abrupt full scale implementation. For example, if an alternative OER design assumed voluntary conformance with rating procedures and sufficient conformance did not occur, then stronger review techniques could be added to the system as needed.

**RANGE OF FEASIBLE ALTERNATIVES.**

Given the criteria established for an improved OER system together with the guiding considerations, a range of feasible alternatives was determined to exist. Although the initial alternatives formulated by the project team varied according to certain individual features of form, process and content, this range can best be expressed in terms of degree of change -- from alternatives causing the current OER system to change very little to alternatives causing rather radical change to the OER process.

The preliminary designs shared some common components. All of the proposed designs assume greater usage of computer technology than currently exists. In addition, all of the designs retain job performance factors, although the number of factors has been reduced. In each design, however, the requirement for supporting narrative to the rating on each performance factor has been eliminated. In addition, each design has incorporated a space for the rater to define job accomplishments for the rating period.
Finally, each design assumes use of an off-line OER worksheet for job counselling purposes.

The designs varied one from another primarily in the way discipline would be introduced. This variance ranged from no change in the current, covert indorsement system to overt control of the top block.

Once the preliminary design ideas had been formulated, the project team entered into a second stage interview process to test major elements of the designs by gathering the views of selected members of the Air Force officer corps.

TESTING AND REDESIGN OF CONCEPTS

The interview guide used in the second stage interview cycle is given in Appendix E. These interviews, held with 20 Air Force officers ranging from O-3 to O-6, were fairly informal discussions to determine respondents’ reactions to the various design features and to obtain their opinions on issues surrounding implementation of these features. A summary of the results from the interviews is given below while a complete tabulation of the results of these interviews, broken out for junior and senior officers, is shown in Appendix E.

The overall impression from these interviews is that there is a desire for a streamlined and discriminating OER process.

Computerization of OER processing was strongly supported as was the proposal to use pre-developed job descriptions which could be revised or amended at the time of OER preparation. The idea of having a separate OER for company and field grade received fairly strong support but was accompanied with concerns over increasing the administrative burden. Retention of the twice-a-year OER for lieutenants received very little support (only 27% of the respondents were positive overall).
A proposal to institute an off-line OER work sheet for use in setting goals and reviewing past performance received very favorable reaction from the respondents. By contrast, proposals to show a developmental goal for an individual officer on the formal OER form or to show the officer's strongest performance area were not well received. A number of officers believed such additions would simply be gamed and that raters would have a difficult time in forming such opinions.

Officers did want to retain the graphic scale for potential but did not have strong feelings about omitting numeric scales on performance factors.

Elements which would introduce greater discipline in ratings also received strong support. Such elements included limiting the Wing Commander to giving top potential scores to only 10% of ratees; providing rater histories to supervisors; and showing rater and indorser tendencies to the selection boards.

The preliminary designs were reviewed in the light of these findings and appropriate revisions were made. The final forms of the conceptual designs are explained next.

CONCEPTUAL DESIGNS FOR OFFICER EVALUATION

This section presents three conceptual designs for Air Force officer evaluation. Presentation of these conceptual designs will be in three main parts. First, a set of features will be discussed which will be uniform across all of the designs. These are features which the study recommends for adoption, no matter what specific design for evaluation may be chosen. Second, the variable features of the three designs will be presented. Finally, each of the conceptual designs will be compared to the design criteria which were presented on page V-I.
UNIFORM ELEMENTS OF THE CONCEPTUAL DESIGNS

There are a set of features which the study team believes should be adopted by the Air Force and incorporated into any evaluation system which may be selected. These features are:

1. Use computer technology to reduce the administrative burden and provide reports and summaries not now available to the evaluation system;

2. Improve job descriptions incorporating computer technology wherever feasible;

3. Provide a separate OER worksheet to assist in the evaluation process and to enable off-line counseling and feedback;

4. Enhance the information given to the promotion boards bearing on the discrimination among officers;

5. Provide additional training to the participants in the OER process.

Use Computer Technology

Currently, OERs are largely hand-processed, although many activities employ word processing equipment to generate OERs. Our recommendation is that the Air Force take greater advantage of available data processing capability, to include: using ADP equipment to store OER data, tracking the schedule of OERs (in coordination with other personnel actions), and providing some review and quality control functions. In addition, statistical analysis of OERs can and should be performed by computer. A centralized database for OERs (probably at MPC) could provide information as needed to be distributed to (command, wing, or base level) data bases, and in turn, receive input
from them for storage, tracking, and analysis. The evolving "PC3" system would be one potential host for such a database and its software.

The increased use of computer technology is envisioned in each of the three conceptual designs that form the core of this section. A computer would be useful in generating reports on rater and endorser tendencies, in tracking the distribution of top block ratings and in analyzing the pattern of senior levels of indorsement.

Computer technology offers the promise of a major reduction in administrative costs in the preparation of OERs. By linking the computer to an advanced printer, the need to procure, distribute, and store forms can be eliminated. A related, indirect cost savings that could be realized is in the elimination of the many iterations in producing OERs to conform to the current notion that exceptionally high standards of typing, word and line spacing are required. We also suggest that software be developed which will provide user-friendly, menu-driven data entry screens for use by either rater/endorser or clerks.

**Improve Job Descriptions**

Nearly all of our Air Force sources, in interview and focus groups, expressed the opinion that the job description is an important part of the OER, and that it should be strengthened and made more informative. The job description can provide important information to selection boards, especially for officers whose jobs are not well-known "standard" operational positions.

Our recommendation is that standard "shell" job descriptions be prepared for as many officer jobs as possible and stored in a central database. The rater will update the "shell" description as needed, add specifics where applicable, and ensure that the final job description provides a clear, complete picture of the officer's duties and responsibilities. (We envision participation by the ratee in this process, through the...
medium of the OER worksheet, at the beginning of the rating period.) This product should provide promotion boards and other OER users with accurate, up-to-date information to aid their decision-making, while the process of defining the job should facilitate job counseling and communication between the rater and his/her subordinates. An illustration of what such a shell might look like and how the rater might modify it are displayed at Figure V-1.

It should be clear that this recommendation is not offered as a means to inhibit the freedom of the rater to describe/establish job requirements, but rather as a job aid with the potential to make job descriptions more useful both for promotion boards and for job incumbents.

Produce Separate OER Worksheet

Again, through the first round interviews, we found that many young officers want the opportunity for job counseling from their superior officers. This need for institutionalized counseling was also part of the overall guidance for the project objectives.

After evaluating the findings about other organizations and some of the opinions expressed by officers, the study team decided to recommend that a separate OER worksheet and counseling form be used to support communications between the rater and ratee. This worksheet would be used at the beginning of the rating period to document the rating chain and to clarify the job requirements. At the end of the rating period, the worksheet would be used by the ratee to cite accomplishments during the period and by the rater to counsel the ratee on performance and career development. A model of such a worksheet is displayed at Figure V-2.
MATERIEL MANAGEMENT OFFICER, ------ SUPPLY SQUADRON, -------

The Materiel Management Officer (MMO) directs and supervises the administration, maintenance and availability of supplies and equipment in the Materiel Management Branch of the ______ Supply Squadron. The MMO is responsible to the Supply Squadron Commander/Chief of Supply for the efficient management of all items in the supply accounts. The Materiel Branch monitors stock levels, projects future supply needs, responds to requests covering a wide variety of items, and protects against shrinkage or theft of supplies.

Principal challenges include responding promptly and effectively to normal and emergency supply requests, supervising subordinates, and assuring adherence to very stringent and detailed administrative controls. Additional challenges include determining priorities for responding to conflicting requests and using ingenuity when normal channels do not suffice.

Important dimensions include:

<table>
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<tr>
<th>Account class:</th>
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<tbody>
<tr>
<td>Number of subaccounts:</td>
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<td>Value of equipment accounts:</td>
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</tr>
<tr>
<td>U.S. civilians</td>
<td>--</td>
</tr>
<tr>
<td>Foreign nationals</td>
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</table>
SAMPLE JOB DESCRIPTION

B. Modified Job Description. (This is an example of how a rater might revise the shell job description to fit the particular circumstances at that job site).

MATERIEL MANAGEMENT OFFICER, 1776TH SUPPLY SQUADRON, ANDREWS AFB

The Materiel Management Officer (MMO) directs and supervises the administration, maintenance and availability of supplies and equipment in the Materiel Management Branch of the 1776th Supply Squadron. The MMO is responsible to the Supply Squadron Commander/Chief of Supply for the efficient management of all items in the supply accounts. The Materiel Branch monitors stock levels, projects future supply needs, responds to requests covering a wide variety of items, and protects against shrinkage or theft of supplies.

Principal challenges include responding promptly and effectively to normal and emergency supply requests, supervising subordinates, and assuring adherence to very stringent and detailed administrative controls. Additional challenges include determining priorities for responding to conflicting requests and using ingenuity when normal channels do not suffice. MMO services and balances the needs of several organizations located in Andrews AFB, such as the Reserve and Systems Command HQ. Acts as Chief of Supply in the absence of the Squadron Commander.

Important dimensions include:

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<th>II</th>
<th>III</th>
<th>IV</th>
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<tbody>
<tr>
<td>Number of subaccounts:</td>
<td>Note</td>
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</tr>
<tr>
<td>Value of subaccounts:</td>
<td>Note</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Personnel supervised:</td>
<td>Direct</td>
<td>Indirect</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Officers</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Enlisted</td>
<td>2</td>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>U.S. civilians</td>
<td>2</td>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Foreign nationals</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Note: This sample job description was prepared by interviewing an incumbent materiel management officer. The missing data was not available at the time of the interview but should be available to the rater if sufficient advance notice were given.
## FIGURE V-2
OER WORKSHEET AND COUNSELLING FORM

### PART I
RATEE IDENTIFICATION DATA

<table>
<thead>
<tr>
<th>1. NAME</th>
<th>2. SSAN</th>
<th>3. Grade</th>
<th>4. DAFSC</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>5. ORGANIZATION, COMMAND, LOCATION</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>6. PAS CODE</th>
</tr>
</thead>
</table>

### PART II
RATEE - YOUR RATING CHAIN FOR THE EVALUATION PERIOD IS:

<table>
<thead>
<tr>
<th>RATER</th>
<th>NAME</th>
<th>GRADE</th>
<th>POSITION TITLE</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>ADDITIONAL RATER (if any)</th>
<th>NAME</th>
<th>GRADE</th>
<th>POSITION TITLE</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>INDORSER</th>
<th>NAME</th>
<th>GRADE</th>
<th>POSITION TITLE</th>
</tr>
</thead>
</table>

### PART III
RATEE - YOUR UNDERSTANDING OF THE JOB REQUIREMENTS IS:

**JOB TITLE:** ____________________________

Significant duties and responsibilities:

### PART IV
RATEE - LIST YOUR SIGNIFICANT ACCOMPLISHMENTS DURING THE PERIOD

REPORT PERIOD _____ TO _____

\[date\] \[date\]

---

signature date

V-12
## FIGURE V-2

<table>
<thead>
<tr>
<th>PART V</th>
<th>RATER IDENTIFICATION DATA</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. NAME</td>
<td>2. SSAN</td>
</tr>
<tr>
<td>5. ORGANIZATION, COMMAND, LOCATION</td>
<td>6. PAS CODE</td>
</tr>
</tbody>
</table>

## PART VI

### DESCRIPTION OF RATEE'S JOB

<table>
<thead>
<tr>
<th>7. PERIOD OF REPORT</th>
<th>8. NO. DAYS OF SUPERVISION</th>
<th>9. REASON FOR REPORT</th>
</tr>
</thead>
<tbody>
<tr>
<td>From:</td>
<td>Thru:</td>
<td></td>
</tr>
</tbody>
</table>

### 10. JOB TITLE:

### 11. JOB DESCRIPTION:

## PART VII

### COMMENTS ON JOB PERFORMANCE

## PART VIII

### AREAS OF CONCENTRATION FOR IMPROVEMENT OF PERFORMANCE

## PART IX

### AREAS OF CONCENTRATION FOR CAREER DEVELOPMENT

<table>
<thead>
<tr>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
</table>

V-13
The OER worksheet provides a means for a ratee to influence his/her report by providing specific information on the manner of performance of duties to the rater. This merely provides structure and a specific form to what has been an informal procedure. However, adding the requirement for the ratee and rater to agree on the job description and job requirements at the beginning of the rating period provides a means to positively influence job performance.

The other feature of the worksheet which is proposed as a means of improving job performance is the comment of the rater on job performance at the end of the rating period. The subsection labeled "areas for . . . improvement" was included specifically to encourage the rater to identify negatives if they exist and to influence changes in the direction of desired performance. The Air Force culture is such that it is not likely that rating officers would be led to include such comments in the OER itself.

This concept proposes that the worksheet, not the OER, will be the principal mechanism providing feedback to the officer corps on performance. The decision not to rely on the OER for feedback on performance recognizes that the primary purpose for the OER is to discriminate among officers for the purpose of making selections (primarily for promotion). The use of one form for both counseling and discrimination would create conflicting demands on the author (the rater is asked on the one hand to provide documentary evidence, which will help get a good officer promoted and, on the other hand, to list that officer's weaknesses needing improvement.) Resolving this conflict has been the most difficult challenge to revisers of OER for decades. The solution proposed here is to divorce the OER from the counseling process.


**Revise Information Provided to Promotion Boards**

This element addresses the file information provided to the selection boards on each officer under consideration for promotion. First, it is recommended that the number of OERs in the promotion folder be limited. Current practice dictates that all the evaluation reports generated during an individual's career be included in the promotion folder. We are proposing to limit the number of evaluation reports to all reports generated in the present grade, or five evaluation reports (whichever number is higher). For example, if an individual has received four evaluation reports as a captain, then these four reports, and the last OER as a first lieutenant, would be included in the promotion folder. Similarly, if a lieutenant colonel has received six evaluation reports, all six would be part of the promotion folder.

This measure would have considerable impact upon the Air Force officer corps. First, it would reinforce the message that the performance evaluation system has been re-focused to accentuate current or recent performance. In addition, it would take some pressure off both the rater and ratee; since the OER would not have the long-term impact that it has today. This should result in more candid and accurate evaluations. Finally, it would focus promotion board members' limited time on those reports which should have the greatest impact on the promotion decision.

Second, there is a group of special category organizations (SPECAT) which, according to Air Force regulations, receive preferential manning considerations as a matter of policy. In a study of major, lieutenant colonel, and colonel temporary promotion boards for fiscal years 1972-1974, 25 agencies identified as SPECAT were recognized as having "higher quality" officers than did the highest MAJCOM. It is recommended that such a study be updated and those units identified which, by regulation, receive special consideration in terms of the quality of officers assigned and are shown to have significantly higher promotion board scores than the MAJCOMs. It is
further recommended that the list of such organizations and a summary of recent promotion selection rates be provided to each promotion board with instructions that the board is to recognize that the proportion of outstanding officers who are assigned to such organizations is probably significantly higher than most other units.

Finally, it is proposed as a part of each of the conceptual designs that pertinent rating tendencies be furnished to selection boards. Through the use of the computer technologies recommended earlier in this section, the rating/indorsing history of the persons or commands (depending on what level is chosen to provide the discrimination on individual OERs) can be displayed to the promotion boards. Through such reports, individual OERs can be interpreted accurately to differentiate those reports which are inflated from those which represent the canuld judgment of the writer about the rated officer's potential.

**Train All Participants**

Any change in administrative procedures would require additional training for those responsible to execute this procedure. However, any substantial change in the officer evaluation system will require training and educating the entire officer corps. This is true because the OER process affects every Air Force officer as a participant. It is even more significant in light of the study finding that successful implementation of any major changes in the system will require changes in Air Force culture that go far beyond procedure. Thus, training is a major activity addressed in the implementation plan presented in Section VI. To ensure continued success in any officer evaluation process, training must be on-going and continuous.
CONCEPTIONAL DESIGN 1: DIFFERENTIATION THROUGH COMMAND PERSUASION

This alternative OER design, recognizing the strong culture surrounding the current OER process and the potential stress that will be associated with any change, seeks to improve the process while retaining the method of providing discrimination among officers that, to date, has widespread acceptance, i.e., level of final indorsement. Distinguishing features of this design are:

1. The list of performance factors has been reduced in number and the requirement to comment on each has been eliminated.

2. The rater is no longer required to evaluate potential.

3. The discriminating factor will continue to be level of indorsement.

Process

The OER will be prepared annually and batched so that all reports for officers of the same grade are closed out on the same date. Since the discrimination for potential is to be the level of indorsement, and since there is a closed process following command lines to determine which officers receive the higher level indorsements, it appears prudent to rate all officers in a peer group together to provide a fair assessment of each officer in the command. The argument supporting this statement is that if the major commands are going to discipline the system, then competition among officers must be within the command. Otherwise, the commands will be competing with each other for promotion opportunity, an anarchical situation that would work to defeat the system of discrimination proposed.
The identity of the rater, additional rater, and indorser would remain the same as under the current system. The allocation of indorsements at each level of command would be determined in accordance with major command policy.

At the completion of each rating cycle, the military personnel center would produce a report which displays the indorsement tendencies of each major command and separate activity. This report, together with the analysis of the distribution of quality officers to SPECAT units, would give promotion boards the tools needed to interpret OERs and to select the best Air Force officers for promotion.

**OER Form**

A model form that could be used in this design is displayed at Figure V-3. In this scenario, the rater will provide numerical ratings for each of a list of six job performance factors on a five point scale. The performance standards will be displayed in the OER regulation. The rater will also provide comments on duty performance. The regulation will emphasize that the narrative should focus on the performance factors and that it should emphasize accomplishments, not adjectives.

There is space for a career development recommendation. This is a narrative in which the rater may make any comments about the future development of the ratee as a career Air Force officer. Appropriate comments would include future assignment patterns, training and education, and self-improvement. In this section, the rater will make a recommendation on whether or not to augment a reserve officer.

On the reverse side of the form the additional rater and indorser will add narrative comments on performance of duties and potential and evaluate potential on a six point scale. The rater will not evaluate potential.
**OFFICER IDENTIFICATION DATA**

<table>
<thead>
<tr>
<th>1. NAME</th>
<th>2. SSAN</th>
<th>3. GRADE</th>
<th>4. DAFSC</th>
<th>5. DUTY TITLE</th>
<th>6. PAS CODE</th>
</tr>
</thead>
</table>

7. ORGANIZATION, COMMAND, LOCATION

8. PERIOD OF REPORT

9. DAYS OF SUPERVISION

10. REASON FOR REPORT

11. JOB DESCRIPTION

OTHER ASSIGNED DUTIES

**ASSESSMENT OF PERFORMANCE BY RATING OFFICIAL**

**JOB PERFORMANCE FACTORS**

| APPLICATION OF TECHNICAL KNOWLEDGE AND SKILLS | NOT OBSERVED | FAR BELOW STANDARD | BELOW STANDARD | MEETS STANDARD | ABOVE STANDARD | WELL ABOVE STANDARD |
| PLANNING AND ORGANIZATION OF WORK | |
| THE EXERCISE OF LEADERSHIP | |
| MANAGEMENT OF RESOURCES | |
| IDENTIFICATION AND RESOLUTION OF PROBLEMS | |
| COMMUNICATIONS | |

COMMENTS ON PERFORMANCE (Define accomplishments for rating period)

NAME, GRADE, BR OF SVC, COMD, LOCATION | DUTY TITLE | DATE

SSAN | SIGNATURE OF RATING OFFICIAL

V-19
FIGURE V-3

CAREER DEVELOPMENT RECOMMENDATION

EVALUATION OF POTENTIAL

Compare the ratee’s capability to assume increased responsibility with that of other officers whom you know in the same grade. Indicate your rating by placing an “X” in the designated portion of the most appropriate block.

<table>
<thead>
<tr>
<th>RATING</th>
<th>ADDON RATER</th>
<th>INDORSER</th>
<th>RATING</th>
<th>ADDON RATER</th>
<th>INDORSER</th>
<th>RATING</th>
<th>ADDON RATER</th>
<th>INDORSER</th>
<th>RATING</th>
<th>ADDON RATER</th>
<th>INDORSER</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lowest</td>
<td></td>
<td></td>
<td>Highest</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

COMMENTS BY ADDITIONAL RATER

<table>
<thead>
<tr>
<th>NAME, GRADE, BR OF SVC, COM, LOCATION</th>
<th>DUTY TITLE</th>
<th>DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

SSAN | SIGNATURE OF RATING OFFICIAL

COMMENTS BY INDORSER

<table>
<thead>
<tr>
<th>NAME, GRADE, BR SVC, ORGN, COM, LOCATION</th>
<th>DUTY TITLE</th>
<th>DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

SSAN | SIGNATURE OF REVIEWING OFFICIAL

CERTIFICATION OF REPORT BY COMMAND/AGENCY

<table>
<thead>
<tr>
<th>NAME, GRADE, BR SVC, ORGN, COM, LOCATION</th>
<th>DUTY TITLE</th>
<th>DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

SSAN | SIGNATURE OF CERTIFYING OFFICIAL
Rationale

This design enhances the evaluation of job performance by reducing the number of performance factors to those which are demonstrably pertinent to all jobs. Then by tying the rater’s narrative to these factors it can be expected that a more meaningful description of job performance can be attained. This expectation is heightened by the fact that the rater is directed to focus on the performance, not the potential. There also is an expectation that the narrative will focus more on accomplishments and less on puffery, although this may be an unreasonable expectation. The rater-ratee relationship is protected by retaining the discrimination at the level of the indorsement.

The results of the study team’s interviews suggest that, absent meaningful numeric ratings, promotion boards can discriminate among officers based on narratives and level of indorsement. The thrust of this design is to enhance the discipline which the major commands are already providing the system. The effect would be to increase the level of discrimination specificity on each report and to give Air Force leadership more visibility of (and influence over) the process of differentiation being performed by the major commands. This result is achieved by generating more detailed reports... the indorsement patterns in each command and by requiring that annual reports be batched.

Feedback from Air Force officers of all grades suggests that the enhancements to morale offered by inflated reports are important to the culture. The effects of the changes offered in this design are to retain a morale-enhancing report that discriminates for promotion purposes and that substantially reduces the administrative burden now experienced throughout the Air Force in preparing OERs. What this method does not accomplish is to eliminate grossly inflated ratings and their conmitant dangers.
CONCEPTUAL DESIGN 2: DIFFERENTIATION THROUGH RATER PERSUASION

This alternative OER design concept would alter the existing Air Force OER system substantially. Therefore there is a risk that the culture would not adapt to the change and the decision would not be accepted by the officer corps. The major features, however, are now being used in other uniformed service OER systems. As such, they have been demonstrated to be feasible, and there is an existing set of information concerning the effectiveness of each feature used. (This does not suggest that, removed from the parent services' cultures and their integrated OER systems, each feature will work in the same way in an Air Force environment and context).

The distinguishing features of this design are as follows:

1. The rater is required to focus on duty performance only.

2. The indorser provides the principal information used in discriminating among officers.

3. Raters/indorsers would be persuaded to distribute their rating scores along the available scales by publication of their rating tendencies for use both in interpreting their ratings and in evaluating their own leadership abilities. This concept is sometimes referred to as the "rate the rater" technique.

Process

The OER will be prepared annually, and batched so that all reports for officers of the same grade are closed out on the same date. The purpose of this procedure is used to reinforce the guidance to indorsers to consider all officers of a grade when
preparing the promotion recommendation so as to achieve a realistic distribution of scores.

The rater should be the ratee's immediate supervisor. This is the person who determines what the duty requirements will be and who is best situated to evaluate how well the ratee accomplishes the duties.

Criteria will be established for the selection of indorsing officers to ensure that responsible, mature officers perform this duty; but unnecessary inflation of level of indorsing official will not be permitted. For example, the indorsing officer might be designated as the rater's supervisor with the additional requirement that he/she be at least a field grade officer and be at least one grade senior to the officer being rated.

There would be provision for an additional rater if there were a level of supervision between the rater and the indorser. This might happen most often when the additional rater was not at least a field grade officer or when he/she was not one grade higher than the ratee. There would not be a space on the OER form for an additional rater's narrative. Rather, that narrative would be attached on an additional sheet. This is predicated on the belief that additional raters would only be needed on a small minority of the reports.

The report will be prepared on a computer so that, when completed and reviewed at the installation, the administrative information and quantitative ratings will be a part of the data base at the base level. This data base can be shipped electronically to the Air Force Military Personnel Center. At the base level the ratings would be used to recompute the ratings histories of both rater and indorser. These historical summaries would then be available for review by their supervisors when subsequent evaluations are prepared. Thus when officer "A" is evaluating officer "B", "A" should consider "B's" evaluation history and whether "B" complies with Air Force policy. The operative policy
here is that the ability to make candid, realistic evaluations of subordinates is a measure of good leadership.

At the Military Personnel Center, the updated data base would be used to electronically generate a label showing the rating history of each rater and indorser. This label would be affixed to the record copy of each official OER. Thus the selection boards and assignment officers would be able to evaluate ratings for performance and potential in respect to the rater's and indorser's long term tendencies, isolating and discounting the worth of those ratings being inflated. The concept envisions that a three year running average would constitute the rating history for each officer with evaluation responsibilities.

Finally, it is proposed that a report showing each officer's rating history be prepared and placed in the selection folder when he/she is being considered for promotion.

**OER Form**

A model of the form that could be used in this design is displayed at Figure V-4. The rater will provide numerical ratings for each of a list of six job performance factors on a seven point scale. The performance standards will be displayed in the OER regulation. The rater will also provide comments on duty performance. The instructions will emphasize that the rater is to structure his/her narrative around the job performance factors as an outline and that the narrative should focus on deeds, not adjectives.

The indorser prepares the reverse of the form beginning with a career development recommendation. This is a narrative section in which the indorser may make any comments about the future development of the ratee as a career Air Force officer. Appropriate comments would include future assignment patterns, training and education, and self-improvement.
### FIGURE V-4

#### CONCEPTUAL DESIGN 2

**RATEE IDENTIFICATION DATA**

<p>| | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. NAME</td>
<td>2. SSAN</td>
<td>3. GRADE</td>
<td>4. DAFSC</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. DUTY TITLE</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>6. PAS CODE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. ORGANIZATION, COMMAND, LOCATION</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. PERIOD OF REPORT</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>THRU</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. DAYS OF SUPERVISION BY RATING OFFICIAL</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. REASON FOR REPORT</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. JOB DESCRIPTION</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**OTHER ASSIGNED DUTIES**

**ASSESSMENT OF PERFORMANCE BY RATING OFFICIAL**

<table>
<thead>
<tr>
<th>JOB PERFORMANCE FACTORS</th>
<th>DNM=DOES NOT Consistently MEET the performance standards</th>
<th>MSE=MEETS and SOMETIMES EXCEEDS the performance standards</th>
<th>CE=CONSISTENTLY EXCEEDS the performance standards</th>
</tr>
</thead>
<tbody>
<tr>
<td>APPLICATION OF TECHNICAL KNOWLEDGE AND SKILLS</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PLANNING AND ORGANIZATION OF WORK</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>THE EXERCISE OF LEADERSHIP</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>MANAGEMENT OF RESOURCES</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>IDENTIFICATION AND RESOLUTION OF PROBLEMS</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>COMMUNICATIONS</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**SPACE RESERVED FOR MPC USE**

This rater's grading for all (grade) __%
for period (date) __ to __

**COMMENTS ON PERFORMANCE** (Define accomplishments for rating period)

**NAME, GRADE, BR OF SVC, COMD, LOCATION**

**DUTY TITLE**

**DATE**

**SSAN**

**SIGNATURE OF RATING OFFICIAL**
### CAREER DEVELOPMENT RECOMMENDATION

<table>
<thead>
<tr>
<th>OFFICERSHIP FACTORS</th>
<th>DNM—DOES NOT Consistently MEET the performance standards</th>
<th>MSE—MEETS AND SOMETIMES EXCEEDS the performance standards</th>
<th>CE—CONSISTENTLY EXCEEDS the performance standards</th>
</tr>
</thead>
<tbody>
<tr>
<td>INITIATIVE</td>
<td>O</td>
<td>O</td>
<td>O</td>
</tr>
<tr>
<td>RESPONSIBILITY</td>
<td>O</td>
<td>O</td>
<td>O</td>
</tr>
<tr>
<td>DECISIVENESS OF JUDGEMENT</td>
<td>O</td>
<td>O</td>
<td>O</td>
</tr>
<tr>
<td>ADAPTABILITY TO STRESS</td>
<td>O</td>
<td>O</td>
<td>O</td>
</tr>
<tr>
<td>PROFESSIONALISM</td>
<td>O</td>
<td>O</td>
<td>O</td>
</tr>
</tbody>
</table>

**SPACE RESERVED FOR MPC USE**

This rater’s grading for all (grade) ______ for period (date) _____ to _____  %  %  %  %  %  %  %  %

**ENDORSER COMMENTS**

**PROMOTION POTENTIAL**

- Do Not Promote
- Promote With Peers
- Promote Ahead of Peers

**SPACE RESERVED FOR MPC USE**

[This endorser’s ratings for (number) _____ of (grades) _____ during the period (date) _____ to _____]

**REVIEWING OFFICER**

CONCUR  □  NONCONCUR  □

Comments (only if nonconcur)

**REVIEWER'S NAME, GRADE, BR OF SVC, ORGN, COMD, LOCATION**

**DUTY TITLE**

**DATE**

**SSAN**

**SIGNATURE**
Next the indorser would evaluate five officership factors on the same seven point scale. Again, the standards would be displayed in the regulation. These traits are assigned to the indorser under the philosophy that traits are more closely related to potential than to current performance and the burden of estimating potential should be placed on the indorser rather than the rater. Finally, the indorser would evaluate the promotion potential of the ratee (scale of 1 to 7) that reflects the potential of the ratee to perform the duties associated with the next higher grade, in comparison with all other Air Force officers of the ratee's grade. The indorser will also provide a narrative that justifies the officership ratings and the estimate of potential.

The report should be reviewed by the indorser's supervisor unless the indorser is in the grade of colonel or higher. Under most circumstances, when a reviewer is used he/she should be in the grade of colonel or higher. The purpose of the review is to ensure that a senior Air Force officer has viewed the report. In interviews conducted by the study team, colonel is the lowest grade where it was observed that officers consistently expressed concern about a relationship between a credible OER system and the future well-being of the Air Force officer corps.

Rationale

The focus of quality control measures will be on the behavior of indorsing officers. This behavior can be influenced by publishing the indorser's rating history in two forms. First, on each OER a computer generated indorser rating history reveals to selection boards whether the indorser is complying with the spirit of the regulation. An indorser who inflates all reports degrades the value of those OERs which he/she prepares. Second, a computer generated rating history will be placed in the selection folder of each officer being considered for promotion showing how that officer has performed the responsibilities incumbent on indorsing officers. These computer generated reports will create stress for those indorsing officers who do not comply with
the spirit of this OER concept. In addition, inflation of scores can be influenced by a thorough education program for indorsing officers. This program should provide periodic updates of information about statistical trends in OER inflation, a means of reassuring indorsers who comply and pressuring those who do not.

The OER process protects the relationship between an officer and his immediate supervisor by not requiring the supervisor to furnish the most obvious promotion discriminators in the OER. The indorser, who is forced to provide quantitative discriminators, is separated from the ratee by one level of supervision; and the indorser is thus presumed to be more impartial to the conflict between the needs of the individual (recognition through promotion to a higher grade) and that of the organization (select the best qualified through Air Force-wide competition).

Even with the computation of rater histories, the rater can not be expected to contribute much discrimination using job performance and officership factors on the front side of the form. The culture would not permit this much of a change in behavior from the current traditions. However, these factors should be included -- somewhat for the discrimination (a chance to separate the sub-marginal) but more for the purpose of educating the officer corps on the Air Force expectations about performance of duty and the qualities of officership.

The principal discrimination on the OER will be the indorser's rating for potential. This rating would not be specifically controlled; however, by requiring that annual reports be batched by grade and through persuasion it is reasonable to suppose that the majority of indorsers can be influenced to distribute their ratings along the potential scale. The value of a maximum rating will be degraded in the cases where an indorser gives everyone a maximum score. This distribution of scores will be the basis, observed over a time period, that provides a number of reports on each officer for discrimination among levels of potential for promotion.

V-28
CONCEPTUAL DESIGN 3: DIFFERENTIATION THROUGH TOP BLOCK CONSTRAINT

The third alternative OER design also alters the existing Air Force OER substantially. In this third alternative, discipline is introduced overtly through a 10% limitation on the number of top block ratings allowed. This alternative runs the risk of being negatively compared to the controlled system although specific identification of a small percentage of high achievers is now being done through the covert indorsement allocation process.

The distinguishing features of this design are:

1. This entire system is envisioned as a computer-based process. That is, all information on an OER is entered directly into a remote terminal/PC, where it is stored for future access while certain decisions are made about its viability. It is not released to the official record until it has been validated.

2. Rating officers make differentiations between officers but only at the extremes.

3. The indorsing officer is limited to rating only ten percent of the officers in each grade in the top block for potential.

OER Process

This design does not incorporate a change in the current timing of OERs. That is, they would continue to be based on anniversary dates, change of assignments, etc. The major change in this system is that OERs would not enter into the official record until the end of each year. Using current computer technology, OERs would be written or entered on a personal computer or computer terminal so that the ratings are
immediately “banked.” In addition, a printout of the form (which is printed entirely by the computer) is signed and sent through the chain of command to any intermediate commanders, who enter their indorsements on the form, and into the computer data bank. The form is ultimately forwarded to the wing commander. The wing commander's promotion rating is entered into the computer, but not on the physical form which is maintained at wing headquarters until the end of the year. At that time, the wing commander's ratings are validated against the ten percent limitation (see the following section).

As will be explained later, the primary promotion recommendations will be made by the wing commander or equivalent level. The wing commander will be limited to recommending no more than 10% of each grade for below the zone promotions. The form will allow intermediate supervisors to make a recommendation on promotion, but these recommendations will not have to meet the 10% test. These intermediate recommendations are vehicles for supervising officers to encourage the promotion of their best people, those with the greatest potential for greater responsibility in the Air Force. Clearly, it is in the interest of intermediate raters to be selective in their ratings since if they rate all officers as "promote early," they would in effect be leaving the decision entirely to the wing commander, with no real input from themselves.

This identification of highest potential together with some amount of variation in performance ratings provides the promotion board with more overt and factual input than is now available. It is anticipated that this input will be most useful initially in making decisions on below the zone promotions. However, with the passage of time, as the number of OERs in a file builds, individuals will:

1. Be rated as outstanding on some performance factors and not others;
2. Receive different ratings on the same factors for different time periods; and

3. Receive different indorsements at different times.

Given this type of variation, boards will be able to reliably differentiate between officers in a much wider spectrum than just identifying the "top" ten percent.

"Wing commander" is used here as the most typical command level at which rating distributions would be tested. For commands which are not organized into wings, an equivalent level would have to be determined. Also, for levels above the wing level, the indorsing officer would be at least a step removed from the individual, at a rank of O-6 or higher. In any case, the final indorser must have at least ten officers of the rank to be indorsed reporting through the chain of command to him/her or the OER would be forwarded to the next level for indorsement.

This concept also envisions that an additional rater will evaluate the ratee. This additional rater will be the rater's supervisor, unless the rater's supervisor is a wing commander or the equivalent in which case there will be no additional rater. Space will be provided for a narrative where the additional rater can comment on both performance of duties and potential. There will also be a space for a promotion recommendation.

As each OER is indorsed, and the promotion recommendation entered into the computer, the computer will "bank" these ratings against the indorser's "account". This bank will be available for examination by the indorsing officer and/or his designated staff members (through use of an access code) at any time during the year. Thus, the officer (and his/her staff) will be able to verify his/her own records as to whether the indorsing officer is staying within the 10% top block limitation. At the end of the year, the total pattern can be reviewed and changes made. This is intended to give the indorsing officer a chance to review his/her recommendations in light of all officers
rated. This is done simply by changing the recommendation in the computer. When the
indorsing officer is satisfied with his/her final ratings, the recommendations are entered
on the hardcopy OERs, which are then signed and forwarded to the appropriate
MAJCOM and ultimately to MPC. The process is then begun again for the new year.

As the performance ratings are entered by the original rater (or staff person),
they are also "banked" against the rater's "account." It is envisioned that this account
will contain a running, three-year average of performance ratings given by each rater
for each officer grade. This account can be maintained in the exportable OER data
base. Each rating officer will be supplied with a computer report at the end of the year
on the distribution of ratings he/she has given. This distribution will go to the rating
officer and his/her immediate superior. Space has been provided in the job performance
factors section of each OER to display the rater's rating distribution history. This
distribution will be produced by the computer at the end of the year and before indorsing
officers make their final review. This information will also be on the OER when it is
considered by the selection board.

It is recommended that the FY 72-74 study of Special Category Units (SPECAT)
be updated to identify those units which, by regulation, receive special consideration in
terms of the quality of officers assigned and are shown to have significantly higher
promotion board scores than the MAJCOMs. It is further recommended that the list of
such organizations be provided to each promotion board with instructions that the board
is to recognize that the proportion of outstanding officers who are assigned to such
organizations is probably significantly higher than 10%. This design does not
recommend having indorsing officers rate promotion potential within such organizations
against a standard that is different than the 10% for the entire Air Force.
## RATEE IDENTIFICATION DATA

<table>
<thead>
<tr>
<th>1. NAME</th>
<th>2. SSAN</th>
<th>3. GRADE</th>
<th>4. DAFSC</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</tbody>
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<table>
<thead>
<tr>
<th>5. DUTY TITLE</th>
<th>6. PAS CODE</th>
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<tbody>
<tr>
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</table>

<table>
<thead>
<tr>
<th>7. ORGANIZATION, COMMAND, LOCATION</th>
</tr>
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<tbody>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>8. PERIOD OF REPORT</th>
<th>9. DAYS OF SUPERVISION</th>
<th>10. REASON FOR REPORT</th>
</tr>
</thead>
<tbody>
<tr>
<td>FROM</td>
<td>THRU</td>
<td>BY RATING OFFICIAL</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>11. JOB DESCRIPTION</th>
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</table>

### OTHER ASSIGNED DUTIES

### JOB PERFORMANCE FACTORS

<table>
<thead>
<tr>
<th>APPLICATION OF TECHNICAL KNOWLEDGE AND SKILLS</th>
</tr>
</thead>
<tbody>
<tr>
<td>DNM</td>
</tr>
<tr>
<td>MSE</td>
</tr>
<tr>
<td>CE</td>
</tr>
</tbody>
</table>

| PLANNING AND ORGANIZATION OF WORK              |
| DNM                                           |
| MSE                                           |
| CE                                            |

| THE EXERCISE OF LEADERSHIP                    |
| DNM                                           |
| MSE                                           |
| CE                                            |

| MANAGEMENT OF RESOURCES                       |
| DNM                                           |
| MSE                                           |
| CE                                            |

| IDENTIFICATION AND RESOLUTION OF PROBLEMS     |
| DNM                                           |
| MSE                                           |
| CE                                            |

| COMMUNICATIONS                                |
| DNM                                           |
| MSE                                           |
| CE                                            |

### SPACE RESERVED FOR MPC USE (%) (%) (%)

| [This rater's ratings for all (grade) in (year)] |
|                                                |

**DNM** = DOES NOT Consistently MEET the performance standards, **MSE** = MEETS and SOMETIMES EXCEEDS the performance standards, **CE** = CONSISTENTLY EXCEEDS the performance standards

### COMMENTS ON PERFORMANCE (Define accomplishments for the rating period)

### NAME, GRADE, BR SVC, ORGN, COMD, LOCATION

<table>
<thead>
<tr>
<th>DATE</th>
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<tbody>
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<table>
<thead>
<tr>
<th>SSAN</th>
<th>SIGNATURE OF CERTIFYING OFFICIAL</th>
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</tbody>
</table>

V-33
CAREER DEVELOPMENT RECOMMENDATION

<table>
<thead>
<tr>
<th>ADDITIONAL RATER COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

PROMOTION RECOMMENDATION

- [ ] DO NOT PROMOTE
- [ ] PROMOTE WITH PEERS
- [ ] PROMOTE AHEAD OF PEERS

<table>
<thead>
<tr>
<th>NAME, GRADE, BR SVC, ORGN, COMD, LOCATION</th>
<th>DUTY TITLE</th>
<th>DATE</th>
</tr>
</thead>
<tbody>
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<td></td>
</tr>
</tbody>
</table>

SSAN SIGNATURE OF RATING OFFICIAL

INDORSER COMMENTS

<table>
<thead>
<tr>
<th>PROMOTION RECOMMENDATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>[ ] DO NOT PROMOTE</td>
</tr>
<tr>
<td>[ ] PROMOTE WITH PEERS</td>
</tr>
<tr>
<td>[ ] PROMOTE AHEAD OF PEERS</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>NAME, GRADE, BR SVC, ORGN, COMD, LOCATION</th>
<th>DUTY TITLE</th>
<th>DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</tbody>
</table>

SSAN SIGNATURE OF INDORSING OFFICIAL

CERTIFICATION OF REPORT BY COMMAND/AGENCY

<table>
<thead>
<tr>
<th>NAME, GRADE, BR SVC, ORGN, COMD, LOCATION</th>
<th>DUTY TITLE</th>
<th>DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

SSAN SIGNATURE OF CERTIFYING OFFICIAL

V-34
The proposed OER form for this design is displayed as Figure V-5. This design shows a reduction in the number of performance factors to six, on the basis that the more the overall performance is fractionated the less the rater is able to distinguish between the individual aspects which are frequently interdependent and the more the overall attitude toward the individual or "halo effect" will operate. Also, this list isolates those aspects which are separate and critical to the widest variety of jobs. Narratives for each factor will not be required. These performance factors are:

1. Application of Technical Knowledge and Skills;
2. Planning and Organization of Work;
3. The Exercise of Leadership;
4. Management of Resources;
5. Identification and Resolution of Problems; and
6. Communication.

This design also provides for only the rating officer to fill out the performance factor ratings. Each factor will be rated in 3 categories:

1. Does not consistently meet the requirements of the job.
2. Consistently meets and may sometimes exceed the requirements of the job.
3. Consistently exceeds the requirements of the job in significant and substantial ways.

In the Comments on Performance section, the rater makes narrative comments on what the individual has accomplished during the rating period. Orienting the comments in this manner clearly directs the rater toward talking about things that have to do with the primary job. This should be as factual as possible, with the use of descriptive adjectives kept to a minimum. Key points should be bulleted or highlighted to draw the attention of those reading the OER.
The Career Development Recommendation is a narrative section in which the rater may make any comments about the future development of the ratee as a career Air Force officer. Appropriate comments would include future assignment patterns, training and education, and self-improvement. In this section, the rater makes a recommendation on whether or not to augment a reserve officer. This section ends the portion of the OER prepared by the rater.

Space is provided on the form for a unit administrator to certify that the report is correct. It is envisioned that this will be completed at the end of the reporting year by the administrative office having visibility of the wing commander's evaluations during the past year. This section would be completed when the administrator had certified that the number of top block promotion recommendations during the year had not exceeded the 10% limit.

**Rationale**

Given the history of "firewalled" ratings, it is the intention of this system to have rating officers make *some* differentiations between officers but only at the extremes. While this is certainly far from an ideal system it is one which may be workable, given the recent OER history and the Air Force culture. Furthermore, because different people will be considered outstanding on different performance factors at different times, it will, over time, be possible to make much broader distinctions between records than just the extremes.

Specifically, the system was built to recognize that:

1. Air Force officers are not a random selection from the general population, but rather an elite group of highly achieving individuals.
2. In any elite group, there is still a range of talent, including those individuals who stand noticeably above their peers, having an unusually high level of skill and energy for recognizing problems or opportunities and applying the leadership to deal with them. The opposite is just as true, that no matter how select the group, there are always some individuals who fail to live up to the standards.

3. Since most officers are well qualified to perform any assignment for which they have the technical skills, it is not necessary to make fine differentiations in either performance or potential for most of the officer force. There are, however, certain highly challenging and vital positions for which it is necessary to identify that small percentage of our officers who perform best in particular aspects of their current positions and are the natural leaders among their peers.

EVALUATION OF CONCEPTUAL DESIGNS

Section IV presented several critical design criteria which the study team derived from our data analysis. These criteria are not all equally well satisfied by all three of our conceptual designs for the OER. We realized that it was probably not feasible to satisfy all of these criteria in any one design, so each design concentrated on particular criteria, and often failed to completely satisfy some of the others. Table V-1 presents a summary of our evaluation of the extent to which each of the three designs is likely to satisfy each criterion, if it is implemented as we suggest. The following paragraphs evaluate each design, in turn, against the five criteria.
<table>
<thead>
<tr>
<th>DESIGN CRITERION</th>
<th>COMMAND PERSUASION</th>
<th>RATER PERSUASION</th>
<th>TOP BLOCK CONSTRAINT</th>
</tr>
</thead>
<tbody>
<tr>
<td>FOCUS ON JOB PERFORMANCE</td>
<td>HIGH</td>
<td>HIGH</td>
<td>HIGH</td>
</tr>
<tr>
<td>PROVIDE DIFFERENTIATION ON POTENTIAL</td>
<td>MODERATE</td>
<td>HIGH</td>
<td>MODERATE/HIGH</td>
</tr>
<tr>
<td>BE ACCEPTABLE TO OFFICER CORPS</td>
<td>HIGH</td>
<td>MODERATE</td>
<td>MODERATE</td>
</tr>
<tr>
<td>PROVIDE MEANS FOR DEVELOPING SUBORDINATE OFFICERS</td>
<td>MODERATE</td>
<td>MODERATE</td>
<td>MODERATE</td>
</tr>
<tr>
<td>MINIMIZE ADMINISTRATIVE BURDEN</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SHORT-TERM</td>
<td>LOW</td>
<td>LOW</td>
<td>LOW</td>
</tr>
<tr>
<td>LONG-TERM</td>
<td>MODERATE</td>
<td>HIGH</td>
<td>MODERATE/HIGH</td>
</tr>
</tbody>
</table>
CONCEPTUAL DESIGN 1 - COMMAND PERSUASION

Focus on Job Performance

Conceptual Design 1, the one which requires the least change from current OER practices, does provide an improved focus on job performance, with the number of performance factors being reduced to six and the narrative comments on each eliminated. The regulation accompanying this form would emphasize that the rater should focus on job accomplishments in writing his narrative.

Differentiation on Potential

Differentiation of potential would be provided much as it is on the present form, although the additional information provided to selection boards should give more insight into the true value of the potential rating. This design is therefore moderately likely to improve the differentiation of potential.

Acceptability to Officer Corps

This design would probably be quite acceptable to the officer corps because of its similarity to the current form and process: it requires few painful adjustments. This is one of the strong points of this design, and one of the reasons for its inclusion.

Developing Subordinates

This design and the other two are virtually identical in the way in which they provide for the development of subordinate officers; therefore they will not be separately discussed. All would be accompanied by an off-line counseling form which is designed to facilitate the provision of performance feedback and career counseling to the officer being rated. The study team feels that this will constitute an improvement over the current system, which lacks a formal feedback mechanism, but that its real success
will depend upon the effort devoted to training officers to provide effective counseling and feedback to subordinates. The effectiveness of the off-line counseling provisions will also depend upon the Air Force leadership's commitment to and enforcement of the counseling and feedback requirement.

Administrative Burden

Conceptual Design 1 will have little effect on the administrative burden of the OER system in the short term, although the removal of some narrative sections and the use of automation in form preparation will reduce the burden somewhat. The tracking of indorsement histories will require some administrative investment in the short term to develop an automated system, but in the long term is likely to reduce the burden on the commands and the selection boards.

CONCEPTUAL DESIGN 2 - RATER PERSUASION

Focus on Job Performance

Design 2 has a strong focus on job performance, separating the performance factors, which have been chosen to be applicable to all Air Force officers jobs, from the "officership" factors. The instruction accompanying this form would give clear examples of exemplary behaviors for each factor, further emphasizing the focus on how well the officer performs his primary duties.

Differentiation on Potential

Design 2 provides distinct rating factors for officership or potential, which are rated by the indorsing officer. These would support the overall potential recommendation by the indorser. This design, therefore, provides for clear and explicit rating of potential, separate from job performance, and is likely to yield better differentiation than the current system, without the current "covert" component.
Acceptability to Officer Corps

Conceptual Design 2 should be moderately acceptable to the officer corps, although there will be some risk in this respect, since it requires some major changes in rating behaviors. The major risk with this design is that officers will continue to perceive that any rating or indorsement other than top block will be devastating to their career as it is now. Only time and experience would reduce this fear, and the risk is that the officer corps would not give it that time. The keys to such acceptability will be the effectiveness of the training and indoctrination which accompany the introduction of the design, and the widespread credibility of the Air Force leadership's commitment to the new system. The mechanisms for controlling rating inflation should be acceptable if they are applied uniformly across all officer grades and commands.

Administrative Burden

This design, like the first, will require administrative effort to be invested in startup procedures, such as development of software to produce statistical summaries and rater/indorser histories. However, once the system is in place and operating it should be simpler and less burdensome for the officers and the MPC than the current system, since it will be highly automated and it decreases the amount of narrative material to be written and edited.

CONCEPTUAL DESIGN 3 - TOP BLOCK CONSTRAINT

Focus on Job Performance

Conceptual Design 3 has a strong focus on job performance, with an improved job description and simplified performance factor ratings. The performance factors have been chosen to be applicable to the widest possible variety of Air Force officer
jobs, and to represent truly critical behaviors. Narrative comments on performance will be required to deal with accomplishments on the job.

**Differentiation on Potential**

Design 3 provides for the differentiation of potential for promotion by the indorser's explicit promotion recommendation. Indorsement level will not be used to provide this differentiation. The limitation of 10% top block promotion recommendations by the wing commander will force the selection of the very best officers for this rating, although there will be no differentiation among the large number of good but not outstanding officers on this item. However, over time and through a series of reports, discrimination can be made through a much wider range than 10%. Therefore, we estimate that this criterion will be quite likely to be satisfied by this design.

**Acceptability to Officer Corps**

It is our opinion that this design is moderately likely to be accepted by the officer corps, after some initial resistance to the idea of explicit constraint on ratings. As with the other designs and other criteria, much will depend upon the credibility of the Air Force leadership's commitment to this design, and upon how well this commitment is communicated to the officer corps.

**Administrative Burden**

Design 3 will be similar to Design 2 in the requirement for a fairly heavy administrative investment in the initial implementation phases. A mechanism will be needed to track wing commander rating distributions and to keep statistics on performance ratings. However, once the system is up and running, the administrative
burden should be reduced from that of the current system. There will be less narrative to write and edit, and much of the work will be computer-aided.

Viewed against the criterion of acceptability to the officer corps, Design 1 is predicted to do the best, since it requires the least change in "business as usual". The other two designs are somewhat more threatening to the status quo, and are likely to meet stronger resistance. They will require carefully developed and intensive training and information programs to insure acceptance.

All three designs use the same method, an off-line counseling and feedback form, to provide a means for fostering the career development of subordinate officers. As mentioned above, the success of this method will depend largely upon the preparation, training and reinforcement provided to the officers who must work with it.

The criterion of minimizing the administrative burden of the OER system is best accomplished in the long run by Design 2, with Design 3 nearly as efficient. Design 1, with the least change from the current system, is not expected to reduce the burden as much. All would require a front-end investment of resources to develop the requisite hardware, software, documentation, etc., but Designs 2 and 3 would eventually return this investment with automation and aiding of some of the more onerous OER functions.
SECTION VI

IMPLEMENTATION PLAN

This section presents the recommendations of the study for implementation of a revised officer OER system into the Air Force. Obviously in an effort as large as implementing a new OER system there are literally thousands of details which must be addressed before the system becomes a reality. Such an effort is clearly beyond the scope of our contract or our capabilities. What follows are our conclusions about the major issues and aspects of implementation.

The need for a detailed and well thought-out plan for introducing the new system can be best appreciated through review of the lessons learned from the controlled OER era (1974-1978). That OER system is not viewed as successful, and one of the reasons given for its failure was the way it was introduced into the Air Force. This recommended implementation plan takes account of the mistakes and successes of that period, as reported in the Air University study of May 1979 (Phillips, 1979).

This plan is based on an assumption that the Air Force will select a new OER system concept that is substantially different both in process and form from the current OER system. Adopting a minor revision to the current system (such as conceptual design 1) would not require as long to complete, although the case could be made that all of the steps described below would be necessary.

A conclusion presented elsewhere in this study is that the principal flaw of the current system lies neither in the process nor in the form but in the culture surrounding the OER and the resulting behaviors which have inflated scores and compromised the value of the ratings placed on the OER forms. Consequently a strong emphasis should be placed on actions necessary to influence a change in officer attitudes about the OER.
process. A substantial number of such recommended actions are grouped below under the topic of training. However, the scope of actions needed is broader than training, and an effort has been made to integrate this indoctrination program throughout all phases of the implementation plan.

The plan is divided into eight phases:

1. feasibility assessment and final decision;
2. design;
3. development;
4. testing;
5. full scale training;
6. full scale operation;
7. evaluation; and
8. refinement and maintenance.

Each of these phases will be discussed below. Table VI-1 at the end of this section is an implementation schedule. This schedule suggests that, in an orderly transition, the first rating periods under a new OER system could begin about twenty-four months after a decision is made to proceed.

FEASIBILITY ASSESSMENT AND FINAL DECISION

The plan assumes that the Air Force, at the staff level, will select one of the OER concepts under consideration. The first phase of this implementation plan is to prepare the concept for scrutiny by the top leadership and to make a decision to commit significant Air Force resources to implementation. A second assumption is that, rather than entering the Planning, Programming, Budgeting System to compete for resources, the implementation will receive sufficient priority to be funded by diversion of resources from other missions.
In this phase the Air Staff and the Military Personnel Center will test the feasibility of adopting the changed OER system and estimate the resources in terms of dollars, manpower and time needed to successfully adopt the new system -- in other words, conduct a feasibility analysis. An important aspect of feasibility is the assessment of how the proposed change in the OER system will affect other systems in the larger human resource management function.

A part of this feasibility analysis should be to present the recommendation to the major commands and staff agencies for comments. These comments should be incorporated into a decision briefing for Air Force senior leadership.

The outcome of this phase will be the decision to implement the change and an allocation of the resources necessary to execute the change.

DESIGN

So far the change to the OER system has been worked out in terms of outcomes and process. In the design phase of implementation the specifications of the system will be written as well as the specifications for each subsequent phase of the implementation plan.

It would be of great future benefit to the success of the revised OER system to integrate the major commands into the planning process so that they share ownership of the outcome. For this reason, and to provide a staff knowledgeable of a wide spectrum of Air Force issues, it would be beneficial to assemble a multi-command task force to complete the detailed implementation plan.

In this phase the detailed plan will be developed to implement the change. Some aspects requiring particularly fine detail include:

1. systems requirements and specifications;
2. identification of implementing agencies (Air Staff, MPC, Air University, contractor, etc.);
3. test plan;
4. training;
5. publicity;
6. time-phased start-up; and
7. evaluation.

The outcome of the design phase will be a detailed plan encompassing each phase of the implementation program. A particularly significant element of this plan is that of evaluation. In the evaluation plan the design team will write the standards by which the success of the implementation will be measured. The importance of designing the evaluation plan early is that evaluation can begin early and the developers and implementers have an on-going evaluation as a control to assist them in maintaining standards of quality throughout the implementation cycle. A second significant aspect of the design phase is the designation of the lead agency and supporting activities to accomplish the implementation.

Public relations activities should begin immediately after the decision is made to proceed with a revision to the OER system. This activity should be integrated with each phase of the implementation and, therefore, is not appropriately a separate phase. During the design phase the Air Force officer corps should be informed that the decision has been made to revise the OER, that design of the revised system is underway, and of the reasons militating for a change. Thorough planning for publicity in the design phase will be highly supportive of success in shaping officer attitudes about the OER change.
DEVELOPMENT

In the development phase the materials, programs and systems envisioned in the design will be created. These are the tangible assets of the revised OER system which must be in place before the changeover to a new process and form can be made. The development phase will also produce those training and education materials that will be used to influence officer attitudes and behaviors toward the cultural changes needed if the revised OER system is to be a success.

Development need not be deferred until all design work has been completed. The proposed milestone schedule at Figure VI-1 suggests that design and development can proceed to some extent in parallel with a phase lag in development to preclude the double effort that could result when a design change is made in a sub-system for which products might have been developed otherwise.

Some of the activities during the development phase include the following:

1. Validate the information management system requirements and write the detailed systems specifications.

2. Procure or identify existing information processing equipment which will be used to support the revised OER system.

3. Write, test, and debug the software which will be needed to enter, process, store and retrieve the OER data to be developed in the new system. (This may be a step on the critical path toward completion of a successful implementation.)

4. Write and validate the OER and related forms to be used in the new system.
5. Prepare revised regulations, instructions and supporting information that will be used by administrators, raters, and indorsers under the new system. An important subset of this information would be that documentation of the automated information system needed by users. These materials should be prepared, coordinated, and published prior to the next phase.

6. Develop training materials to be used in training of users and administrators of the new system.

7. Prepare additional publicity and promotion materials.

TESTING

A test of the new OER system should be conducted prior to proliferating the system Air Force-wide. This test should be constructed to simulate as closely as possible its projected use when fully in place. For that reason, the test should not be conducted until the completion of the development phase.

The test should be conducted in representative smaller units of each of the major commands and several of the more significant separate activities (Air Staff, MPC, Air University, etc.). The size of each test unit should be restricted to the smallest necessary to exercise the system fully and to yield a statistically significant sample of reports. On the other hand, as many different commands should be included as resource availability will allow.

Some mechanism should be included in the test which will heighten the realism of the exercise. (One of the lessons learned from the controlled OER period was that the test did not reveal the extent of resistance to the change which the officer corps would express when the new system was fully operational.) An example of a mechanism
which might make the test more realistic would be a requirement for the rater and/or
indorser to brief the report to the ratee and for the Air Force to collect attitude data
from all three by means of a survey conducted in the evaluation of the test.

Some actions which should be conducted in the testing phase include the
following:

1. Select and notify the test units;

2. Train representatives from each test unit to train their units and
administer the test;

3. Train administrators, raters, and indorsers in the test units;

4. Conduct a rating cycle using the new system;

5. Evaluate the results. Some issues to be evaluated would include:
   - administrative procedures;
   - effectiveness of information systems;
   - the distribution of ratings.
   - the usefulness of the OER data to selection boards;
   - counseling compliance and its effectiveness;
   - officer attitudes about the revised system; and
   - success of the training programs.

6. Following the test evaluation consideration should be given to adjusting
the system to account for lessons learned from the test.
The study team believes that the best control group is either an external set of units or a set of previous reports on the same officers. Doing simultaneous reports under new and old systems is likely to introduce an auto-correlation error that will confound the results. Therefore, such a technique would not provide an effective control.

FULL SCALE TRAINING

Lessons learned from the implementation of the controlled OER in 1974 suggest that a good training program is essential to the successful conversion to a different OER system. Therefore, the training phase should be carefully planned and vigorously executed. The training conducted for the test units as a part of the previous phase should be carefully evaluated and the results incorporated into the full scale training programs.

Training is needed in two major areas. First, there is an obvious need to train officers in the procedural steps they will take in executing the OER system cycle. As a part of this aspect of the training program, provisions should be made for training that will change officers' attitudes about the OER process. It is an observation of the study team that it would not be practical to design an OER system which cannot be "gamed" by officers determined to do so. Therefore, in concert with the persuasion and control mechanisms built into the system, the training program should seek to create an attitude in the officer corps in which the majority of officers comply with the spirit of the revised system.

A second area on which training should be focused is that of the counseling of subordinates. The experience of the other Services and that of the firms observed in private industry parallels that of the Air Force -- counseling is a task that supervisors are reluctant to do, which most do poorly absent adequate preparation, and one for

VI-8
which good training programs can increase the effectiveness of most supervisors. This is a chronic rather than an acute challenge and thus suitable for a long-range training perspective. In that regard counseling may be a subject best addressed through a combination of pre-commissioning and professional military education programs.

Steps which may be included in the training program include:

1. Develop sets of training programs suitable for use in units as well as in the various institutional environments;

2. Train major command and separate activity training teams;

3. Major command and separate activity teams train raters to perform evaluations and counseling; train endorsers to evaluate and maintain quality control of OERs;

4. Train the promotion secretariat in the revisions and to prepare materials for orientations of promotion board members; and

5. Begin revised training/education in the OER system in the Air Force institutional programs.

FULL SCALE OPERATION

Air Force-wide implementation of the revised OER system is dependent on the speed with which the supporting systems can be developed and proliferated. The milestone schedule at Figure VI-1 suggests that evaluations under a revised OER could begin two years after the decision to proceed is made.

The principal question concerning full scale operation is, what schedule should be followed in converting from evaluations using the Air Force Form 707 to the new form and procedure? The operative consideration is that the revised OER system requires
that a cultural change be effected among the officer corps. This change must be such that evaluators are more candid in their ratings. Therefore, it is desirable that the conversion be accomplished in a short period of time, and that the Air Force not operate two OER systems simultaneously which have different perspectives on what honest and candid evaluations should say about officers who are being evaluated.

The transition should be initiated with a close-out report for all officers using AF Form 707. This will be the opportunity for all units that are now manipulating the system to complete whatever distribution of indorsements they are working toward. Having a close-out report for all officers means that all start under the new system from the same point and have more or less equal opportunity to receive favorable evaluations in the future.

It would be desirable to make all the close-out reports effective on the same day, but such a procedure would create an extraordinary administrative burden. Therefore, the transition should be planned to occur, by grade, over a period of not more than 90 days.

Following the close-out, reporting would begin on a routine basis for each grade. The transition will be the smoothest if the sequence is in inverse grade order (begin with Colonels). Thus, in the transition to the new system, each evaluator (rater and indorser) is already being evaluated under the system before he/she is required to complete a report. It is also prudent to schedule the close-out report for lieutenant colonels immediately prior to a primary zone promotion board for selection for colonel. Therefore, lieutenant colonels, who have relatively low promotion opportunity, will be the last grade group to meet a promotion board under the new system. Similarly, the promotion boards for selection to captain and major, where the promotion opportunity is relatively high, should be scheduled so that many officers meet the board with an evaluation under the new system in their file. The high selection rate of these officers
should be publicized to demonstrate that the new system will operate fairly and that the right officers (high performing) will be promoted.

Steps in the full scale operation phase include:

1. Expand the information program;
2. Disseminate regulations and instructions;
3. Install and test hardware, and software;
4. Phase out AF Form 707 with close-out reports by grade;
5. Begin reporting under the revised system, also by grade; and
6. Continue training.

EVALUATION

There is a need for continuing evaluation from the outset of the implementation period, but a well thought-out and energetic evaluation phase should begin with full scale operation under the revised OER system. The evaluation program should be centralized in the Air Force rather than being delegated to the major commands, as it is today. Also, there should be provision to continue the evaluation phase indefinitely into the future as an Air Force headquarters function. (In this regard there is a separate recommendation, elsewhere in this report, that the Military Personnel Center OER quality control capability be augmented.)

Some of the items which should be evaluated include:

1. Operation of the developed technology;
2. Compliance of raters and indorsers with the instructions and the spirit of
   the new system. This should include an evaluation of the distribution of
   ratings;

3. Quality of OER related information furnished to promotion boards;

4. Promotion board results using the new OER input;

5. Compliance with the counseling provisions of the system; and

6. Officer corps attitudes concerning the changes.

REFINEMENTS AND MAINTENANCE

An effective evaluation program will provide the basis for making changes to
improve the operation of the OER system. In this regard it is the view of the study
team that future changes would be feasible and desirable if they could be accomplished
by an evolutionary rather than a revolutionary process. Such changes could be viewed as
necessary maintenance to the system.

The concept designs proposed in Section V are thought to be feasible but may
not accomplish all that the ideal evaluation program would do. Some future refinements
which might be necessary or desirable include:

1. More stringent discipline to the distribution of ratings may be necessary
   if inflation is excessive;

2. If counseling does not prove to be adequately performed, compliance
   measures may be added to the system;

3. The Air Force may wish to institute performance improvement measures
   that resemble management by objective more closely, such as participative
   goal setting, for example.
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<tr>
<th>PHASE</th>
<th>TIME (Years)</th>
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<tbody>
<tr>
<td>1. Feasibility Study</td>
<td>1</td>
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<td>2. Design</td>
<td>2-3</td>
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<td>3. Development</td>
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<td>4. Pretest</td>
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<td>5. Full Scale Training</td>
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<td>6. Full Scale Operation</td>
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<td>7. Full Scale Evaluation</td>
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<td>8. Refinement, Maintenance</td>
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**Initial Major Effort**

**Ongoing Effort**
SECTION VII
CONCLUDING COMMENTS AND RECOMMENDATIONS

In the course of this project we have studied performance appraisal from a historical perspective, as it is practiced in the private sector, as it is conducted in the military services, and, of course, as it is conducted in the Air Force. While each organization has some distinguishing needs or cultural characteristics, it may be said overall that performance appraisal is at best an inexact science as well as a highly emotional issue. Inflated ratings are typical and recurring in almost all organizations. In short, performance appraisal is a very onerous but necessary human resource management function.

Performance appraisal in the United States Armed Forces is differentiated from almost all other organizations because of the up or out system. Most organizations use performance appraisal for short-term compensation decisions, e.g., annual merit increases, bonuses, etc. Performance appraisal in the Armed Services, however, is the basic tool for shaping the officer workforce; the ultimate function of the process is to select an ever smaller population at each successive officer grade. With this thought in mind, the case could be made that the military services have a greater responsibility towards achieving accuracy in performance appraisal than most organizations. This need for accuracy in leadership identification is extremely important for each service, in part because of the training and development costs invested in each officer, but more importantly, to assure that the best possible leaders reach the higher grades. In addition, this consideration extends to the need to provide individual officers with the information necessary to make career and career development transition decisions.

The current Air Force performance appraisal instrument, the OER Form 707, is probably as sound as most performance appraisal instruments used in large organizations. The process surrounding this instrument, however, as well as the culture do not support
efficient or accurate use of it, precisely because of the possible negative implication of such accuracy, i.e., a terminated Air Force career.

During most of the history of the Air Force OER, this cultural orientation toward inaccuracy, seen in inflated OER ratings and gaming of the system in a multitude of ways, has become ingrained as basically acceptable, and has become an almost obligatory responsibility of principal raters.

A primary observation of this study is that it is not so much the OER form which must be changed to introduce control, nor is it the process. The ingrained cultural attitude of the officer corps must be reoriented from acceptance of inaccuracy in OER preparation to a requirement for accuracy. We realize that such an attitudinal/cultural change would have to occur gradually and would have to be reinforced from several different sources.

RECOMMENDED INITIAL STEPS

DEFINE THE PURPOSE(S) OF OER

Air Force regulations cite no fewer than six purposes for the OER, substantially more than the number of purposes for evaluation systems reported by other organizations. The Air Force should focus the purposes for which the OER is to be used on those for which it is most effective, and communicate those purposes to users of the system.

PROVIDE STRONG LEADERSHIP SUPPORT

First, the Air Force leadership should clearly define and publish the exact purpose(s) of the OER as it is intended to be used on a day to day basis. Along with this definition should come criteria for the selection boards for promotion decisions, which would again be public knowledge. (For example, the Chief of Staff's desire to
view a record of good performance in cockpit jobs as sufficient basis for promotion through lieutenant colonel.) Different criteria are relevant for different grades, and these differences should be articulated and published so that junior officers become familiar with and internalize the fact that their perspectives and leadership abilities must grow if they are to continue to be promoted to higher grades throughout their career.

In addition, it is essential that the Air Force leadership give a strong signal that it is committed to a candid, accurate OER process. This could include such actions as advising MPC to return OER's from raters, indorsers, or commands with inflated distributions or advising the selection boards to give less credibility to the ratings of such raters, indorsers, or commands. "Accuracy in OER preparation" could also be included as a performance factor on the OER.

RECOMMENDED CHANGES TO OER PROCESS

INSTITUTE NEW RATING PROCEDURES

Although we believe that an attitude change toward the OER process is more important than a "fix" of the current form, we do not want to discount the assistance that procedural change could lend in achieving cultural change.

As described previously in this report, there are many habits in OER writing and rating which have become institutionalized. Adoption of one of the conceptual designs given in Section V would, at the very least, appear different from the current process and would require changes in how an OER is prepared.

In addition, adoption of the second or third conceptual designs should mandate substantive change in the ratings officers receive. Of these two alternatives, we believe that the alternative of having the wing commander select 10% for top block ratings would be the more acceptable alternative to the officer corps. This is recommended
because the results of the data collection showed that Air Force officers are willing to
differentiate the top and bottom extremes of performance but are uncomfortable making
finer distinctions or differentiating among the majority of competent officers as would
be required more in the second alternative.

PROVIDE FEEDBACK ON PERFORMANCE

Each of the three conceptual designs described in Section V includes provisions
for off-line job/career counseling. In addition to the valuable advice a subordinate
could receive from his/her supervisor, we see such counseling as another opportunity for
institutionalizing a commitment to accuracy in evaluation.

This institutionalization could occur if the rest of the overall scenario was
functioning as recommended. For example, we have recommended that criteria for
selection be better defined to the boards and that these criteria be made public
knowledge. In turn, through PME and other training, raters would learn these criteria,
receive instruction on how to counsel subordinates relative to these criteria, and finally,
receive guidance as to the importance of giving advice as well as accurate assessments of
performance during the off-line counseling sessions.

Over time it would become apparent to the population at large that OER
assessments and promotion results were congruent with each other, and the system would
develop the required credibility.

REDUCE THE FREQUENCY OF OERS FOR LIEUTENANTS

The current Air Force policy is for lieutenants to be formally evaluated every six
months. The study conclusions are that lieutenants should be evaluated on the same
basis as all other officer grades (yearly). There are two reasons supporting this
recommendation. First, not enough additional information accumulates in a six month
period for a rater to add significantly to the previous report of performance. We recognize the need for added feedback at this early stage, but feedback could be provided through non-OER channels. Second, reducing the number of evaluation reports would significantly decrease the administrative burden of performance evaluations upon the units.

RECOMMENDED IMPLEMENTATION ACTIONS

Implementation of a new OER form will, of course, be the first opportunity to publicize the changes in policy. We assume that this will be done through promotional literature, PME, OER-specific training, and guidance through the chain of command. We would also expect that a rather high percentage of the officer corps will view the new form as simply another drill in procedural change.

For this reason we recommend that heavy emphasis be placed on advertising the other steps recommended above. No matter how thorough the implementation phase is, there other steps are required to form the foundation as well as the maintenance structure for a real and continued commitment to accuracy in OER preparation.

PROVIDE TRAINING AND INDOCTRINATION SUPPORT

A commitment to accuracy in OER preparation should be supported by appropriate instruction being included in pre-commission training, transition training, and Professional Military Education (PME) schools and courses throughout an officer's career. The idea here is to bring about and continually support a code of accuracy -- akin to an honor system -- toward the OER.

This training, as well as the other actions recommended, could also assist in removing some of the discomfort which some officers, particularly younger ones, feel toward the current system. Apparently there is a heavy emphasis in the current training
and indoctrination materials concerning the honesty and integrity of the Air Force officer corps and systems. Some officers see the current and conflicting system of allocating indorsements covertly and firewalling ratings publicly as being in contradiction to "honesty and integrity."

**CHANGE INFORMATION PROVIDED TO SELECTION BOARDS**

**Limit the Number of OER's in the Promotion Folder**

Current practice dictates that all the evaluation reports generated during an individual's career be included in the promotion folder. The Air Force should consider limiting the number of evaluation reports to all reports generated in the present grade, or five evaluation reports (whichever number is higher). For example, if an individual has received four evaluation reports as a captain, then these four reports, and the last OER as a first lieutenant, would be included in the promotion folder. Similarly, if a lieutenant colonel has received six evaluation reports, all six would be part of the promotion folder.

This measure would have considerable impact upon the Air Force officer corps. First, it would reinforce the message that the performance evaluation system has been re-focused to accentuate current or recent performance. In addition, it would take a fair amount of pressure off both the rater and ratee, since the OER would not have the long-term impact that it has today. This should result in more candid and accurate evaluations.

**Identify Special Category Organizations (SPECAT)**

According to Air Force regulations, certain organizations receive as a matter of policy, preferential manning considerations. In a study of FY72-74 major, lieutenant colonel, and colonel temporary promotion boards, 25 agencies identified as SPECAT
were identified as having "higher quality" officers than did the highest MAJCOM. It is recommended that such a study be updated and identify those units which, by regulation, receive special consideration in terms of the quality of officers assigned and are shown to have significantly higher promotion board scores than the MAJCOMs. It is further recommended that the list of such organizations be provided to each promotion board with instructions that the board is to recognize that the proportion of outstanding officers who are assigned to such organizations is probably significantly higher than ten percent.

**Reduce Importance of Photo in the Promotion Folder**

A considerable degree of hostility was expressed to the study team over the inflated importance of details which have become associated with the picture in the folder. Variations such as how good the photographer is, how photogenic the officer is or individual likes and dislikes of those serving on promotion boards are all factors which are seen as unnecessarily biasing in relation to the picture. It is recommended not to eliminate the picture from the promotion folder, but to reduce its size (e.g., to 3" x 5"), in order to decrease the amount of attention given to potentially biasing minute details.

**OTHER ISSUES**

Several issues not directly associated with officer evaluation were identified during the data collection and analysis stages of the project. The scope of the study did not allow for development of each of these issues into a well substantiated conclusion and recommendation, but the project team was motivated to mention several of these issues because of the breadth of concern observed among Air Force officers interviewed.
CAREER DEVELOPMENT ISSUES

First, the team observed widespread uncertainty over the fundamental question of what the desired or expected career paths for Air Force officers are. It is suggested that a more precise concept of professional development should be articulated by the Air Force to the officer corps. For example, in today's Air Force, is it valid for an individual to say that he/she just wants to be a pilot? The answers to these and other career-related questions should be pursued, along with an assessment of their impact on the performance evaluation system.

Second, it was observed that many junior and mid-grade officers are reluctant to admit or are ignorant of their reasonable promotion expectations. The existence of the grade pyramid is a fact bearing heavily on attitudes about the OER system, yet the observations accumulated by the project team suggest that the Air Force has not clearly articulated the implications of this grade pyramid for the career planning of officers.

Finally, there are a group of career development issues that center around the phase points for promotion. Among these are:

1. The large opportunity for below the zone promotion selection has a profound impact on the OER system. Among other implications, it encourages widespread "gaming" of the distribution of top endorsements.

2. The selection for promotion to major has profound psychological effect on officer attitudes; as this is the first point where significant numbers of competent officers are selected out of the Air Force. The phase point occurs at a time when it may be difficult for the officer selected out to transition back to a civilian career because of his/her age and lack of recent, civilian experience. Under the current OER system, many of
these officers have not been prepared for the prospect that they might be released. The anxiety extends far beyond the cohorts who might be affected.

It is the conclusion of this study that these issues are not readily addressed by changes to the OER system. Rather, it is recommended that the Air Force look to other career development solutions to these challenges.

AIRMAN PERFORMANCE REPORT

Senior non-commissioned officers are evaluated using the Airman Performance Report (APR). This report is allowed to escalate above the level of immediate supervision for final indorsement, in a manner similar to the OER. It is recommended that, if the Air Force chooses to change the OER process, an evaluation of the APR be immediately undertaken with a view toward coordinating the two systems and the policies which underlie them.
APPENDIX A

REFERENCES


OTHER READINGS


APPENDIX B

SUMMARY OF PERFORMANCE APPRAISAL METHODS

Numerous techniques or formats have been developed in attempts to evaluate ratee performance accurately, reduce the judgmental and measurement difficulties associated with performance appraisal, assist in providing feedback to ratees, and lessen the administrative burden appraisals place on an organization. Each type of appraisal method has, of course, both advantages and disadvantages, depending on the specific objectives intended for it and the organizational setting in which it is to be employed.

The purpose of this appendix is to describe the major performance appraisal methods in use today. Evaluations of the potential usefulness of these methods to the Air Force is contained in Section III of the text of the report. The following is a list of methods to be described:

<table>
<thead>
<tr>
<th>Method</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Graphic Rating Scale</td>
<td>B-2</td>
</tr>
<tr>
<td>B. Trait Appraisal</td>
<td>B-2</td>
</tr>
<tr>
<td>C. Narrative Essay</td>
<td>B-3</td>
</tr>
<tr>
<td>D. Work Sample Tests</td>
<td>B-3</td>
</tr>
<tr>
<td>E. Critical Incident Technique</td>
<td>B-4</td>
</tr>
<tr>
<td>F. BARS/BES</td>
<td>B-5</td>
</tr>
<tr>
<td>G. Behavioral Observation Scales</td>
<td>B-8</td>
</tr>
<tr>
<td>H. Behavior Discrimination Scales</td>
<td>B-10</td>
</tr>
<tr>
<td>I. Weighted Checklist</td>
<td>B-13</td>
</tr>
<tr>
<td>J. Simple Ranking System</td>
<td>B-15</td>
</tr>
<tr>
<td>K. Forced Choice</td>
<td>B-17</td>
</tr>
<tr>
<td>L. Forced Distribution Ranking</td>
<td>B-20</td>
</tr>
</tbody>
</table>
The graphic rating scale is an appraisal method in common use, particularly for positions below managerial levels.

All rating scales share the properties of calling for the rater's judgment of the ratees job performance along an unbroken continuum (e.g., excellent to unacceptable), or into discrete categories (e.g., superior, satisfactory, unsatisfactory) within a continuum. In the typical appraisal using graphic rating scales, the rater is given a list of job dimensions and told to rate the employee in each of the dimensions using the scale. A major problem with such scales is that words like "superior" and "average" have different meanings to different raters, which affects the reliability of the instrument. Contemporary versions are likely to use scales featuring descriptive statements of different levels of performance for each dimension. Choices along the scale for each dimension may be assigned points, and total scores may then be computed for each employee. The Performance Factors section of the Air Force Form 707 is an example of a graphic rating scale technique.

B. TRAIT APPRAISAL

The ratee is understood as an individual composed of various amounts of initiative, cooperativeness, loyalty, creativity, commitment and the like. The trait approach is based on such personality characteristics. In this approach the appraiser
focuses on the personality traits of the employee, and uses these to rate the employee's performance. For instance, employee A shows initiative, therefore, is committed to the job. The emphasis is on the potential predictor for performance and not performance itself.

A typical trait performance appraisal form contains a number of employee qualities and characteristics to be judged, such as leadership, emotional stability, attitude, job knowledge, communication skills, ability to adapt, and so on. These traits are then evaluated on rating scales. The scales may be broken into many parts or points, and the appraiser is required to mark against which point best describes the employee. For example, on employee dependability, the points may be a) above average; b) usually dependable; c) sometimes careless; and d) unreliable. It is also usual to find a question like, "What traits may help or hinder the employee's advancement?"

The trait approach is more inclined towards the individual as a person, and rates the individual as such, rather than his or her job performance.

C. NARRATIVE ESSAY

The rater prepares a written subjective report of the performance of the ratee. Specific issues or performance in given areas can be highlighted by the rater. Frequently raters are asked by their organizations to indicate the ratees' performance in certain areas, e.g., equal employment opportunity and affirmative action.

D. WORK SAMPLE TESTS

Individuals being rated are given tests, usually hands-on type exercises, of specific critical skills of their job. These tests are then scored to determine the individual's proficiency in the job.
E. CRITICAL INCIDENT TECHNIQUE

Job incumbents and/or supervisors are asked to develop incidents that discriminate between successful and unsuccessful performance, or those behaviors which are crucial to the job.

This method requires the observer (usually the supervisor) to be knowledgeable of the requirements and goals of a given job. He/she must be a person who sees these people perform the job on a regular basis, so that they may describe to a job analyst incidents of effective and ineffective job behavior that they have observed over the past six to twelve months.

The specific steps in conducting a job analysis based on the critical incident technique is as follows:

1. **Introduction** - The job analyst tells the observer to determine what makes the difference between an effective and ineffective (position) (e.g., a secretary, engineer, or technician). The analyst must then explain exactly what he/she means by effective and ineffective.

2. **Interview** - The observer is asked to think back over the past six to twelve months and come up with specific incidents that they themselves have seen occur, without mentioning any of the specific employees' names. They are asked to report at least five effective and five ineffective incidents, and in order to collect a representative sample of incidents it is recommended that at least 30 people be interviewed for a total of 300 incidents.
This method focuses on key dimensions of responsibilities which then help in the selection and appraisal of personnel for such positions. Examples of critical incidents are:

POSITION: PERSONNEL OFFICER

In classifying a position, fails to take into account other functions in the unit or in the larger organization which impact the position being classified.

In discussions related to filling a difficult position, will explore all possible mechanisms for filling the position and talk to program officials to ascertain cause of difficulty in locating applicants before making a recommendation.

Does not ask employees for additional information which might help in becoming qualified for a position.

Agrees with supervisor's request that an overgraded employee be overlooked during the review period.

Identifies potential interpersonal conflicts due to differences in personality, age, race, etc., between parties to a grievance before making a decision.

F. BARS/BES PERFORMANCE APPRAISAL SYSTEM

BARS/BES, developed by Smith and Kendell in 1963, is based on job analysis, notation of critical incidents and a rating scale. The critical incidents of the employee must be observed by the supervisor. This system deals with expected behavior.
This system requires the manager to work with the employee to achieve mutually acceptable goals and desirable behavior. BARS/BES forces the supervisor and the employee to communicate ideas which promote better understanding as well as ensuring behavioral changes to improve employee performance.

Critical Incidents

Illustrate what the employee has done or failed to have done that have resulted in unusual success or failure. They are NOT opinions or generalizations concerning the employee.

BARS

Behaviorally Anchored Rating System - Uses a rating scale and behavioral anchors (or critical incidents) related to the criterion being measured.

BES

Behavioral Expectation Scale - Focus on expected performance.

Development Of BARS/BES System

Group I - Using job analysis, critical incidents are gathered describing competent, average and incompetent behaviors from categories relevant to the job. Ex: Math/technical, administrative ability. Each category corresponds to criterion for evaluating the employee.

Group II - Group allocates each critical incident to a criterion category. If incidents are not assigned to the same dimension by 80%, those incidents will be omitted, thus eliminating ambiguous incidents.
Group III - Members receive a booklet containing criteria categories plus a list of incidents defining each criterion. Group rates each incident typically using a 7-point system (7 - outstanding, 1 - poor job performance). The numeric value is derived from the mean of all the members' ratings. These become the ANCHORS on the rating scale. Anchors aid the supervisor when defining the employee behavior. Items will be worded as: "could be expected to work overtime" rather than "works overtime".

RATING SCALE TO DETERMINE ANCHORS RELATED TO CRITERION OF "PERSEVERANCE" (COMPUTER PROGRAM)

How perseverant is the employee?

___________Could be expected to keep working until difficult task is completed.

___________Could be expected to continue working on task beyond normal working hours.

___________Could be expected to continue on task until an opportunity arises to work.

___________Could be expected to need frequent reminder to continue on task.

___________Could be expected to ask for new assignment rather than face difficult task.

___________Could be expected to stop work on difficult task at first indication of complexity of the task.
G. BOS - BEHAVIORAL OBSERVATION SCALES

BOS is a behaviorally based appraisal measure whereby judges rate incidents obtained in the job analysis in terms of the extent to which each incident represents effective job behavior.

The specific steps in developing a BOS Appraisal System are as follows:

1. Individuals who are aware of the aims and objectives of a given job, who frequently observe people performing that function, and who are capable of determining whether the job requirements are being performed satisfactorily are interviewed. These individuals are asked to describe incidents that are examples of effective or ineffective behavior (critical incidents). Incidents which describe essentially the same behavior are grouped into a behavioral item.

2. Clusters of behavioral items which are similar are grouped together to form one overall criterion or behavioral observation scale (BOS). The grouping can be done by job incumbents or analysts.

3. Incidents are placed in random order and given to a second individual or group who reclassifies the incidents. Interjudge agreement is assessed by counting the number of incidents that both groups agree should be placed in a given criterion divided by the combined number of incidents both groups placed in that criterion. If the ratio is below a previously agreed upon number, the items under the criterion are reexamined to see if they should be reclassified under a different criterion and/or if the criterion should be rewritten to increase specificity.
4. The BOS criterion are examined regarding their relevance to content validity. People who are intimately involved with the job evaluate the system to see if the criterion include a representative sample of the behavioral domain of interest as defined by the job analysis.

5. A 5-point Likert scale is assessed to each behavioral item. Percentages are assigned to the five points on the Likert scale, designating the number of times an employee has been observed engaging in a particular behavior.

6. A decision must be made as to whether the scales will be weighed. This is needed because each scale or criterion contains a different number of behavioral items. An overall performance rating is usually compiled by averaging across all criterion regardless of the number of items used in each criterion. The score received on each BOS criterion can be used to compute the overall performance rating for each incumbent.

Example of one BOS criterion for evaluating managers.

For each behavior a 5 represents almost always or 95% to 100% of the time; a 4 represents frequently or 85% to 94% of the time; a 3 represents sometimes or 75% to 84% of the time; a 2 represents seldom or 65% to 74% of the time; and 1 represents almost never or 0% to 64% of the time.
Overcoming Resistance to Change:

1. Describes the details of the change to subordinates.
   Almost Never 1 2 3 4 5 Almost Always

2. Explains why the change is necessary.
   Almost Never 1 2 3 4 5 Almost Always

3. Discusses how the change will affect the employee.
   Almost Never 1 2 3 4 5 Almost Always

4. Listens to the employee's concerns.
   Almost Never 1 2 3 4 5 Almost Always

5. Asks the employee for help in making the change work.
   Almost Never 1 2 3 4 5 Almost Always

6. If necessary, specifies the date for a follow-up meeting to respond to the employee's concerns.
   Almost Never 1 2 3 4 5 Almost Always

Total =

<table>
<thead>
<tr>
<th>Below Adequate</th>
<th>Adequate</th>
<th>Full</th>
<th>Excellent</th>
<th>Superior</th>
</tr>
</thead>
<tbody>
<tr>
<td>6-10</td>
<td>11-15</td>
<td>16-20</td>
<td>21-25</td>
<td>26-30</td>
</tr>
</tbody>
</table>

H. BEHAVIOR DISCRIMINATION SCALES

In "Behavioral Discrimination Scales: A Distributional Measurement Rating Method," Kane and Lawler state that the BDS "represents an attempt to achieve the ideal operationalization of the distributional measurement model."

The steps of BDS:

1. A pool of statements describing the full range of satisfactory and unsatisfactory job behaviors and/or outcomes is generated. This should be accomplished by having supervisors and their subordinates list all job functions. Then the subordinates should list all of the satisfactory and unsatisfactory ways of carrying out these duties.

2. All incidents should be pooled to avoid duplications and all other incidents that are similar should be grouped together. This is called performance specimens and is done so that the number of items rated on each object is reduced. A general statement is then written to express the behavior.

3. The performance specimens are then inserted on a questionnaire administered to at least 20 supervisors and their subordinates. There are two different forms of questionnaires. Each questionnaire is given to half of the sample. One form asks three questions in regard to each specimen:
   a. During a normal six-month period, how many times would a person have the opportunity to exhibit this behavior or outcome?
   b. It would be moderately satisfactory performance to exhibit this behavior or outcome on how many of these occasions?
   c. How good or bad is the performance described by this behavior or outcome? (1 = very bad; 8 = very good.)

The other form is exactly the same except question two refers to moderately unsatisfactory performance.

4. The results should be analyzed by converting question two responses to percentages of question one responses for each specimen and then computing the T-statistic for the difference between the mean percentages of the two subsamples for each specimen. All specimens for which the t-value doesn't reach .01 p should be eliminated.
5. Each specimen's median occurrence percentage and mean rating on question three are computed for the combined sample. With the extensity (occurrence rate goodness) scale value for each specimen can be derived.

6. Next the appraisal form is constructed by listing each specimen in random order at the left side of the form. To the right side of each specimen is a column headed by the following question: To your personal knowledge, how many times did this person have the opportunity to exhibit this behavior or outcome during the appraisal period? (Note: If zero, so indicate and proceed to the next item.) If the response is greater than zero the rater is asked to complete the following statement: This person actually exhibited this behavior or outcome on ____________ of these occasions.

7. The rating should be scored in the following manner:

   a. The frequency assigned to the object on each specimen should be converted to a percentage of his/her opportunities to exhibit the specimen.

   b. Extensity scale value corresponding to this percentage for each specimen should then be determined.

   c. The value should then be multiplied by its intensity weight, which can consist of the specimen's t-value.

   d. Overall performance is ready to be formed. This is obtained by summing up the dimension scores.
Example:

"Kane and Lawler (1980) presented the following items for grouping: 1) "Had to stop a press run to remove grease from a roller." 2) "Had to stop a press run to make a paper adjustment that should have been made before the press run started." 3) "Failed to check the ink reservoir before a press run started." 4) "Had to stop a press run to fix a mechanical problem that should have been discovered in the routine inspection." These items were grouped, and the following statement was written to reflect the meaning: "Had to stop a press run because of a problem caused by the failure to properly make normal checks and adjustments before the run started." These are known as performance specimens.

I. WEIGHTED CHECKLIST

The weighted checklist performance appraisal system was introduced by Knauft in 1948. It consists of statements, adjectives, or individual attributes that have been previously scaled for effectiveness in worker's behavior.

The most common type of item used in the weighted checklist is behavioral in nature. The first step in constructing a weighted checklist is to generate a large number of behavioral statements relevant to all aspects of the job. These statements should represent all levels of effectiveness in that job. A list of rules for writing these statements were developed:
1. Express only one thought per statement or scale.

2. Use understandable terminology, and eliminate double negatives.

3. Express thoughts clearly and simply, avoid vague and trait-oriented statements.

The second step consists of having a panel of job experts then judge the extent to which each statement represents effective or ineffective job behavior. One method for accomplishing this is called "equal-appearing interval." This method asks the experts to classify each statement into one of 11 categories ranging from "highly effective to highly ineffective job behavior." The ratings are then summarized in order to identify those statements which are consistently placed at some point on the continuum of effectiveness. On the basis of this scaling procedure, the most reliable rated items are selected for use on the checklist. The mean or median rating of effectiveness calculated by the experts becomes the scale value for each item. Statements are then selected so that every point on the continuum of effectiveness is represented on the checklist.

Items are usually randomized in terms of their relative levels of effectiveness, and scale values are unknown to the rater. The rater simply checks those statements to be descriptive of the ratee. The method of scoring is based either on the sum total of scale values, or median score of the checked statements.
Ratings by 15 Experts on Four Behavioral Statements
Using a Behavioral Checklist

<table>
<thead>
<tr>
<th>Categories of Effectiveness</th>
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</thead>
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<tr>
<td>Highly Effective</td>
</tr>
<tr>
<td>1</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Statement</th>
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<th>3</th>
<th>4</th>
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<th>6</th>
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<td>8</td>
<td>7</td>
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<td>4</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1</td>
<td>2</td>
<td>6</td>
</tr>
</tbody>
</table>

Examples of Items From Weighted Checklist
Performance Rating for Bake Shop Manager

<table>
<thead>
<tr>
<th>Item</th>
<th>Scale Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>His window display has customer appeal.</td>
<td>8.5</td>
</tr>
<tr>
<td>He encourages his employees to show initiative.</td>
<td>8.1</td>
</tr>
<tr>
<td>He seldom forgets what he has once been told.</td>
<td>7.6</td>
</tr>
<tr>
<td>His sales per customer are relatively high.</td>
<td>7.4</td>
</tr>
<tr>
<td>He has originated 1 or more workable new formulas.</td>
<td>6.4</td>
</tr>
<tr>
<td>He belongs to a local merchants' association.</td>
<td>4.9</td>
</tr>
<tr>
<td>His weekly and monthly reports are sometimes inaccurate.</td>
<td>4.2</td>
</tr>
<tr>
<td>He does not anticipate probable emergencies.</td>
<td>2.4</td>
</tr>
<tr>
<td>He is slow to discipline his employees even when he should.</td>
<td>1.9</td>
</tr>
<tr>
<td>He rarely figures the costs of his products.</td>
<td>1.0</td>
</tr>
</tbody>
</table>

J. SIMPLE (ALTERNATE) RANKING SYSTEM

Description Of The System

The simple ranking system is a comparative approach to the evaluation of employee performance. Regarded as one of the oldest and simplest methods of performance appraisal, this system is so popular that it is used, in practice, by many personnel administrators to make decisions related to merit pay increases, promotions, and organizational rewards. It aims at providing an overall ranking of a group of employees.
Specifically, the simple ranking system involves comparing an employee against other employees in a work group. It requires an appraiser to arrange employees in rank order from the best to the poorest (or highest to lowest). Although overall rankings are commonly made, employees can be ranked on a number of separate factors such as "ability to work with others" or "ability to grasp new ideas." Virtually, two or more appraisers may be asked to make independent rankings of the same group of employees and their lists are averaged to help reduce biases.

Since it is practically easier to distinguish between the best and worst employees than to simply rank them in descending order, an "alternation" ranking method is commonly used. It is a very elementary variation of the order of merit ranking. It places a group of comparable employees in simple rank order in terms of their overall work performance, future potential, or other characteristics. This method is illustrated by the following example.

Example:

Assume that an appraiser wants to rank ten employees: A, B, C, D, E, F, G, H, I, and J on the basis of their overall work performance. Looking at a list of these employees' names, the appraiser eliminates those whose work is so different that they cannot be compared to the other members of the group (e.g., H and J). Then, the appraiser looks over the remaining names (i.e., A, B, C, D, E, F, G, and I) and decides which one he thinks is the best on the list (e.g., C). He draws a line through this name (i.e., C) and writes it in the blank space labeled "1 - Highest" at the top of the page (see the figure). He then looks over the remaining names (i.e., A, B, D, E, F, G, and I) and decides which person is not as effective as any of the others on the list (e.g., G). He draws a line through this name (i.e., G) and writes it in the blank space marked "1 - Lowest" at the bottom of the page. He then examines the remainder of the names (i.e., A, B, D, E, F, and I), selects the best (e.g., A), draws a line through his name, and

B-16
places the name in the box labeled "2 - Next Highest." Thus, the appraiser can
"alternate" between thinking of the best and poorest employee on an increasingly smaller
list. He continues this procedure until he has drawn a line through each name on the
list. Apparently, the middle position in the rank order is the last to be filled.

<table>
<thead>
<tr>
<th>Employees to be Ranked</th>
<th>Ranking</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>1) Highest...</td>
</tr>
<tr>
<td>B</td>
<td>2) Next Highest...</td>
</tr>
<tr>
<td>C</td>
<td>3) Next Highest...</td>
</tr>
<tr>
<td>D</td>
<td>4) Next Highest...</td>
</tr>
<tr>
<td>E</td>
<td>4) Next Lowest...</td>
</tr>
<tr>
<td>F</td>
<td>3) Next Lowest...</td>
</tr>
<tr>
<td>G</td>
<td>2) Next Lowest...</td>
</tr>
<tr>
<td>H</td>
<td>1) Lowest...</td>
</tr>
</tbody>
</table>

K. THE FORCED CHOICE TECHNIQUE OF PERFORMANCE APPRAISAL

The forced choice technique was developed between 1940 and 1945 in an effort
to improve performance appraisal in the U.S. Army. The forced choice technique is
based on the assumption that any real differences that exist among workers in
competence or efficiency can be described in terms of objective, observable behavior.
The technique was intended to eliminate the appraiser from indicating how much or low
little of each characteristic an officer possessed. Instead, raters were instructed to
choose from several sets of tetrads (a set of four adjectives, two of a favorable nature
and two of an unfavorable nature) which would best and least describe the appraisee.
This technique was also intended to reduce the appraiser's ability to produce the desired
outcome due to its method of construction. Thus, favoritism and personal bias are
diminished.
Construction of the Forced-Choice Tetrads: Forced Choice rating elements are sets of four phrases, or adjectives, pertaining to job performance or personal qualifications. Generally, a six-step procedure is used in constructing the tetrads: (1) Instruct a first group of appraisers who are familiar with the appraisees to write brief essays which describe successful and unsuccessful fellow workers. These essays serve as the source of the behavioral items relevant to the job (i.e., critical tasks). (2) Behavioral items are extracted from the essays and put into list form. These items should cover all important aspects of the job and the number of items covering each aspect should be related in some rational way to the importance of that aspect. (3) The list is distributed to a second group. Each person in this second group is asked to select, from among his/her peers, one person s/he knows well enough to confidently rate. For each item, the rater assigns one of the following scores: "This item describes the appraisee (A) to an exceedingly high or to the highest possible degree; (B) to an unusual or outstanding degree; (C) to a typical degree; (D) to a limited degree; (E) to a slight degree; or (F) not at all." The evaluator is then asked to rate the person being appraised on a scale showing his/her position with respect to overall competence in a representative group of 20 workers of the same grade. (4) Lists are collected and arranged in order of rating of overall competency and separated into Upper, Middle, and Lower thirds. An analysis is conducted to determine, in each of the 3 groups, the frequency with which each of the 5 rating alternatives was chosen for each item. (5) Based on the above analysis, two values are statistically computed for each item:
1. The Preference Value: Indicates the degree to which raters tend to rate others too high or too low on a particular characteristic.

2. The Discrimination Value: Indicates those items which differentiate between a good and a poor worker. In other words, these adjectives are truly indicative of the degree to which the items measure the characteristic which they are intended to measure.

(6) Each tetrad consists of two pairs of adjectives or phrases; each pair consists of two items which are equal in preference value, but differ in discrimination value. Obviously, the rater is not aware which adjective or phrase is the preference word and which is the discrimination word. Each tetrad consists of a pair of favorable words with similar preference, but dissimilar discrimination, indices; and a pair of unfavorable words with similar preference, but dissimilar discrimination, indices (see example below).

Scoring: The ratee receives a positive score if:

1. The item which is most descriptive of him/her is a discriminating desirable characteristic.

2. If the item which is least descriptive of him/her is the undesirable discriminating item (i.e., indicates poor job performance).

Read instruction sheet carefully before marking this section.

**Section IV. JOB PROFICIENCY**

<table>
<thead>
<tr>
<th>MOST</th>
<th>LEAST</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td>Cannot assume responsibility</td>
</tr>
<tr>
<td>B.</td>
<td>Knows how and when to delegate authority</td>
</tr>
<tr>
<td>C.</td>
<td>Offers suggestions</td>
</tr>
<tr>
<td>D.</td>
<td>Too easily changes his/her ideas</td>
</tr>
</tbody>
</table>

B-19
Section V. PERSONAL QUALIFICATIONS

A. Coolheaded
   ____________

B. Commands respect by his/her actions
   ____________

C. Overbearing
   ____________

D. Indifferent
   ____________

L. FORCED DISTRIBUTION RANKING

Ranking techniques compare ratees' performance to that of others on the job or in similar positions, as opposed to comparison against an absolute standard of performance.

Forced distribution ranking is a comparative performance appraisal technique where the rater places specific portions of the group of ratees into various categories depicting different degrees of performance. The performance categories may be: excellent, good, fair, poor and unacceptable. The rater is instructed for example to allocate 10% of the ratees to the excellent category, 20% to good, 40% to fair, 20% to poor, and 10% to unacceptable. The rankings are the result of the rater's subjective opinion.

M. PAIRED COMPARISON

Paired comparison is an appraisal technique in which each employee is compared to every other employee to produce a ranking of employees on a particular trait.
The steps for developing the paired comparison technique includes the following:

1. A chart is made of all possible pairs of employees to be evaluated. The names of the employees to be evaluated are placed on a chart in a predetermined order such that each employee is compared with every other employee in the group.

2. A separate chart is constructed for each trait. The traits include such things as quality of work, cooperation, creativity, quantity of work, etc.

3. For each comparison of pairs, the evaluator judges one employee as being better than the other on a particular trait. If an employee is better than the other a (+) is placed in the appropriate box and if an employee is worse than the other a (-) is placed in the appropriate box.

4. The number of times an employee is judged as being better than the other is tallied. So, for each chart the evaluator totals the number of +'s in each column to get the highest ranked employee.

5. Then, based on the number of better evaluations (+) received, a ranking of employees can be formulated. An employee with the greatest number of +'s would be ranked the highest on a particular trait, followed by the next highest. This ranking would continue until you reach the employee with the least amount of +'s, who would be ranked the lowest.

Example of Paired Comparison Rating for Tabulating Machine Operators.

Trait: ACCURACY. Which employee produces more consistently accurate work? Which do you feel you do not have to check on much?
The list of employees on the top row are compared, one by one to each employee in the left column. The appropriate mark is placed in each square to indicate the better employee of the pair. For example, ADAMS is compared to BAKER. ADAMS is chosen as the better employee so a (+) is placed in the square. The number of +'s are added up for each person and results are as follows:

COOPER  4  (Ranked the highest)
ADAMS  3
DALTON  2
BAKER  1
EMORY  0

According to the ranking, COOPER would be the most accurate employee and EMORY the least accurate employee.

N. MIXED STANDARD RATING SCALES

Items representing good, average and poor performance on a given dimension are mixed randomly with items representing good, average and poor performance on other dimensions. Each item is rated as follows: + ratee is better than the statement; 0 statement fits the ratee; - ratee is worse than the statement. Rater is not told the dimension being measured by the statement, nor the level of performance represented.

<table>
<thead>
<tr>
<th>Performance Dimension</th>
<th>Statements</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job Knowledge</td>
<td>1. The officer could be expected to misinform public on legal matters through lack of knowledge. (poor)</td>
<td>+</td>
</tr>
<tr>
<td></td>
<td>2. Officer carefully answers rookie's questions. (good)</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>3. This officer never has to ask others about points of law. (good)</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td>4. This officer follows correct procedures for evidence preservation at the scene of a crime (average)</td>
<td>0</td>
</tr>
</tbody>
</table>

MIXED STANDARD RATING SCALE SCORING

<table>
<thead>
<tr>
<th>Statements</th>
<th>Good</th>
<th>Average</th>
<th>Poor</th>
<th>Points</th>
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<tbody>
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<td>+</td>
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<td>-</td>
<td></td>
<td>1</td>
</tr>
</tbody>
</table>

Officer in our example received: Good -; Average 0; Poor + for job knowledge dimension or a score of 4.
O. MANAGEMENT BY OBJECTIVES (MBO)

MBO is a process whereby the superior and subordinate members of an organization jointly identify its common goals, define each individual's major areas of responsibility in terms of results expected of him/her, and use these measures as guides for operating the organization and assessing the contributions of each of its members.

MBO is a human system; a communication vehicle among the people involved in it.

STRUCTURE

Roles and Key result Indicators Objectives Action Controls
Mission Areas Plans

Roles and Missions are stated by higher management; subordinates' goals reflect their contribution toward the role and mission (sometimes stated in the annual plan or 5-year plan).

Cascade of Goal-Setting Process

Board of Directors, and the Chief Executive
Division Vice-Presidents
Department Managers
Unit Managers
Individuals

The superior and subordinate meet and discuss objectives which, if met, would contribute to overall goals of the organization. They jointly establish objectives for the subordinate.

Key Result Areas are major aspects of the job where there are results significant enough to warrant specific attention. Examples:

staff development cost control management communication
unit production client contacts contract negotiations

B-24
Indicators are measurable factors within a key result area on which it is worthwhile to set objectives or performance standards. Examples:

- output per workhour
- actual vs budget
- turnover
- absenteeism
- cost per unit output
- training participation

Objectives are statements of results to be achieved. Four elements make up each objective:

1. action or accomplishment verb
2. single measurable key result
3. date or time period within which result is to be accomplished
4. maximum investment in money, workhours or both that we are willing to commit toward accomplishment of the objective

Sample Objective: To reduce by 10% the cost of operation A by January 1 at an implementation cost not to exceed 50 workhours.

Action Plans are the sequence of actions to be carried out in order to achieve the objective. Action plans fix accountability.

Controls are the means by which the accountable manager will keep informed of progress; the way of ensuring their accomplishment. Controls should be visual (charts, graphs) and should provide for adequate visibility in a timely fashion so that required action can be taken as soon as it is seen to be required.

SAMPLE

Roles and Mission: To produce competitive products
Key Result Area: Cost control
Indicators: Cost per unit of output
Objective: To reduce by 5% the cost per unit of output of product A by July 1 at an implementation cost not to exceed 50 workhours.
Action Plan:
1. Reduce waste 5% per unit output (Production Manager)
2. Implement pre-production quality checks to screen out minimum 1% unusable base units. (Quality Control Supervisor)
APPENDIX C

PRIVATE SECTOR PERFORMANCE APPRAISAL INTERVIEWS

A telephonic interview survey was conducted with representatives of a sample of large, well known industrial organizations. The purpose of these interviews was to gather information about the performance appraisal systems in use in each of these firms. Enclosure 1 is the interview guide used to conduct the interviews.
ENCLOSURE 1 TO APPENDIX C

PRIVATE SECTOR INTERVIEW GUIDE

Company: ___________________ Contact: ___________________
Date: _____________________

1. Type and purposes of performance evaluation system

2. Process  
   - who (rater: supervisor, peers, committee)  
   - what (behaviors, outputs, performance, bottom line)  
   - when (timing)

3. Instruments/Forms

4. Feedback

5. Rater Training

6. Review Process

7. Controls

8. Additional information
APPENDIX D
INITIAL AIR FORCE INTERVIEWS

Early in the project, the Air Force OER study team conducted two series of interviews with Air Force officers. The first of these series was with officers having major responsibilities for the functioning of the OER system. The purpose of this series was for the study team to learn more about how the Air Force conducts performance appraisals and what issues are in the minds of the major players in the system. The information received during the course of these interviews has been incorporated into the body of this report in Section IV, Findings: Air Force Officer Evaluation System. A list of those persons interviewed is at Enclosure 1, page D-2. The interview guide is displayed at Enclosure 2, beginning on page D-3.

The second series of interviews consisted of nine focus groups conducted with small groups of officers (6-8) of varying skills and grades. The purpose of these interviews was to learn what attitudes about the OER systems are characteristic of a larger spectrum of the Air Force officer corps. The identity of these focus groups is displayed in the text of this report at Table II-1, page II-3. A summary of the comments made in the course of these focus groups is at Enclosure 3, beginning at page D-5. This summary is organized into fourteen topics. These topics were not restricted to those identified in the interview guide, but rather those topics that developed during the interactions among the focus group members. A copy of the focus group discussion guide is at Enclosure 4, beginning on page D-25.

D-1
ENCLOSURE 1 TO APPENDIX D

AIR FORCE OFFICERS INTERVIEWED

<table>
<thead>
<tr>
<th>Name</th>
<th>Organization</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lt. Gen. Thomas J. Hickey</td>
<td>Deputy Chief of Staff for Personnel, HQ, USAF</td>
</tr>
<tr>
<td>Lt. Gen. John A. Shaud</td>
<td>Commander, Air Force Training Command</td>
</tr>
<tr>
<td>Maj. Gen. Ralph Havens</td>
<td>Commander, Military Personnel Center</td>
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<td>Maj. Gen. Donald D. Lambertson</td>
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<tr>
<td>Colonel Gary Clark</td>
<td>DCS, Personnel, Air Force Training Command</td>
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<tr>
<td>Colonel Charles Curran</td>
<td>Military Executive to Assistant Secretary of Defense (FM&amp;P)</td>
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<td>Colonel Lee Forbes</td>
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<td>Colonel Vincent J. McDonald</td>
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<td>Lt. Col. Donald R. Davie</td>
<td>Chief, Officer Force Structure, Office of the DCS, Personnel, HQ, USAF</td>
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ENCLOSURE 2 TO APPENDIX D

AIR FORCE (OER) PROJECT

INTERVIEW GUIDE

A. INTRODUCTION

1. PERSONAL INTRODUCTION

2. OVERVIEW OF HAY/SYLLLOGISTICS BACKGROUND AND CAPABILITIES

3. BRIEF DESCRIPTION OF PROJECT
   a. Review and conceptual redesign of officer performance evaluation system.
   b. Three parallel efforts.

4. EXPLAIN FORMAT AND PURPOSE OF INTERVIEW
   a. Unstructured, flexible format.
   b. This interview has two major purposes:
      1. Collect data about problems with and potential improvements for the officer evaluation system.
      2. Obtain information that will assist the project team in conducting focus groups.

5. OBTAIN PERSONAL INFORMATION FROM INTERVIEWEE
   a. Name, rank, pertinent demographics, and other relevant information.
   b. Primary mission/responsibilities.
   c. OER-related functions or accountabilities.

B. TARGETED INFORMATION (data we would like to obtain)

1. INTERVIEWEE'S KNOWLEDGE OF OER SYSTEM
   a. How long have you been in a position of accountability in relation to the OER system?
   b. What is your overall experience as a rater, additional rater, indorser, etc.?
2. EFFECTIVENESS OF CURRENT OER SYSTEM
   a. Is the OER system achieving its purposes as stated in Air Force policy and regulations? If not, why?

3. ADVANTAGES OF CURRENT SYSTEM
   a. What are some of the advantages offered by the evaluation system currently in use?

4. DRAWBACKS
   a. What are the main drawbacks of the officer evaluation system?

5. DIFFERENTIAL EFFECTS OF OER SYSTEM
   a. Is the OER system more or less effective depending on rank?
   b. Can any differences in OER system effectiveness be attributed to the nature of the "job" within the Air Force? (e.g., pilots, staff positions, scientific/technical occupations.)
   c. Are there any other factors which affect the effectiveness of the OER system?

6. OER IMPACT ON THE INDIVIDUAL
   a. Does the individual receive a "fair shake" from the current evaluation system?

7. OER IMPACT ON AIR FORCE ORGANIZATION
   a. What is the overall impact of the OER system on the Air Force organization?

8. IMPROVEMENT OF OER SYSTEM/PROCESS
   a. What are your suggestions for improving the OER process?

9. IDENTIFICATION OF ISSUES
   a. What are the key issues that need to be addressed in a project of this nature?
   b. Are there any other pertinent issues we have not covered in the interview?
ENCLOSURE 3 TO APPENDIX D

SUMMARY OF FOCUS GROUP INTERVIEWS, BY TOPIC

TOPIC 1: Focus on Job Performance

GRADE:
LT/CAPTAIN
(OPERATIONS)

COMMENTS:
The OER should include specific flying related items, which directly reflect a pilot's duty performance.
The job description box is important and it should be expanded. Perhaps the job description could be written in bullet form reflecting major duties and responsibilities.
The OER should have two sections: one section would evaluate specific duty performance (e.g., flying) and another section would evaluate "other things."

LT/CAPTAIN
(SUPPORT)

SENIOR CAPTAIN/MAJORS
(OPERATIONS)

The job description section is one of the more meaningful items in the OER form.

SENIOR CAPTAIN/MAJORS
(SUPPORT)

MAJOR/LT. COLONEL
(OPERATIONS)

Human relations block is useless. Actual performance of the job - flying, time in vault - don't count on the OER. People are learning that flying is not important to the Air Force. Categories (on the OER) are not appropriate to people in operations, so we look for additional roles but often exclude primary duties.

MAJOR/LT. COLONEL
(SUPPORT)

It is especially difficult to create "facts" for page one in the case of young rated officers whose job consists solely of flying-related tasks. Conversely, it is easy for junior support officers to provide facts to document performance factor scores. A solution is to eliminate the narrative on page 1 of the form that pertains to performance factors.
TOPIC 1: Focus on Job Performance (Cont.)

GRADE:

LT. COLONEL
(OPERATIONS AND SUPPORT)

COMMENTS:

Define officership; management vs. technical skills.

Current performance vs. management potential emphasis should be defined.

Develop better performance standards for rating.

COLONEL
(OPERATIONS & SUPPORT)

Most of the front side of the OER is not useful, although the job description may be somewhat useful and may be worth retaining.

"Credit for attendance" at PME or Master's program does not reward what is best for the Air Force; should rate on performance improvements resulting from the education. There are difficulties in doing, however, including the time required to observe performance change. PME and Master's are used as discriminators by boards because they are easy to see, few other discriminators can be found.

It is difficult to find culturally acceptable ways to measure job performance; need to measure in terms of output (performance), rather than input (PME, etc.).

GENERAL
TOPIC 2: Potential Rating

GRADe:

LT/CAPTAIN (OPERATIONS)
LT/CAPTAIN (SUPPORT)
SENIOR CAPTAIN/MAJORS (OPERATIONS)
SENIOR CAPTAIN/MAJORS (SUPPORT)
MAJOR/LT. COLONEL (OPERATIONS)
MAJOR/LT. COLONEL (SUPPORT)

LT. COLONEL (OPERATIONS AND SUPPORT)

COLONEL (OPERATIONS AND SUPPORT)

GENERAL

COMMENTS:

The traits which should be measured in identifying future leaders are: Initiative - ability to make things happen; Situational Awareness; Integrity; Decisiveness; and Knowledge.

Define officership; management vs. technical skills.

Current performance vs. management potential emphasis should be defined.
TOPIC 3: Differences Across Grades. Rated/Non-Rated

GRADE:

LT/CAPTAIN (OPERATIONS)

LT/CAPTAIN (SUPPORT)

SENIOR CAPTAIN/MAJORS (OPERATIONS)

SENIOR CAPTAIN/MAJORS (SUPPORT)

MAJOR/LT. COLONEL (OPERATIONS)

MAJOR/LT. COLONEL (SUPPORT)

LT. COLONEL (OPERATIONS AND SUPPORT)

COMMENTS:

It is somewhat unfair to be rated with the same form that is used to evaluate administrative duty officers.

OER should be de-emphasized at the lieutenant level.

Some things, e.g., PME, Masters Degree, are very important and this perception is supported by promotion board statistics. Rated officers do not have the opportunity to pursue these degrees.

There should be separate OER forms for rated and non-rated officers. An officer suggested that they also need separate promotion boards!

We need different forms for different grades, more general language for field grades. Possibly should have a form for rated/operations as compared to support - maybe not, for that would be tough on a board.

Junior officers do not necessarily need to be evaluated on the same form as seniors. Also, semi-annual reports are not necessary.

There is an ongoing debate about the performance evaluation issue for rated vs support officers. Raters/supervisors feel that they are forced to create acceptable additional duties as assignments for rated subordinates for the sake of the OER when these people should be devoting all their time to flying. They do not like a form driven system.

There should be two forms - rated and non-rated.
TOPIC 4: Administrative Burden

Inefficiency - OER requires too much effort for what you get out of it. A lot of time is wasted writing and proofing the OER, to then have the promotion boards look at the bottom line (indorser).

The front page of the form is useless apart from the job descriptions. (However, the numbers can be used to eliminate sub-marginal officers). Yet providing the narratives takes hours of work and some creative writing to prepare.

Preparation of the OER form is an administrative burden on units and raters. On average, each form is retyped more than four times, and raters spend endless hours preparing narratives, both for substance and for form. In addition, preparing the supporting documentation required to secure the proper level of indorsements adds substantially to the administrative burden.

The form takes too many hours to process for the amount of time it is evaluated.

The OER requires too much effort and time to complete for the benefits it provides; the burden is too great.

The system is probably okay, if only the administrative burden were reduced.
TOPIC 5: Contents of Promotion Folder

GRADE:

LT/CAPTAIN
(OPERATIONS)

LT/CAPTAIN
(SUPPORT)

SENIOR CAPTAIN/MAJOR
(OPERATIONS)

SENIOR CAPTAIN/MAJOR
(SUPPORT)

MAJOR/LT. COLONEL
(OPERATIONS)

MAJOR/LT. COLONEL
(SUPPORT)

LT. COLONEL
(OPERATIONS & SUPPORT)

COLONEL
(OPERATIONS & SUPPORT)

GENERAL

COMMENTS:

Remove photograph from the file.

Recommendations about the promotion and selection system include placing a limit on how far back promotion boards can look through folder. Also recommend removal of photograph from file.

Remove the picture from the folder.
TOPIC 6: Integrity and Honesty

GRADE:

LT/CAPTAINS
(OPERATIONS)

LT/CAPTAINS
(SUPPORT)

SENIOR CAPTAINS/MAJORS
(OPERATIONS)

SENIOR CAPTAINS/MAJORS
(SUPPORT)

MAJOR/LT. COLONEL
(OPERATIONS)

COMMENTS:

There is a lot of competition between MAJCOMs to promote their own people. This problem is compounded by the differences in numbers of grades in the MAJCOMs.

There are many questions about the integrity of the system from a rater's viewpoint. They are hesitant to rate less than 1 at any time; average performance is most difficult to rate and there is concern over gaming the system. From the rater viewpoint, it is the rater's personal policy about the system that determines how an OER is written. If the immediate supervisor cannot be relied upon to write a good OER or to obtain good indorsements then the rater must be visible to supervisor's supervisor and get his/her support.

Five of the eight officers have written their own OER.

There is a feeling that personal integrity is not supported and neither is the integrity of the promotion system. There is a need to reward and recognize leadership and willingness to stand up for convictions. A simple personality conflict can ruin a career. To protest the integrity of the system, there is need for guidance from higher levels such as self-policing system that would include periodic review, reinforcement, and reemphasis of policing and procedures.

OER's talk around the issues, one learns the words but they are not truthful, none of it is truthful. Inflation is unreasonable. You are reading lies, almost useless (as a way to understand an officer's performance level). Senior leadership doesn't get an accurate word picture. Nobody reads all the lies which are written.
TOPIC 6: Integrity and Honesty (Cont.)

GRADE:

MAJOR/LT. COLONEL
(SUPPORT)

COMMENTS:

Marginal performance is not documented. To get less than the maximum (in numerical scores) an officer has had to do something bad. However, the report is coded so that marginal performance can be indicated indirectly -- usually by saying "good but not superlative."

LT. COLONEL
(OPERACTIONS & SUPPORT)

Some officers have had to write their own OER's, while others feel that they have had to lie to maintain careers or avoid hurting others.

Many believe that "the ratee is at the mercy of the rater's eloquence" and that we're assessing writing abilities of the rater not the person being reviewed. There is a common knowledge of "the code" and how to use it.

COLONEL
(OPERACTIONS & SUPPORT)

GENERAL

There is subtlety and "gaming" on the OER's that are directed to the board, but they feel that they recognize and see through the word picture to the facts.
TOPIC 7: Careerism

**GRADE:**

LT/CAPTAIN
(OPERATIONS)

LT/CAPTAIN
(SUPPORT)

**COMMENTS:**

Young officers feel it is necessary to learn the unwritten guidelines of the OER and promotion system. They also feel that it is extremely important to "please your supervisor."

The OER is a vehicle for going up the promotion ladder, but young officers must guide their own careers.

**SENIOR CAPTAIN/MAJOR**
(OPERATIONS)

**SENIOR CAPTAIN/MAJOR**
(SUPPORT)

**MAJOR/LT. COLONEL**
(OPERATIONS)

**MAJOR/LT. COLONEL**
(SUPPORT)

Some things, e.g., PME, Masters Degree, are very important and this perception is supported by promotion board statistics. Rated officers do not have the opportunity to pursue these degrees.

Can't focus (the OER words) on actual performance. Front side is hard to use (to describe performance). Officers write their own, they often don't know their rater. We make up jobs for junior officers (in order to have something to say about) communications-oral and written.

OER has powerful impact on career, it encourages careerism and I'm concerned about our ability to fight a war. Everything is careerism, not an effort to do (a job) well now; it's all related to promotion. Careerism is not a function of the OER, other things are promoting that, and it's not all that bad. To get promoted you need to work hard, have a sponsor, get a good job. Good personality gets a better rating.

You need PME and a Master's (to get promoted). It's a discriminator. One needs to continue growing, (but a) master's diverts from real job. Advanced education should help you do your job. You can't get a master's in an operational job. The (master's) programs are easy because we couldn't otherwise get them (on a part-time basis). PME in residence is more valuable for promotion (than by correspondence) but all of
these schools and deployments, alert duty, et.c, create family problems. There is enough time to do these things -- a few exceptions, but most people can do these things.

LT. COLONEL
(OPERATIONS & SUPPORT)

COLONEL
(OPERATIONS & SUPPORT)

"Credit for attendance" at PME or Master's program does not reward what is best for the Air Force; should rate on performance improvements resulting from the education. There are difficulties in doing, however, including the time required to observe performance change. PME and Master's are used as discriminators by boards because they are easy to see, few other discriminators can be found.

GENERAL
TOPIC 8: Indorsement System

GRADE:

LT/CAPTAIN (OPERATIONS)

LT/CAPTAIN (SUPPORT)

SENIOR CAPTAIN/MAJOR (OPERATIONS)

SENIOR CAPTAIN/MAJOR (SUPPORT)

MAJOR/LT. COLONEL (SUPPORT)

MAJOR/LT. COLONEL (OPERATIONS)

COMMENTS:

The word picture and level of indorsement are most important parts of the OER as it is used by promotion boards. They believe there is hidden quota system for indorsements and that commands control systems.

The indorsement process is the controlling system in the OER/promotion board process.

Level of indorsement and last sentence is all that is important. The whole emphasis is potential.

Preparation of the OER form is an administrative burden on units and raters. On average, each form is retyped more than four times, and raters spend endless hours preparing narratives, both for substance and for form. In addition, preparing the supporting documentation required to secure the proper level of indorsements adds substantially to the administrative burden.

There is a highly developed system for determining indorsement levels including printed justification forms with the discrimination factors used. In the form we observed, the factors include: PME, civilian education (attained and in process), promotion eligibility, and previous OER indorsement history. Standards are specified for which reports will be evaluated for higher level indorsement. These standards are not uniform within MAJCOM or within the Air Force.

Wing commanders have chance to identify higher performers through indorsement level. However, they also can "game" the system, inter alia. The problem with indorsements as discriminators is not that higher performers don't get tagged but that the system doesn't discriminate well at the margin.
TOPIC 8: **Indorsement System** (Cont.)

**GRADE:**

LT. COLONEL (OPERATIONS & SUPPORT)

**COMMENTS:**

Since a hidden quota system is used, bring this system out into the open.

COLONEL (OPERATIONS & SUPPORT)

Major information-bearing sections are indorsements and promotion recommendation.

Current indorsement system is equivalent to a quota or control system except ratees don't know the rules.

**GENERAL**
**TOPIC 9: Feedback to Ratee**

**GRADE:**

LT/CAPTAIN
(OPERATIONS)

LT/CAPTAIN
(SUPPORT)

SENIOR CAPTAIN/MAJOR
(OPERATIONS)

SENIOR CAPTAIN/MAJOR
(SUPPORT)

MAJOR/LT. COLONEL
(SUPPORT)

MAJOR/LT. COLONEL
(OPERATIONS)

LT. COLONEL
(OPERATIONS & SUPPORT)

COLONEL
(OPERATIONS SUPPORT)

GENERAL

**COMMENTS:**

More feedback to the ratee is necessary.

More feedback about performance should be provided to officers.

The OER is not used as a feedback tool. This is considered a weakness because they feel that there is a need for some type of feedback and/or counselling system.

OER is not effective as feedback (to the individual officer.) Can't provide (accurate) feedback because it will kill him on assignments, promotions. It is a morale boost (to read how well you are doing) but it has nothing to do with improvement of performance. We don't need the OER for counselling, the people we have are told all the time. Forget the OER, we tell them. Not much career guidance. The civilian feedback system (in the Air Force) is not very good either, it don't change performance. Low ratings don't get rid of (the Air Force) civilians.

There was agreement that the OER is not a good feedback tool.
TOPIC 10: Promotion Issues

GRADE:

LT/CAPTAIN (OPERATIONS)

LT/CAPTAIN (SUPPORT)

SENIOR CAPTAIN/MAJOR (OPERATIONS)

SENIOR CAPTAIN/MAJOR (SUPPORT)

MAJOR/LT. COLONEL (OPERATIONS)

MAJOR/LT. COLONEL (SUPPORT)

LT. COLONEL (OPERATIONS & SUPPORT)

COLONEL (OPERATIONS & SUPPORT)

GENERAL

COMMENTS:

There was discussion and consideration that the up and out system may not be right for everyone in the Air Force.

Point made that AF promotion system makes it too clear to officer whether he is a "success" or a "failure" each time he meets a board; those passed over feel they have clearly failed. Canadian system, with "fuzzy" promotion zones encourages people to keep trying; being passed over does not destroy officer's morale, because he has several chances for promotion.

Up or out system seen as part of the problem but group unanimously rejected changing that system.

It really doesn't matter how long you look at the file - 60 seconds or 5 minutes, usually there is no difference in the final result.

They feel that the "up or out" system should remain in place because it is a motivating force and drives competition within the service. The unfortunate side is that it drives away quality people at the same time that it polices the system.
TOPIC 11: **Suggested Changes in OER Form**

**GRADE:**

**LT/CAPTAIN (OPERATIONS)**

A standard OER should be used for every non-promotion year, where an officer is in the zone, then a "promotion" OER, which could be more specific and detailed, would be written.

OER's should be simpler, shorter, and less burdensome.

The OER should have two sections: one section would evaluate specific duty performance (e.g., flying) and another section would evaluate "other things".

**LT/CAPTAIN (SUPPORT)**

The recommendations for the form were to remove the block ratings from the front of the form.

**SENIOR CAPTAIN/MAJOR (OPERATIONS)**

The first part of the OER - except for demographic and the job descriptions - should be eliminated. (However, higher ranking officers in other focus groups indicated that rating blocks are necessary because it allows them to "kill" unfit officers).

**SENIOR CAPTAIN/MAJOR (SUPPORT)**

**MAJOR/LT. COLONEL (OPERATIONS)**

It is especially difficult to create "facts" for page one in the case of young rated officers whose job consists solely of flying-related tasks. Conversely, it is easy for junior support officers to provide facts to document performance factor scores. A solution is to eliminate the narrative on page 1 of the form that pertains to performance factors.

**MAJOR/LT. COLONEL (SUPPORT)**

Remove the front part of the form (after the job description section).

**LT. COLONEL (OPERATIONS & SUPPORT)**

Most of the front side of the OER is not useful, although the job description may be somewhat useful and may be worth retaining.

Should use narrative assessment by supervisor only; difficulties discussed briefly.

**COLONEL (OPERATIONS & SUPPORT)**

D-19
TOPIC 11: *Suggested Changes in OER Form* (Cont.)

**GRADE:**

**GENERAL**

**COMMENTS:**

Rework the front side of the OER forms, but maintain discriminating factors for the Board.
TOPIC 12: Purpose of the OER

GRADE:

LT/CAPTAIN (OPERATIONS)

LT/CAPTAIN (SUPPORT)

SENIOR CAPTAIN/MAJOR (OPERATIONS)

SENIOR CAPTAIN/MAJOR (SUPPORT)

MAJOR/LT. COLONEL (OPERATIONS)

MAJOR/LT. COLONEL (SUPPORT)

LT. COLONEL (OPERATIONS & SUPPORT)

COLONEL (OPERATIONS & SUPPORT)

GENERAL

COMMENTS:

Purpose of the OER -- OER does not adequately accomplish task of school or assignment selection but does work for evaluation.

Keep the large organizational picture in mind: retention, morale, productivity - when evaluating the OER system.

The purpose of the OER is questioned. There is a need to clarify that purpose and then redesign the OER form to accomplish that task.

Purposes of OER - OER is not fully accomplishing its objectives, particularly as it refers to identifying individuals for promotions.

Two major goals of OER could be:
1) to provide information helpful for promotion decision.
2) to curb careerism by focusing OER on assessment of current job performance.
TOPIC 13: Controlled System

GRADE:

LT/CAPTAIN (OPERATIONS)

LT/CAPTAIN (SUPPORT)

SENIOR CAPTAIN/MAJOR (OPERATIONS)

SENIOR CAPTAIN/MAJOR (SUPPORT)

MAJOR/LT. COLONEL (OPERATIONS)

MAJOR/LT. COLONEL (SUPPORT)

LT. COLONEL (OPERATIONS & SUPPORT)

COLONEL (OPERATIONS & SUPPORT)

GENERAL

COMMENTS:

If any controls are introduced, they should be for new lieutenants. Be careful not to shift the dissatisfaction, making unhappy the people who are good rather than those who are weak. The rumors about a new OER are already hurting retention. Everyone is so critical of the system, but a new system would be worse. We don't adapt readily to new things.

The quota of "potential" scores under the controlled OER was a disaster; however, that system might have worked if the percentages had not been so restrictive.

No clear answer to question of whether a new control or quota system could be workable. Suggestion that quotas be matched to promotion opportunities at each grade.
TOPIC 14: Other Issues

GRADE:

LT/CAPTAIN (OPERATIONS)

COMMENTS:

Approximately 90% of all flyers are good, solid pilots which makes differentiation even more difficult.

There is a lot of competition between MAJCOM's to promote their own people. This problem is compounded by the differences in number of generals in the MAJCOM's.

LT/CAPTAIN (SUPPORT)

SENIOR CAPTAIN/MAJOR (OPERATIONS)

The Canadian AF system - in which the ratee cannot see his/her scores, but can see the comments - is a good system.

The Army OER is a good system given that senior officers indorsements are tracked. (This system can also be "gamed", however).

Keep the large organizational picture in mind: retention, morale productivity - when evaluating the OER system.

There seems to be a conflict between what is good for the individual and what is good for the AF organization as a whole.

SENIOR CAPTAIN/MAJOR (SUPPORT)

MAJOR/LT. COLONEL (OPERATIONS)

The system is good but highly inflated. It doesn't allow for a single mistake or a personality conflict between rater and rated officer.

MAJOR/LT. COLONEL (SUPPORT)

There is a price to pay in designing a system that identifies the best people explicitly. That price is dissatisfaction and attrition among those not so identified.
Though they feel that the OER is a good tool for promotion to the major level, and that the right people are being promoted, there is skepticism about the system because of gaming. The unwritten code has existed through the last 3 types of OER's.

There is an awareness that corporate culture drives the promotion process. The Air Force culture and the possibility of changing that culture is questioned.

There is a question as to whether the OER itself is not effective or whether the OER is a product of a system that is not effective.

Provide training and guidance to the raters from higher level officers and reinforce.

A significant change in the OER system would require a major cultural change in the Air Force. Current problems with OER are culture-driven.

The total needs of the Air Force are taken into consideration.

Half of the Generals thought that the OER is a good tool for communication about the individual.

They recognize that there are many officers who do not understand the system.

It is the responsibility of supervisors to teach "the system" to subordinates.
ENCLOSURE 4 TO APPENDIX D

AIR FORCE (OER) PROJECT

FOCUS GROUP GUIDE

A. INTRODUCTION

1. PERSONAL INTRODUCTION

2. OVERVIEW OF HAY/SYLLLOGISTICS BACKGROUND AND CAPABILITIES

3. BRIEF DESCRIPTION OF PROJECT
   a. Review and conceptual redesign of officer performance evaluation system.
   b. Three parallel efforts.
   c. HAY's private sector expertise.

4. GROUP MEMBERS INTRODUCTION
   a. Allow everybody to briefly introduce themselves.

5. EXPLAIN FORMAT AND PURPOSE OF FOCUS GROUP
   a. Format
      1. Unstructured, flexible format.
      2. Generate and discuss concepts and ideas.
   b. Purpose
      1. Explore the issues surrounding the OER process, in order to gain a better understanding of the OER process.

B. GENERAL ISSUES

1. EFFECTIVENESS OF CURRENT OER SYSTEM
   a. Is the OER system achieving its purposes as stated in Air Force policy and regulations? If not, why?
      1. Promotion.
      2. Assignment.
      3. Augmentation.
5. Separation.

b. What purpose can an OER system legitimately fulfill?

2. STRENGTHS OF CURRENT SYSTEM
a. What are some of the strengths of the evaluation system currently in use?

3. DRAWBACKS
a. What are the main drawbacks of the officer evaluation system?

4. DIFFERENTIAL EFFECTS OF OER SYSTEM
a. Does the OER system fit some groups more than others?
   Probes - rank, job, time in grade?

5. OER IMPACT ON THE INDIVIDUAL
a. Does the individual receive a "fair shake" from the current evaluation system? Why or why not?

6. WHAT PROBLEMS DO YOU FACE AS A RATER? HOW DO YOU COPE WITH THEM?

7. IMPROVEMENT OF OER SYSTEM/PROCESS
a. How can the OER process be improved?
   Probes - rating/writing, review process, training, roll out.
8. IDENTIFICATION OF ISSUES

a. What are the key issues that need to be addressed in a project of this nature?

b. Are there any bases we may not have covered that we should?

    Probes - in the focus group, in the project.
APPENDIX E

FEEDBACK INTERVIEW SUMMARY

Following the completion of the data collection phase of the study, the team developed a preliminary set of OER conceptual designs. These designs were tested for feasibility and desirability, in part, through a series of interviews with Air Force officers of various grades representing the major commands. Enclosure 1 displays the units of assignment and identity of the individuals interviewed; however, the names of these officers have not been included in order to preserve the confidential context in which the interviews were conducted. Enclosure 2, page E-3, shows the interview guide used.

The results of these interviews were used in refining the preliminary designs into the recommended conceptual designs discussed in Section V. A summary of the interview results is displayed at Enclosure 3, page E-5.
## ENCLOSURE 1 TO APPENDIX E

### INDIVIDUALS INTERVIEWED

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<td>Electronic Warfare Officer (O-3)</td>
</tr>
<tr>
<td>Tactical Air Command</td>
<td>Wing Commander (O-5)</td>
</tr>
<tr>
<td></td>
<td>Executive to Wing Commander (O-3)</td>
</tr>
<tr>
<td>Military Personnel Center</td>
<td>Director (O-6)</td>
</tr>
<tr>
<td></td>
<td>Director (O-6)</td>
</tr>
<tr>
<td></td>
<td>Personnel Staff Officer (O-4)</td>
</tr>
<tr>
<td></td>
<td>Personnel Staff Officer (O-3)</td>
</tr>
</tbody>
</table>
ENCLOSURE 2 TO APPENDIX E

FEEDBACK INTERVIEW GUIDE

I. Explain background of study and the fact that we are considering various alternatives.

II. For each element presented, determine the respondent's reactions:

A. Positive, neutral or negative

B. If negative, reasons why

C. Whether positive or negative, any problems anticipated in implementation

III. Elements to be presented

A. Having OER preparation set up as a computer-interactive process with certain information computer-supplied to cut down on the administrative process.

B. Having pre-developed generic job descriptions to which modifications are made by the rater.

C. Having an OER work sheet that is used to set future goals and review past performance but does not become part of the OER record. Its objectives would be to help in coaching a junior officer and to develop a mutual understanding of performance expectations.

D. Having a section on the OER form which requires the rater to indicate one area in which a plan has been developed to enhance the officer's effectiveness over the coming year. This would include measurable objectives for the plan.

E. Having the rating officer identify the single strongest area of performance for an individual.

F. Having an indorsing official indicate the ranking of the officer against others in the same grade (for those rated at the highest potential level).

G. Having the wing commanders or equivalent indicate the 10% of each grade who are judged to be highest in potential.

H. Having performance factors rated for only the extremes.

I. Having a rater's rating history become part of his/her own personnel file for consideration by his/her own commander in rating the officer on "The Exercise of Leadership."
J. Having raters total distributions of ratings for that grade appear on all OERs that are part of the selection folder.

K. Having an indorser's rating history become part of his/her own personnel file for consideration by his/her own commander in rating the officer on "The Exercise of Leadership."

L. Having indorsers' total distributions of ratings for that grade appear on all OERs that are part of the selection folder.

M. Eliminating all numerical ratings of performance, requiring comments to document what the officer has actually done (accomplished) in his/her job during the rating period.

N. Eliminating all numerical ratings of potential, retaining the current system to assure that better performers receive higher levels of indorsement.

O. Retaining a system which produces highly favorable ratings for almost all officers so as to enhance morale and commitment.

P. Having separate OERs for company and field grade officers which cover the same general factors, but provide different criteria against which they are judged.

IV. Any other suggestions the individual might have for improving the OER process.
## ENCLOSURE 3 TO APPENDIX E

### FEEDBACK INTERVIEW SUMMARY* TABULATION

<table>
<thead>
<tr>
<th></th>
<th>TOTAL</th>
<th>O-6</th>
<th>O-5/3</th>
<th>REASONS OPPOSED</th>
<th>IMPLEMENTATION ISSUES</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td></td>
<td></td>
<td></td>
<td>1. Now using word processors, don't see additional benefit</td>
<td>1. Cost, availability of hardware</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2. Cost, time to develop software</td>
<td>2. Cost, time to develop software</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3. Reluctance of raters to use terminals</td>
<td>3. Reluctance of raters to use terminals</td>
</tr>
<tr>
<td></td>
<td>Computerization of OER Processing (N=20)</td>
<td></td>
<td></td>
<td>1. Constrains rater</td>
<td>1. Difficult to execute because of vast numbers of discrete jobs, differences - person to person</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2. Don't like idea of &quot;can,.ed&quot; versions</td>
<td>2. Must ensure that job titles are done well</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3. If too complete, raters will be lazy, not modify</td>
<td>3. Need controls on rater to prevent puffery</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4.劳动 intensive, additional administrative burden</td>
<td>4. Costly to do, Air Force-wide</td>
</tr>
<tr>
<td>B.</td>
<td>Pre-developed Job Descriptions (N=20)</td>
<td></td>
<td></td>
<td>1. Labor intensive, additional administrative burden</td>
<td>1. Officers are loath to personally counsel subordinates—will require massive retraining</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2. Supposed to be doing this now</td>
<td>2. Need way to monitor, influence compliance</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3. AF Form 90 now used for goals</td>
<td>3. AF Form 90 now used for goals</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4. Rate should not set goals, it should be rater</td>
<td>4. Rate should not set goals, it should be rater</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5. Should not go beyond ratee-rater level</td>
<td>5. Should not go beyond ratee-rater level</td>
</tr>
<tr>
<td>C.</td>
<td>Use OER worksheet, Off-line (N=20)</td>
<td></td>
<td></td>
<td>1. Labor intensive, additional administrative burden</td>
<td>1. How to avoid uneven implementation</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2. Supposed to be doing this now</td>
<td>2. Must teach officers to make critical observations - lots of training needed</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3. AF Form 90 now used for goals</td>
<td>3. How to account for mid-year goal changes</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4. Rate should not set goals, it should be rater</td>
<td>4. Training also needed in writing specific objectives</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5. Should not go beyond ratee-rater level</td>
<td>5. Should not go beyond ratee-rater level</td>
</tr>
<tr>
<td>D.</td>
<td>Show Development Goal on the OER Form (N=20)</td>
<td></td>
<td></td>
<td>1. Raters will game it - waste of time</td>
<td>1. How to avoid uneven implementation</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2. Officers will view as career threat</td>
<td>2. Must teach officers to make critical observations - lots of training needed</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3. Raters will find it difficult to do</td>
<td>3. How to account for mid-year goal changes</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4. Would not serve valid need</td>
<td>4. Training also needed in writing specific objectives</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5. Prefer to have off-line, worksheet</td>
<td>5. Prefer to have off-line, worksheet</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>6. Adds to administrative workload</td>
<td>6. Adds to administrative workload</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>7. Prefer &quot;whole man&quot; critique, not one area</td>
<td>7. Prefer &quot;whole man&quot; critique, not one area</td>
</tr>
<tr>
<td>E.</td>
<td>Pick strongest area from performance factors (N=20)</td>
<td></td>
<td></td>
<td>1. Would be gamed - &quot;leadership&quot; will win</td>
<td>1. Need to think of way to avoid raters guessing which is the &quot;school solution&quot;, making them candid</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2. Not much utility in this</td>
<td>2. Need to think of way to avoid raters guessing which is the &quot;school solution&quot;, making them candid</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3. Already doing it on the rear of form</td>
<td>3. Already doing it on the rear of form</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4. OK if pick top 3</td>
<td>4. OK if pick top 3</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5. Would prefer to rank-order</td>
<td>5. Would prefer to rank-order</td>
</tr>
</tbody>
</table>

*Legend at Page E-8
<table>
<thead>
<tr>
<th>TOTAL</th>
<th>O-6</th>
<th>O-5/3</th>
<th>REASONS OPPOSED</th>
<th>IMPLEMENTATION ISSUES</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>F. Indorser rank-order potential among outstanding (N=20)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>+</td>
<td>8  (40%)</td>
<td>5  (45%)</td>
<td>3  (33%)</td>
<td>1. Demoralizing for ratees</td>
</tr>
<tr>
<td>0</td>
<td>2  (10%)</td>
<td>1  (9%)</td>
<td>1  (11%)</td>
<td>2. Too much like controlled OER</td>
</tr>
<tr>
<td>-</td>
<td>10</td>
<td>5</td>
<td>5</td>
<td>3. Wing commander should not promote [!]</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4. Prefer way to rate the rater</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5. Will be manipulated to match</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>promotion zone eligibility</td>
</tr>
<tr>
<td><strong>G. Wing Commander may give top potential score to only 10% (N=20)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>+</td>
<td>15  (75%)</td>
<td>8  (73%)</td>
<td>7  (78%)</td>
<td>1. Dislikes any quota system (1-2-3)</td>
</tr>
<tr>
<td>0</td>
<td>1   (5%)</td>
<td>1  (9%)</td>
<td></td>
<td>2. We really are doing this now!</td>
</tr>
<tr>
<td>-</td>
<td>4</td>
<td>2</td>
<td>2</td>
<td>3. There would be bias against support</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>officers on flying bases</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4. Limit should be 5%</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5. Should control all graphic scales</td>
</tr>
<tr>
<td><strong>H. For performance factors, rate only extremes (N=20)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>+</td>
<td>7   (35%)</td>
<td>4  (36%)</td>
<td>3  (33%)</td>
<td>1. Too much like 1-2-3 controlled OER</td>
</tr>
<tr>
<td>0</td>
<td>6  (30%)</td>
<td>3  (27%)</td>
<td>3  (33%)</td>
<td>2. Raters cannot be made to comply</td>
</tr>
<tr>
<td>-</td>
<td>7</td>
<td></td>
<td>3</td>
<td>3. Put pressure on indorser, not rater</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4. Prefer 5 blocks to 3</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5. Not enough discrimination in this</td>
</tr>
<tr>
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<td></td>
<td></td>
<td></td>
<td>6. Should not have any rating on front</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>7. Uneven compliance is fatal flaw</td>
</tr>
<tr>
<td><strong>I. Give raters rating history to his supervisor (N=20)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>+</td>
<td>12  (60%)</td>
<td>9  (82%)</td>
<td>3  (33%)</td>
<td>1. Hard for raters to &quot;take&quot; criticism,</td>
</tr>
<tr>
<td>0</td>
<td>2   (10%)</td>
<td>2  (22%)</td>
<td>1</td>
<td>2. Threat to most officers</td>
</tr>
<tr>
<td>-</td>
<td>6</td>
<td></td>
<td>4</td>
<td>3. Rather apply this to indorsers</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4. Need minimum population of ratees to</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>be meaningful</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5. Administratively complex</td>
</tr>
<tr>
<td><strong>J. Show rater tendencies to selection board (N=20)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>+</td>
<td>11  (55%)</td>
<td>5  (45%)</td>
<td>6  (67%)</td>
<td>1. Since rater's scores are relatively</td>
</tr>
<tr>
<td>0</td>
<td>4   (20%)</td>
<td>3  (27%)</td>
<td>1  (11%)</td>
<td>2. Unimportant to boards, little use in this</td>
</tr>
<tr>
<td>-</td>
<td>5</td>
<td></td>
<td>3</td>
<td>3. Boards already have too many numbers</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>to look at. If there are 10 rating</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>factors, it would be cumbersome.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1. Small population of ratees in the history</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>will be a problem - particularly</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>for junior raters</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2. How do you handle SPECAT units</td>
</tr>
<tr>
<td>TOTAL</td>
<td>O-6</td>
<td>O-5/3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>-------</td>
<td>------</td>
<td>-------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>L. Show indorser tendencies to selection board (N=19)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>+ 12 (63%)</td>
<td>8 (40%)</td>
<td>4 (44%)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>0 2 (11%)</td>
<td>1 (10%)</td>
<td>1 (11%)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- 5</td>
<td>1</td>
<td>4</td>
<td></td>
<td></td>
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<table>
<thead>
<tr>
<th>REASONS OPPOSED</th>
<th>IMPLEMENTATION ISSUES</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Would prefer to control distribution - then don't need this</td>
<td>1. Promotion boards would still look at indorser's grade</td>
</tr>
<tr>
<td>2. Boards would have too many numbers to look at</td>
<td>2. Need way to make administratively simple</td>
</tr>
<tr>
<td>3. What about small units of high quality officers?</td>
<td></td>
</tr>
<tr>
<td>4. This is already done for high level indorsements</td>
<td></td>
</tr>
</tbody>
</table>

| M. No numeric scale for performance factors (N=20) | | |
| + 10 (50%) | 4 (36%) | 6 (67%) |
| 0 | 10 | 7 | 3 |

<table>
<thead>
<tr>
<th>REASONS OPPOSED</th>
<th>IMPLEMENTATION ISSUES</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Differences in writing skills of raters would be too significant</td>
<td>1. Challenge to eliminate the puffery in the narrative</td>
</tr>
<tr>
<td>2. Boards will not read narratives</td>
<td></td>
</tr>
<tr>
<td>3. Need quick visual cue</td>
<td></td>
</tr>
<tr>
<td>4. Rather make graphic scale work</td>
<td></td>
</tr>
<tr>
<td>5. Prefer to eliminate performance factors</td>
<td></td>
</tr>
</tbody>
</table>

| N. No graphic scale for potential (N=20) | | |
| + 5 (25%) | 1 (9%) | 4 (44%) |
| 0 3 (15%) | 2 (18%) | 1 (11%) |
| - 12 | 8 | 4 |

<table>
<thead>
<tr>
<th>REASONS OPPOSED</th>
<th>IMPLEMENTATION ISSUES</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Officers need psychic reinforcement</td>
<td>1. Must give training, specific guidance to selection boards</td>
</tr>
<tr>
<td>2. Current system hurts officers from 2, 3 star MAJCOM. This makes it worse</td>
<td></td>
</tr>
<tr>
<td>3. Need to do away with current system of differing indorsement levels</td>
<td></td>
</tr>
</tbody>
</table>

| O. Retain inflated OER for morale reasons (N=19) | | |
| + 9 (47%) | 3 (30%) | 6 (67%) |
| - 10 | 7 | 3 |

<table>
<thead>
<tr>
<th>REASONS OPPOSED</th>
<th>IMPLEMENTATION ISSUES</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. System is inefficient</td>
<td>1. Must ensure that change doesn't cause increased officer losses</td>
</tr>
<tr>
<td>2. System is &quot;bankrupt&quot;</td>
<td>2. Training, indoctrination to ensure acceptance of change</td>
</tr>
<tr>
<td>3. Morale has been eroded by present system</td>
<td></td>
</tr>
<tr>
<td>4. Rewarding everyone breeds mediocrity</td>
<td></td>
</tr>
<tr>
<td>5. Should not lie to officers about the grade pyramid</td>
<td></td>
</tr>
<tr>
<td>6. Need to change expectations</td>
<td></td>
</tr>
</tbody>
</table>

| P. Separate OER for company, field grade (N=19) | | |
| + 10 (53%) | 5 (50%) | 5 (56%) |
| 0 3 (16%) | 2 (20%) | 1 (11%) |
| - 6 | 3 | 3 |

<table>
<thead>
<tr>
<th>REASONS OPPOSED</th>
<th>IMPLEMENTATION ISSUES</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Differences are only in degree, not not fundamental</td>
<td></td>
</tr>
<tr>
<td>2. Complicates administrative process</td>
<td></td>
</tr>
<tr>
<td>3. What would it do - don't see worth</td>
<td></td>
</tr>
</tbody>
</table>
Q. Retain twice a year OER for Lieutenants (N=16)

<table>
<thead>
<tr>
<th></th>
<th>TOTAL</th>
<th>O-6</th>
<th>O-5/3</th>
</tr>
</thead>
<tbody>
<tr>
<td>+</td>
<td>5 (31%)</td>
<td>2 (25%)</td>
<td>3 (38%)</td>
</tr>
<tr>
<td>0</td>
<td></td>
<td>11</td>
<td></td>
</tr>
<tr>
<td>-</td>
<td>6</td>
<td>5</td>
<td></td>
</tr>
</tbody>
</table>

REASONS OPPOSED
1. Lt. need more counselling, not evaluation
2. Great deal of administrative burden
3. Hard to generate new facts to document performance

IMPLEMENTATION ISSUES

ADDITIONAL COMMENTS
1. LOE is clumsy, too long. It should be discarded.
2. OER only needs rater, indorser. Eliminate the additional raters.
3. Purposes of OER should be:
   a) Discrimination for promotion
   b) Assignment selection
   c) Motivation, reward (strokes)
4. Take a look at AFLC. There are relatively few officers and any systems change should account for this distribution. The command doesn’t do well in promotions.
5. Changes should be evolutionary, not revolutionary.

LEGEND
1. The issues A-Q, above, are keyed to the interview guide, Enclosure 2, except for Item Q which was added after the interview guide was prepared.
2. Item K from the interview guide was deleted during the interview series.
3. The columns in the tabulation section are: 1) Total number of officers interviewed, 2) number of officers in grade O-6, and 3) number of officers in grades O-3 through O-5. Numbers in parentheses are percentages of the total in the column.
4. The rows in the tabulation section are: 1) +, the number of officers favoring the issues; 2) O, the number of officers neutral to the issue; and 3) -, the number of officers opposed to the issue.
5. N is the total number of officers asked each question.
APPENDIX F
OER FORMS USED IN THE SERVICES

This Appendix displays the forms used by the U.S. armed services, the U.S. Coast Guard, the Foreign Service of the Department of State, and the Canadian Defense Forces.

<table>
<thead>
<tr>
<th>FORM TITLE</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>U.S. Air Force</td>
<td></td>
</tr>
<tr>
<td>Air Force Form 707, Officer................................................</td>
<td>F-2</td>
</tr>
<tr>
<td>Effectiveness Report</td>
<td></td>
</tr>
<tr>
<td>U.S. Army</td>
<td></td>
</tr>
<tr>
<td>DA Form 68-8-1.................................................................</td>
<td>F-4</td>
</tr>
<tr>
<td>OER Support Form</td>
<td></td>
</tr>
<tr>
<td>DA Form 68-8, Officer Evaluation Form...............................</td>
<td>F-6</td>
</tr>
<tr>
<td>U.S. Navy</td>
<td></td>
</tr>
<tr>
<td>NAVPERS 1611/1, Report on the........................................</td>
<td>F-8</td>
</tr>
<tr>
<td>Fitness of Officers</td>
<td></td>
</tr>
<tr>
<td>U.S. Marine Corps</td>
<td></td>
</tr>
<tr>
<td>NAVMC 10835, USMC Fitness Report........................................</td>
<td>F-10</td>
</tr>
<tr>
<td>U.S. Coast Guard</td>
<td></td>
</tr>
<tr>
<td>CG-5312, Lieutenant Commander...........................................</td>
<td>F-12</td>
</tr>
<tr>
<td>Officer Evaluation Report</td>
<td></td>
</tr>
<tr>
<td>Foreign Service</td>
<td></td>
</tr>
<tr>
<td>Form DS-1829, U.S. Foreign Service.......................................</td>
<td>F-16</td>
</tr>
<tr>
<td>Employee Evaluation Report</td>
<td></td>
</tr>
<tr>
<td>Canadian Defense Forces</td>
<td></td>
</tr>
<tr>
<td>CF 1417, Personnel Evaluation Report:..................................</td>
<td>F-21</td>
</tr>
<tr>
<td>Officers</td>
<td></td>
</tr>
</tbody>
</table>
## RATEE IDENTIFICATION DATA

1. NAME (Last, First, Middle Initial)  
   **SMITH, Jack II**  
   2. RANK (Include Suffixes)  
   **231-34-5432**  
   3. GRADE  
   **Captain**  
   4. DAEC  
   **A1321X**

## ORGANIZATION, COMMAND, LOCATION

**345 Tac Ftr Wg (TAC), Mt Home AFB, ID**

## PERIOD OF REPORT

**FROM:** 13 Jul 81  
**THRU:** 31 Oct 82

## NO. DAYS OF SUPERVISION

**120**

## REASON FOR REPORT

**Annual**

## JOB DESCRIPTION

**Enter command level and approved duty title as of the closeout date of the report (paragraph 2a this attachment).**

**Item 2:** Describe the type and level of responsibility, the impact, the number of people supervised, the dollar value of projects managed, and any other facts which describe the job of this particular ratee.

### III. PERFORMANCE FACTORS

<table>
<thead>
<tr>
<th>Specific example of performance required</th>
<th>NOT OBSERVED</th>
<th>BELOW STANDARD</th>
<th>MEETS STANDARD</th>
<th>ABOVE STANDARD</th>
<th>WELL ABOVE STANDARD</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. JOB KNOWLEDGE (Depth, currency, sound)</td>
<td>O</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>What has the ratee done to actually demonstrate depth, currency or breadth of job knowledge? Consider both quality and quantity of work.</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. JUDGMENT AND DECISIONS (Consistent, accurate, effective)</td>
<td>O</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| **Does the ratee think clearly and develop correct and logical conclusions?**  
**Does the ratee grasp, analyze, and present workable solutions to problems?** |
| 3. PLAN AND ORGANIZE WORK (Timely, creative) | O            |                |                |                |                     |
| **Does the ratee look beyond immediate job requirements? How has the ratee anticipated critical events?** |
| 4. MANAGEMENT OF RESOURCES (Manpower and material) | O            |                |                |                |                     |
| **Does the ratee get maximum return for personnel, material and energy expended? Consider the balance between minimizing cost and mission accomplishment.** |
| 5. LEADERSHIP (Initiative, accept responsibility) | O            |                |                |                |                     |
| **How has the ratee demonstrated initiative, acceptance of responsibility, and ability to direct and motivate group effort towards a goal?** |
| 6. ADAPTABILITY TO STRESS (Stable, flexible, dependable) | O            |                |                |                |                     |
| **How has the ratee handled pressure? Does quality of work drop off? Improve?** |
| 7. ORAL COMMUNICATION (Clear, concise, confident) | O            |                |                |                |                     |
| **How has the ratee demonstrated the ability to present ideas orally?** |
| 8. WRITTEN COMMUNICATION (Clear, concise, organized) | O            |                |                |                |                     |
| **How has the ratee demonstrated the ability to present ideas in writing?** |
| 9. PROFESSIONAL QUALITIES (Attitude, dress, cooperation, bearing) | O            |                |                |                |                     |
| **How well does the officer meet and enforce Air Force standards of bearing, dress, grooming and courtesy? Is the image projected by the ratee an asset to the Air Force?** |
| 10. HUMAN RELATIONS (Equal opportunity, personal respect) | O            |                |                |                |                     |
| **How has the ratee demonstrated support for the AF Equal Opportunity Program, and sensitivity for the human needs of others? Evaluation of this factor is MANDATORY.** |

AF FORM NOV 707 PREVIOUS EDITION WILL BE USED. F-2

OFFICER EFFECTIVENESS REPORT
### IV. ASSIGNMENT RECOMMENDATION:
- Perseverance
- Sample

#### V. EVALUATION OF POTENTIAL:

Compare the ratee's capability to assume increased responsibility with that of other officers whom you know in the same grade. Indicate your rating by placing an "X" in the designated portion of the most appropriate block.

<table>
<thead>
<tr>
<th>RATER</th>
<th>ADDITIONAL RATER</th>
<th>INDORSER</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### VI. RATER COMMENTS

Organize comments within the standards of good writing. Do not use headings; underline, or capitalize merely to add emphasis. Include those comments required by paragraph 3-15. Add any other comments not covered elsewhere and not excluded by paragraph 3-14 which will increase the value and meaning of the report. Amplify those positive aspects of the ratee's performance deserving special note.

<table>
<thead>
<tr>
<th>NAME, GRADE, SR OF SVC, ORGM, COMD, LOCATION</th>
<th>DUTY TITLE</th>
<th>DATE</th>
<th>SIGNATURE</th>
</tr>
</thead>
<tbody>
<tr>
<td>JACK LAMB, JR., Lt Col, USAF 529 Bomb Sq (H) (SAC) Plattsburg AFB NY</td>
<td>Operations Officer</td>
<td>1 Nov 82</td>
<td>Jack Lamb</td>
</tr>
</tbody>
</table>

#### VII. ADDITIONAL RATER COMMENTS

Review the ratings and comments of the rater for completeness and impartiality. If the additional rater does not concur with any rating in section III or V, or any comments, check the nonconcur block. To reflect disagreement, initial appropriate blocks (section III) and mark additional rater block (section V). Significant disagreement (para 2-26) requires justification.

<table>
<thead>
<tr>
<th>NAME, GRADE, SR OF SVC, ORGM, COMD, LOCATION</th>
<th>DUTY TITLE</th>
<th>DATE</th>
<th>SIGNATURE</th>
</tr>
</thead>
<tbody>
<tr>
<td>FRANK HARRIS, COL, USAF 529 Bomb Sq (H) (SAC) Plattsburg AFB NY</td>
<td>Commander</td>
<td>2 Nov 82</td>
<td>Frank Harris</td>
</tr>
</tbody>
</table>

#### VIII. INDOORER COMMENTS

Review the ratings and comments of the rater and additional rater for completeness and impartiality. If the indorser does not concur with the additional rater's comments or ratings, check the nonconcur block. To reflect disagreement, initial appropriate block (section III) and mark indorser block (section V). Significant disagreement (para 2-26) requires justification.

<table>
<thead>
<tr>
<th>NAME, GRADE, SR OF SVC, ORGM, COMD, LOCATION</th>
<th>DUTY TITLE</th>
<th>DATE</th>
<th>SIGNATURE</th>
</tr>
</thead>
<tbody>
<tr>
<td>James M. Robinson, Col, USAF 380 Bomb Wg (SAC) Plattsburg AFB NY</td>
<td>Commander</td>
<td>4 Nov 82</td>
<td>James M. Robinson</td>
</tr>
</tbody>
</table>
**OFFICER EVALUATION REPORT SUPPORT FORM**
For use of this form, see AR 623-100, the procuring agency is DEPSER.

Read Privacy Act Statement on Reverse before Completing this Form

**PART I - RATED OFFICER IDENTIFICATION**

<table>
<thead>
<tr>
<th>NAME OF RATED OFFICER (Last, First, MI)</th>
<th>GRADE</th>
<th>ORGANIZATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>LANG, LESLIE R.</td>
<td>CPT</td>
<td>B-Bn, 3d Bn, 55th Arty</td>
</tr>
</tbody>
</table>

**PART II - RATING CHAIN - YOUR RATING CHAIN FOR THE EVALUATION PERIOD III:**

<table>
<thead>
<tr>
<th>RATER</th>
<th>NAME</th>
<th>GRADE</th>
<th>POSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>GREY, THOMAS A.</td>
<td>LTC</td>
<td>Bn Commander</td>
<td></td>
</tr>
<tr>
<td>INTERMEDIATE RATER</td>
<td>NAME</td>
<td>GRADE</td>
<td>POSITION</td>
</tr>
<tr>
<td>SENIOR RATER</td>
<td>NAME</td>
<td>GRADE</td>
<td>POSITION</td>
</tr>
<tr>
<td>FOX, LARRY R.</td>
<td>COL</td>
<td>Bde Commander</td>
<td></td>
</tr>
</tbody>
</table>

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

An initial face-to-face discussion of duties, responsibilities, and performance objectives for the current rating period took place on See paragraph 4-6 and 4-7.

RATED OFFICER'S INITIALS See paragraph 4-6 RATER'S INITIALS See paragraph 4-7

**PART IV - RATED OFFICER (Complete a, b, and c below for this rating period)**

a. STATE YOUR SIGNIFICANT DUTIES AND RESPONSIBILITIES

DUTY TITLE IS ____________, THE POSITION CODE IS ____________

b. INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES


## Part V - Rater AND/OR Intermediate Rater

Review and comment on Part IV, a, and c above. Inspection remarks are consistent with your performance and potential evaluation on DA Form 67-6.

<table>
<thead>
<tr>
<th>List Your Significant Contributions</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

### Signature and Date

**Rater Comments** (optional): 

<table>
<thead>
<tr>
<th>Signature and Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

**Intermediate Rater Comments** (optional): 

<table>
<thead>
<tr>
<th>Signature and Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

## Data Required by the Privacy Act of 1974 (5 U.S.C. 552a)

1. **Authority**: Sec 301 Title 5 USC; Sec 3012 Title 10 USC

2. **Purpose**: DA Form 67-5, Officer Evaluation Report, serves as the primary source of information for officer personnel management decisions. DA Form 67-6-1, Officers Evaluation Support Form, serves as a guide for the rated officer's performance, development of the rated officer, enhancing the accomplishment of the organization mission, and provides additional performance information to the rating chain.

3. **Routine Use**: DA Form 67-6 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 67-6-1 is for organizational use only and will be returned to the rated officer after review by the rating chain.

4. **Disclosure**: Disclosure of the rated officer’s SSAN (Part I, DA Form 67-6) is voluntary. However, failure to verify the SSAN may result in a delayed or erroneous processing of the officer's OER. Disclosure of the information in Part IV, DA Form 67-6-1 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.

---

F-5
# US Army Officer Evaluation Report

**DA Form 67-8**

**Replaces DA Form 67-7, 1 Jan 73, Which Is Obsolete, 1 Nov 79.**

**US Army Office Evaluation Report**

**PART I - PERSONAL DATA**

<table>
<thead>
<tr>
<th>Field</th>
<th>Data</th>
</tr>
</thead>
<tbody>
<tr>
<td>First Name</td>
<td>Middle Initial</td>
</tr>
<tr>
<td>Year</td>
<td>Month</td>
</tr>
</tbody>
</table>

**PART II - AUTHENTICATION**

<table>
<thead>
<tr>
<th>Field</th>
<th>Data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of Rater (Last, First, MI)</td>
<td>SSN</td>
</tr>
<tr>
<td>Grade</td>
<td>Branch</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Field</th>
<th>Data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of Intermediate Rater (Last, First, MI)</td>
<td>SSN</td>
</tr>
<tr>
<td>Grade</td>
<td>Branch</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Field</th>
<th>Data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of Senior Rater (Last, First, MI)</td>
<td>SSN</td>
</tr>
<tr>
<td>Grade</td>
<td>Branch</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Field</th>
<th>Data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature of Rated Officer</td>
<td>Date</td>
</tr>
</tbody>
</table>

**PART III - DUTY DESCRIPTION (Rated)**

<table>
<thead>
<tr>
<th>Field</th>
<th>Data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal Duty Title</td>
<td>B. SS/MOS</td>
</tr>
</tbody>
</table>

**PART IV - PERFORMANCE EVALUATION - PROFESSIONALISM (Rated)**

<table>
<thead>
<tr>
<th>Field</th>
<th>Data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professional Competence</td>
<td>Professional Ethics</td>
</tr>
<tr>
<td>(In items 1 through 10 below, indicate the degree of agreement with the following statements as being descriptive of the rated officer. Any comments will be reflected on 9 below.)</td>
<td>(Comment on any area where the rated officer is particularly outstanding or needs improvement.)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
<th>High Degree</th>
<th>Low Degree</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Displays sound judgment</td>
<td>5</td>
<td>1</td>
</tr>
<tr>
<td>2</td>
<td>Demonstrates appropriate knowledge and expertise in assigned tasks</td>
<td>5</td>
<td>1</td>
</tr>
<tr>
<td>3</td>
<td>Maintains appropriate level of physical fitness</td>
<td>5</td>
<td>1</td>
</tr>
<tr>
<td>4</td>
<td>Motivates, challenges and develops subordinates</td>
<td>5</td>
<td>1</td>
</tr>
<tr>
<td>5</td>
<td>Performs under physical and mental stress</td>
<td>5</td>
<td>1</td>
</tr>
<tr>
<td>6</td>
<td>Encourages candor and frankness in subordinates</td>
<td>5</td>
<td>1</td>
</tr>
<tr>
<td>7</td>
<td>Clear and concise in written communication</td>
<td>5</td>
<td>1</td>
</tr>
<tr>
<td>8</td>
<td>Professional Ethics (Comment on any area where the rated officer is particularly outstanding or needs improvement.)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
PART V - PERFORMANCE AND POTENTIAL EVALUATION (Rater)

1. RATED OFFICER'S NAME

2. RATED OFFICER IS ASSIGNED IN ONE OF HIGHER DESIGNATED SPECIALTIES/SNOS

3. PERFORMANCE DURING THIS RATING PERIOD. REFER TO PART III, DA FORM 57-8 AND PART III 2, 3, AND 5, DA FORM 57-8-1

4. COMMENT ON SPECIFIC ASPECTS OF THE PERFORMANCE. REFER TO PART III, DA FORM 57-8 AND PART III 2, 3, AND 5, DA FORM 57-8-1. DO NOT USE FOR COMMENTS ON POTENTIAL!

5. THIS OFFICER'S POTENTIAL FOR PROMOTION TO THE NEXT HIGHER GRADE IS

6. COMMENT ON POTENTIAL

PART VI - INTERMEDIATE RATER

7. COMMENTS

PART VII - SENIOR RATER

8. POTENTIAL EVALUATION (DA FORM 57-8 AND/or DA FORM 57-8-(A))

9. COMMENTS

A COMPLETED DA FORM 57-8 IS NOT INSTRUMENTAL WITH THIS REPORT AND CONSIDERED IN MY EVALUATION AND REVIEW

F-7
# Report on the Fitness of Officers

<table>
<thead>
<tr>
<th>NAME (LAST, FIRST, MIDDLE)</th>
<th>2 GRADE</th>
<th>3 DEGN</th>
<th>4 BSN</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 ACCOUNT:</td>
<td>6 UC</td>
<td>7 SHIP/STATION</td>
<td>8 DATE REPORTED</td>
</tr>
<tr>
<td>9 PERIOD OF REPORT</td>
<td>10 DETACHMENT OF REPORTING SENIOR</td>
<td>11 DETACHMENT OF OFFICER</td>
<td>12 FROM</td>
</tr>
<tr>
<td>13 TO</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Type of Report**
- Regular
- Con-Regular
- Special
- OPR
- Close

**Basis for Observation**
- Frequent
- Infrequent

**Employment of Command (Continued on Reverse Side of Record Copy)**

**Specific Aspects of Performance**

<table>
<thead>
<tr>
<th>AO</th>
<th>Goal Setting &amp; Achievement</th>
<th>Subordinate Management &amp; Development</th>
<th>Worker Relations</th>
<th>Equal Opportunity</th>
<th>Speaking Ability</th>
<th>Writing Ability</th>
</tr>
</thead>
</table>

**Warfare Specialized Skills from Ours Worksheet**

<table>
<thead>
<tr>
<th>3A</th>
<th>3B</th>
<th>3C</th>
<th>3D</th>
</tr>
</thead>
</table>

**Sustained Code**

<table>
<thead>
<tr>
<th>4A</th>
<th>4B</th>
<th>4C</th>
<th>4D</th>
</tr>
</thead>
</table>

**Evaluation Summary**

<table>
<thead>
<tr>
<th>Level of Performance</th>
<th>6A</th>
<th>6B</th>
<th>6C</th>
<th>6D</th>
</tr>
</thead>
</table>

**Witnesses & Disclosures**

<table>
<thead>
<tr>
<th>7A</th>
<th>7B</th>
<th>7C</th>
</tr>
</thead>
</table>

**Statement**

- 8A | 8B | 8C |

**Signature of Officer Evaluated**

[Hod. Bupers Inst. 1011 12601/3e6]

I acknowledge that I have been this report that has been approved of my performance and right to make a statement.

---

**Signature of Regular Reporting Senior**

---

**Signature of Reporting Senior**

---

**Signature of Regular Reporting Senior on Concurrent and Concurrent/Special Report**

---
88 COMMENTS: Participate in comment upon the officer's overall leadership ability, personal traits not noted on the reverse side and estimated or actual performance in combat. Include comments dealing with unique skills and distinctions that may be important to career development and future assignments. A mark in boxes with an asterisk (*) indicates adverse and supporting comments are required.

F-9
<table>
<thead>
<tr>
<th>SECTION A</th>
<th>USE ONLY IF APPLICABLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. PROGRAM</td>
<td>1a. ORGANIZATION</td>
</tr>
<tr>
<td>2. MARINE REPORTED ON</td>
<td>2a. LAST NAME</td>
</tr>
</tbody>
</table>
| 3. OCCASION AND PERIOD COVERED | 3a. OCC
| 4. DUTY ASSIGNMENT | 4a. DUTY JOB |
| 5. SPECIAL INFORMATION | 5a. QUALIFICATION |
| 6. RESERVED FOR FUTURE USE | |

<table>
<thead>
<tr>
<th>SECTION B</th>
<th>CHECK BOXES TO INDICATE DUTIES OF THIS MARINE</th>
</tr>
</thead>
<tbody>
<tr>
<td>12. SPECIAL CASE (Mark if applicable)</td>
<td>12.1 PERFORMANCE</td>
</tr>
<tr>
<td>13. REGULAR DUTIES</td>
<td>13a. ADMINISTRATIVE DUTIES</td>
</tr>
<tr>
<td>13b. ADDITIONAL DUTIES</td>
<td>13b. HANDLING OFFICERS (MARK NO.: )</td>
</tr>
<tr>
<td>13c. HANDLING ENLISTED PERSONNEL</td>
<td>13d. HANDLING OF TROOPS</td>
</tr>
<tr>
<td>13e. TRAINING PERSONNEL</td>
<td>14. ENDURANCE</td>
</tr>
<tr>
<td>14. PERSONAL APPEARANCE</td>
<td>14b. PERSONAL APPEARANCE</td>
</tr>
<tr>
<td>15. MILITARY PRESENCE</td>
<td>15a. ECONOMY OF MANAGEMENT</td>
</tr>
<tr>
<td>16. PERSONAL QUALITIES</td>
<td>16b. PERSONAL RELATIONS</td>
</tr>
<tr>
<td>17. COMPLIMENTARY ACTION</td>
<td>17a. PERSONAL RELATIONS</td>
</tr>
<tr>
<td>18. RECOMMENDATION FOR NEUTRAL OR CONCURRENCE</td>
<td></td>
</tr>
<tr>
<td>19. QUALIFIED FOR PROMOTION</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SECTION C</th>
<th>REPORTING SENIOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>22. I CERTIFY that the information in section A is correct to the best of my knowledge.</td>
<td></td>
</tr>
<tr>
<td>23. I CERTIFY that the best of my knowledge and belief all entries made hereon are true and without prejudice or partiality.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SECTION D</th>
<th>SIGNATURES</th>
</tr>
</thead>
<tbody>
<tr>
<td>24. (Check one when required)</td>
<td>24a. I HAVE SEEN THIS COMPLETED REPORT.</td>
</tr>
<tr>
<td>25. REVIEWING OFFICER (Name, Grade, Service, Duty Assignment)</td>
<td>25a. INITIALS</td>
</tr>
</tbody>
</table>

RETRIEVED AT GOVERNMENT EXPENSE
"APPENDIX D OF NMC 11-1
F-10"
REPORING 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 those evaluated as Outstanding in 15a and b: mark NA if not applicable).

<table>
<thead>
<tr>
<th>NAME (Last, First, M.I.)</th>
<th>MOS</th>
<th>NAME (Last, First, M.I.)</th>
<th>MOS</th>
</tr>
</thead>
</table>

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 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 (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.
2. DESCRIPTION OF DUTIES

THE SUPERVISOR WILL COMPLETE SECTIONS 2-7. In Section 2, describe the officer's job including primary and collateral duties, resources available and relationships, to unit or Coast Guard missions. Then for each of the rating scales in Sections 2-7, the officer's performance during the reporting period against the standards shown and assign a mark by filling in the appropriate circle. In the area following each section, describe the officer's performance.

2. DESCRIPTION OF DUTIES

3. PERFORMANCE OF DUTIES: Measures an officer's ability to get things done.

3. PERFORMANCE OF DUTIES: Measures an officer's ability to get things done.

a. BEING PREPARED

Demonstrated ability to anticipate and identify issues that must be done to prepare, plan, and prepare for accomplishing unit and organizational missions under both predictable and unpredictable conditions.

b. USING RESOURCES

Demonstrated ability to utilize people, money, material, and time efficiently, to delegate, and to provide follow-up control.

c. GETTING RESULTS

The quality, quantity, and timeliness of the officer's work as compared to the expected goals. The effectiveness of the officer's ability to plan, direct, and control through the use of subordinates.

d. RESPONSIVENESS

The degree to which the officer responds, resolves, or meets deadlines in a timely fashion.

e. PROFESSIONAL EXPERTISE

The level of service knowledge and technical skills the officer demonstrates to perform the job. Includes knowledge of military engineering, force protection, fleet, aviation, etc. A professional officer is knowledgeable in the area of his or her expertise and has demonstrated the ability to apply knowledge to solve problems or make decisions.

I. COMMENTS (Performance of Duties):

F-12
### Leadership Skills: Measures an officer's ability to build, direct, develop, influence, and support others in their performance of work.

<table>
<thead>
<tr>
<th>Leadership Skills</th>
<th>Comments</th>
<th>Interpersonal Relations</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Developing Subordinates</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Maintaining Standards</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Building Trust</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Promoting Productivity</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Fostering Teamwork</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Communicating Effectively</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Leading by Example</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Interpersonal Relations: Measures how an officer affects other officers and support personnel.

- **Positive Leadership**
- **Constructive Communication**
- **Supportive Management**
- **Collaborative Teamwork**
- **Professional Development**

---

*Note: The table represents a summary of leadership and interpersonal skills, with additional comments and details that may be found in the full document.*
6. COMMUNICATION SKILLS: Measures an officer's ability to communicate in a positive, clear, and convincing manner.

<table>
<thead>
<tr>
<th>a. SPEAKING AND LISTENING</th>
<th>b. WRITING</th>
<th>c. ARTICULATING IDEAS</th>
<th>d. COMMENTS (Communication Skills)</th>
</tr>
</thead>
<tbody>
<tr>
<td>How well an officer speaks and listens in individual, group, or public situations.</td>
<td>How well an officer communicates through written material.</td>
<td>Ability to contribute ideas, discuss issues, and to express thoughts clearly, coherently, and extensively, in small or large groups, meetings.</td>
<td>COMMENTS (Communication Skills):</td>
</tr>
<tr>
<td>Communications ideas but is hampered by poor grammar, inappropriate language, or distracting mannerisms. Rambles/takes ad- diction. Does not exhibit confidence when speaking; may be unprepared. Listens poorly; does not give others a chance to speak.</td>
<td>Speaks clearly and coherently. Gets the point across. Speaks effectively and with confidence in both private and public situations. Uses appropriate grammar and pronunciation; has no distracting mannerisms. Gives others a chance to speak, listen well.</td>
<td>May have valid points, but lacks organization or a confident delivery. May argue rather than discuss, or may interpret irrelevant comments. Contributes little that is germane or useful. Unresponsive to ideas of others.</td>
<td></td>
</tr>
<tr>
<td>Speaks in an articulate, captivating manner. Always confident and credible in both private and public situations. Skillfully uses gestures, infections, and humor to em- phasize and persuade. Encourages others to respond, is an attentive listener.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

7. SUPERVISOR AUTHENTICATION

<table>
<thead>
<tr>
<th>a. SIGNATURE</th>
<th>b. GRADE</th>
<th>c. SSN</th>
<th>d. TITLE OF POSITION</th>
<th>e. DATE</th>
</tr>
</thead>
</table>

THE REPORTING OFFICER WILL COMPLETE SECTIONS 8-13. In Section 8, Comment on the Supervisor's evaluation of this officer (Optional). Then for each of the rating scales in Section 9 and 10 complete this officer against the standards shown and assign a mark by filling in the appropriate circle. In the area following each section describe the base for the mark given along with specifics where possible. Use only allotted space. Complete Sections 11, 12 and 13.

8. REPORTING OFFICER COMMENTS

9. PERSONAL QUALITIES: Measures selected qualities which illustrate the character of the individual.

<table>
<thead>
<tr>
<th>a. INITIATIVE</th>
<th>b. JUDGMENT</th>
<th>c. RESPONSIBILITY</th>
<th>d. STAMINA</th>
<th>e. SORCITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Demonstrated ability to move forward, make changes, and accept responsibility without guidance and supervision.</td>
<td>Demonstrated ability to arrive at sound decisions and make sound recommendations by using experience, common sense and analytical thought in the decision process.</td>
<td>Demonstrated commitment to getting the job done and to hold one's self accountable for own and subordinate's actions, courage of convictions, ability to accept decision contrary to own views and make them work.</td>
<td>Performance becomes marginal under stress or during periods of extended work. May make poor decisions, overlook key factors, focus on wrong priorities, or lose sight of safety considerations. Needs to put in necessary overtime work, becomes tired in time sensitive stressful situations.</td>
<td>The extent to which an officer exercises sound judgment in the use of alcohol and influence others to do same.</td>
</tr>
<tr>
<td>Tends to postpone needed action. Implementation change only when confronted by necessity or directed to do so. Often over- or under feeds. May suppress initiative of subordinates. May be non-supportive of changes directed by higher authority.</td>
<td>Demonstrates analytical thought and common sense in making proper decisions. Uses facts and experience and considers the impact of alternatives. Works hard, uses time to advantage. Makes sound decisions in a timely fashion with the best information available.</td>
<td>Usually can be depended upon to do the right thing. Normally accountable for own work. May accept less than satisfactory work or unduly interfere. Tends not to get involved or speak up. Provides minimal support for decisions contrary to own ideas.</td>
<td>Performance is sustained under stress or during periods of extended work with no loss of productivity or safety. Works extra hours when necessary to get the job done. Stays cool when the pressure is on.</td>
<td>Use of alcohol sets poor example, or results in reduced job performance. May bring discredit to service through alcohol influence of incidents while off duty. Does not seek help for people with alcohol related problems. Fail to take timely action to prevent alcohol related incidents.</td>
</tr>
<tr>
<td>Gets things done. Always strives to do the job better. Makes improvements, not harder. Self starter, not afraid of making mistakes. Supports new ideas, new methods, new efforts of others.</td>
<td></td>
<td></td>
<td>Performance reaches an unusually high level when under stress or during periods of extended work. Can work long hours over several days and still remain productive and alert. Thrives under stressful situations.</td>
<td>Uses alcohol indiscriminately and in moderation, or not at all. Job performance never affected by use of alcohol, nor dragged brought to service. Does not interpose unacceptable use by others. Supports alcohol education programs and seeks help for those with alcohol related problems.</td>
</tr>
<tr>
<td></td>
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</tr>
</tbody>
</table>

Γ-14
10. REPRESENTING THE COAST GUARD: Measures an officer's ability to bring credit to the Coast Guard through looks and actions.

<table>
<thead>
<tr>
<th>a. APPEARANCE:</th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>The extent to which an officer appears neat, smart, and well-groomed in uniform or civilian attire, conforms to prescribed weight standards, and uniformly requires subordinates to do the same.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>May not always meet uniform or grooming standards. Civilian attire may be inappropriate at times. May not present a physically trim appearance. Does not hold subordinate to same standards.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Always presents neat, smart and well-groomed in uniform and civilian attire. Presents physically trim appearance. Requires subordinate to conform to grooming/weight standards and maintain a physically trim appearance.</td>
<td></td>
<td></td>
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<tr>
<td>b. CUSTOMS AND COURTESIES:</td>
<td></td>
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</tr>
<tr>
<td>The degree to which an officer conforms to military traditions, customs, and courtesies and uniformly requires subordinates to do the same.</td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Occasionally lax in observing basic military customs, courtesies, and traditions. May not show proper respect when dealing with others. Tolerates lax behavior on part of subordinates.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Correct in conforming to military traditions, customs, and courtesies. Conveys their importance to others and requires subordinate to conform. Treats people with courtesy and consideration, ensures subordinate do the same.</td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. PROFESSIONALISM:</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>How an officer applies knowledge and skills to providing service to the public. The manner in which an officer represents the Coast Guard.</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>May be misinformed/unaware of Coast Guard policies and objectives. May blurt rather than admit ignorance. Does little to enhance self-image or image of Coast Guard. May be ineffective when working with others. May lead personal life which infringes on Coast Guard responsibilities or image.</td>
<td></td>
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</tr>
<tr>
<td>Well-versed in basic Coast Guard objectives, policies, procedures serve the public, communicate these effectively. Straightforward, cooperative, and evenhanded in dealing with the public and government. Aware of impact/impressions actions may cause on others. Supports CG ideals. Leads a personal life which reinforces CG image.</td>
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<tr>
<td>d. DEALING WITH THE PUBLIC:</td>
<td></td>
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<tr>
<td>How an individual acts when dealing with other services, agencies, businesses, the media, or the public.</td>
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<td></td>
</tr>
<tr>
<td>Appears ill-at-ease with the public or media. Inadequate in applying Coast Guard programs to public sector. Tenders under pressure. May take antagonistic, or condescending approach. Makes inappropriate statements. May embarrass Coast Guard in social situations.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Deals fairly and honestly with the public, media, and others at all levels. Responds promptly. Shows no favoritism. Doesn't falter when faced with difficult situations. Comforatable in social situations. Is effective in communicating expressed by public.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Always self-assured and in control when dealing with public, media, and others at all levels. Straightforward, impartial, and diplomatic. Applies Coast Guard policies programs fairly and uniformly. Has unusual social grace. Responds with great poise to provocative actions of others.</td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

e. COMMENTS (Representing the Coast Guard):

11. LEADERSHIP AND POTENTIAL: (Describe this officer's demonstrated leadership ability and overall potential for greater responsibility, promotion, special assignment, and command. Comments should be related to those areas for which the Reporting Officer has the appropriate background.)

12. COMPARISON SCALE AND DISTRIBUTION. (Considering your comments above, in line a compare this lieutenant commander with others of the same grade whom you have known in your career.)

<table>
<thead>
<tr>
<th>UNSATISFACTORY</th>
<th>A QUALIFIED OFFICER</th>
<th>MANY COMPETENT PROFESSIONALS WHO FORM THE MAJORITY OF THIS GRADE</th>
<th>AN EXCEPTIONAL OFFICER</th>
<th>A DISTINGUISHED OFFICER</th>
</tr>
</thead>
<tbody>
<tr>
<td>a.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b.</td>
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</tr>
</tbody>
</table>

FOR HEADQUARTERS USE ONLY

13. REPORTING OFFICER AUTHENTICATION

<table>
<thead>
<tr>
<th>a. SIGNATURE</th>
<th>b. GRADE</th>
<th>c. SSN</th>
<th>d. TITLE OF POSITION</th>
<th>e. DATE</th>
</tr>
</thead>
</table>

14. REVIEWER AUTHENTICATION

<table>
<thead>
<tr>
<th>a. SIGNATURE</th>
<th>b. GRADE</th>
<th>c. SSN</th>
<th>d. TITLE OF POSITION</th>
<th>e. DATE</th>
</tr>
</thead>
</table>

□ COMMENTS ATTACHED

See Instructions Before Completing
(September 1985)

U.S. FOREIGN SERVICE
EMPLOYEE EVALUATION REPORT

<table>
<thead>
<tr>
<th>TYPE OF REPORT</th>
<th>GRADE</th>
<th>SSN</th>
</tr>
</thead>
<tbody>
<tr>
<td>REGULAR _______ CAREER CANDIDATE _______ VOLUNTARY _______</td>
<td>POSITION TITLE</td>
<td></td>
</tr>
<tr>
<td>INTERIM Change of rater _______ duties _______ assignment _______</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

POST OR ORGANIZATION

<table>
<thead>
<tr>
<th>PERIOD COVERED</th>
<th>From</th>
<th>To</th>
</tr>
</thead>
<tbody>
<tr>
<td>RATER (type name)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TITLE:</td>
<td>GRADE:</td>
<td></td>
</tr>
<tr>
<td>REVIEWER (type name)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>TITLE:</td>
<td>GRADE:</td>
<td></td>
</tr>
</tbody>
</table>

I. EMPLOYEE'S JOB AND WORK REQUIREMENTS (Established by Rater, Reviewer, and Employee)

A. Describe the position and where it fits in the staffing pattern; indicate the number and kind of employees supervised.

B. Divide work requirements into two categories, continuing responsibilities and specific objectives (including, as appropriate, professional development activities); delineate in descending priority order. Include specific requirements relating to needs of other agencies.

C. Describe any special circumstances influencing the work program.
II. EVALUATION OF OVERALL PERFORMANCE AND ACCOMPLISHMENT (Completed by Rater)

General Appraisal:

SFS Member, Adjustment of Salary Level—Performance was excellent or better

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
</table>

All classes—Performance was satisfactory or better

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
</table>

(If no, see instructions for documenting unsatisfactory performance.)

B. Discussion: Performance—strengths and weaknesses—is evaluated in terms of the five competency groups listed below. (See instructions for definitions.)

All groups must be discussed with at least one competency from each group. Support assessment with examples of what and how work was done.

1. Substantive Knowledge (degree and level of functional and/or area skills and knowledge, including where appropriate, technical career skills)

2. Leadership (presence, effectiveness in oral communication, foresight, positiveness, and negotiating skill)

3. Managerial Skills (interest in improving systems, concern for influence, objectivity of purpose, self-control, achievement orientation, and operational effectiveness)

4. Intellectual Skills (conceptual ability, logical thinking, understanding of authority relationships, skill in written communication, language skills, and cultural sensitivity)

5. Interpersonal Skills (EEO leadership and sensitivity, social sensitivity, teaching skill, counseling skill)
A. General Appraisal: (Check block that best describes overall potential)
   1. For Career Candidates only: Assessment of career potential as a Foreign Service Officer or Foreign Service Specialist:
      - [ ] Unable to assess potential from observations to date
      - [ ] Candidate is unlikely to serve effectively even with additional experience
      - [ ] Candidate is likely to serve effectively but judgment is contingent on additional evaluated experience
      - [ ] Candidate is recommended for tenure and can be expected to serve successfully across a normal career span
   2. For other Foreign Service employees:
      - [ ] Shows minimal potential to assume greater responsibilities
      - [ ] Has performed strongly at current level but is not ready for positions of significantly greater responsibility at this time
      - [ ] Has demonstrated the potential to perform effectively at next higher level
      - [ ] Has demonstrated potential to perform effectively at higher levels
      - [ ] Has demonstrated exceptional potential for much greater responsibilities now

B. Discussion
   1. Potential is evaluated in terms of the competency groups listed in Section II. Cite examples illustrating strengths and weaknesses in competencies most important to your judgment.
   2. For career candidates, discuss potential for successful service across a normal career span; for Senior Foreign Service, discuss potential for highest and broadest responsibilities; for all others, discuss potential for advancement.

C. Areas for Improvement: The following must be completed for all employees. Employees should be made aware of areas where they should concentrate their efforts to improve. Based on your observation of the employee in his/her present position, specify at least one area in which he/she might best direct such efforts. Justify your choice. (The response is not to be directed to need for formal training.)
IV. RATING OFFICER'S COMPLIANCE STATEMENT

requirements were established by rater, reviewer, and employee on ___________________________.
1. Applicable, requirements were revised on ___________________________.

Employee's performance was discussed (candidate was counseled) on the following dates:
1. ___________________________ 2. ___________________________ 3. ___________________________ 4. ___________________________

In the case of an unsatisfactory performance rating, this is also to certify that the requirements of 3 FAM 521.2a (tenured employees), 3 FAM 557.5b(2) (employees subject to administrative promotion), 3 FAM 577 (FO Career Candidates) or 3 FAM 587 (Specialist Career Candidates) have been met.

Date Rating Completed ___________________________________________ (Rater's Signature) ___________________________

V. REVIEW STATEMENT (Completed by Reviewer)

A. Discussion: Give your assessment of the employee's performance and potential (if a career candidate, overall potential to serve effectively at all levels across a normal career span, including FS-1 if an FSO candidate). If possible support your evaluation by providing additional examples of performance observed this rating period. Note differences with the rater's appraisal or recommendations. Comment on relations between rater and employee.

B. Reviewing Officer's Compliance Statement:

After reviewing this report carefully, I consider it to be complete, in conformance with the instructions, and adequately documented by specific examples of performance.

Date Section V Completed ___________________________________________ (Reviewer's Signature) ___________________________

F-19
VI. STATEMENT BY RATED EMPLOYEE

A. Discussion: This section is intended to provide the rated employee's views on the period of performance appraised and on career goals and objectives. You must comment on your most significant achievements during the period. You also may wish to address activities or problems which may not have been adequately covered in the report, or aspects of the appraisal which may need clarification or correction. You are encouraged to state your current career goals including training and assignments desired over the next 5 years. (Continuation sheets may be used.)

B. I acknowledge receipt of a copy of this report.

Date Section VI Completed

(Employee's Signature)

VII. REVIEW PANEL STATEMENT (Completed by Review Panel)

A. Examples of Performance: Specific examples have been provided to support the ratings given the employee. ______ Yes (If not, return to rater for rewrite.)

B. Certification: This report has been prepared according to the regulations and contains no inadmissible material.

(Date) (Panel Signature)

C. Comments: (If submitted late, indicate who is responsible for delay.)

VIII. SUBMISSION CONTROL

RECEIVED IN POST/BUREAU

DATE RECEIVED IN PER/PE

DATE RELEASED TO DEPARTMENT FILES

F-20
General

1. The Personnel Evaluation Report (PER) — Officers is designed to provide information for use at NDHQ in selecting officers for promotion, development, training, employment, retention and release. It consists of two parts to be used as follows:

   a. CF 1417 for reporting on all officers; and

   b. CF 1418 for additional reporting on all officers of Colonel rank and below (see Annex A to CFAO 26-6 for special procedures for officers in a foreign establishment, international staff, or seconded position).

2. Detailed orders and instructions for completing the PER are contained in the following references:

   a. CFAO 26-6 Personnel Evaluation Reports — Regular and Reserve Force Officers — which prescribes the policy and orders with respect to general reporting responsibilities, reporting channels, occasions for completing PERs, and other administrative orders pertaining to the submission of PERs.

   b. A-PC-268-000/IS-000 — Personnel Evaluating and Reporting — Officers — which provides detailed instructions for completing the PER.

To be a valid career document the PER must be completed accurately. It is imperative, therefore, that reporting and reviewing officers read and understand the detailed instructions in A-PC-268-000/IS-000 before commencing an evaluation.

Généralités

1. Le Rapport d'appréciation du personnel (RAP) — Officiers a pour but de fournir au QGDN la principale source de renseignements utilisés lors de la sélection en vue d'une promotion, de la formation professionnelle, d'un cours de formation, d'un emploi, du maintien en fonction et d'une libération. Le rapport est en deux parties destinées à l'usage suivant:

   a. CF 1417 sert à la préparation d'un rapport pour tous les officiers;

   b. CF 1418 sert à la préparation d'un rapport additionnel pour les officiers du grade de colonel ou de grade inférieur (voir l'annexe A à l'OABC 26-6 pour dispositions spéciales relatives aux officiers dans des établissements étrangers, avec des états majors internationaux ou en affectation hors cadre.)

2. Des ordonnances et des instructions détaillées sur la façon de préparer les RAP figurent dans les publications suivantes:

   a. OABC 26-6 Rapports d'appréciation du personnel — Officiers de la Force régulière et de la Réserve — établit la ligne de conduite et les formalités relatives aux exigences générales de la préparation et de la filière de transmission des rapports, les circonstances exigeant l'établissement d'un RAP et autres ordonnances administratives avant rapport à la présentation des RAP.

   b. A-PC-268-000/IS-000 — Établissement des rapports d'appréciation du personnel — Officiers — donne des instructions détaillées sur la façon de remplir le RAP.

Afin de s'assurer que le RAP demeure un document valable, il doit être préparé avec la précision qui lui est due. Il incombe aux officiers rapporteurs et rédacteurs de lire et de comprendre les instructions détaillées figurant à la publication A-PC-268-000/IS-000 avant de rédiger les appréciations.
## SECTION I - PERSONAL INFORMATION - INFORMATIONS PERSONNELLES

<table>
<thead>
<tr>
<th>a. Mental Status</th>
<th>b. Dependent Children (sex/age/school grade/language of instruction)</th>
</tr>
</thead>
<tbody>
<tr>
<td>État matrimonial</td>
<td>Enfants à charge (sex/âge/anéé scolaire/langue d'instruction)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>c. Location of Dependents</th>
<th>d. Date Moved</th>
</tr>
</thead>
<tbody>
<tr>
<td>Domicile des personnes à charge</td>
<td>Date de déménagement</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>e. Factors Affecting Future Postings</th>
</tr>
</thead>
<tbody>
<tr>
<td>Facteurs pouvant influer sur les futures affectations</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>f. Preferred Geographical Location for next posting</th>
</tr>
</thead>
<tbody>
<tr>
<td>Région désirée lors de la prochaine affectation</td>
</tr>
<tr>
<td>(1)</td>
</tr>
<tr>
<td>(2)</td>
</tr>
<tr>
<td>(3)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>g. Type of employment desired for next posting</th>
</tr>
</thead>
<tbody>
<tr>
<td>Genre d'emploi désiré lors de la prochaine affectation</td>
</tr>
<tr>
<td>(1)</td>
</tr>
<tr>
<td>(2)</td>
</tr>
<tr>
<td>(3)</td>
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<table>
<thead>
<tr>
<th>h. Military or Civilian Courts Desired</th>
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<tbody>
<tr>
<td>Courts militaires ou civils désirés</td>
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<tr>
<td>(1)</td>
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<tr>
<td>(2)</td>
</tr>
<tr>
<td>(3)</td>
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</table>

<table>
<thead>
<tr>
<th>i. Special Qualifications and Skills - Since last report</th>
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</thead>
<tbody>
<tr>
<td>Qualifications et aptitudes spéciales - Établies le dernier rapport</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>j. Current Interests and Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activités et intérêts actuels</td>
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</table>

<table>
<thead>
<tr>
<th>k. Signature</th>
<th>Language</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>English</td>
</tr>
<tr>
<td></td>
<td>French</td>
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<table>
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<th>Language</th>
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<tbody>
<tr>
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<td>English</td>
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<tr>
<td></td>
<td>French</td>
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<tr>
<td>MARKS</td>
<td>NAME</td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

**Section 1 - Identification of Reporting Officer**

- Name
- Initials
- Unit
- Occupation
- Rank
- Service

**Section 2 - Details of Report**

- Date
- Time
- Location

**Section 3 - Action**

- Action Required
- Action Taken

**Inscription of Spaces**

- Make sure all fields are filled out.
- Use black ink for all entries.

**Enrolment**

- Change any information in red.
- Make sure all fields are filled out.

**Reporting Officer**

- The reporting officer must sign.

**In charge**

- Change any information in red.
- Make sure all fields are filled out.
## SECTION 7 - COMPARATIVE ASSESSMENT
### SECTION 7 - ÉVALUATION COMPARATIVE

#### PERFORMANCE FACTORS/FACTEURS DE RENDEMENT

<table>
<thead>
<tr>
<th>Low</th>
<th>Normal</th>
<th>High</th>
<th>Superior</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

1. Accepted responsibilities and duties
2. Applied job knowledge and skills
3. Assisted by colleagues
4. Made decisions and acted
5. Performed under stress
6. Worked with others
7. Communicated orally
8. Communicated in writing
9. Assured the well-being and development of subordinates
10. Managed subordinates
11. Supervised others
12. Assured the perfectionnement et le perfectionnement de ses subordonnés

#### PROFESSIONAL ATTRIBUTES/ATTRIBUTS PROFESSIONNELS

<table>
<thead>
<tr>
<th>Low</th>
<th>Normal</th>
<th>High</th>
<th>Superior</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

1. Professional Knowledge
2. Appearance
3. Physical Fitness
4. Conduct
5. Intelligence
6. Integrity
7. Loyalty
8. Dedication
9. Courage

## SECTION 8 - POTENTIAL

### SECTION 8 - POTENTIEL

<table>
<thead>
<tr>
<th>Low</th>
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<th>High</th>
<th>Superior</th>
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<tbody>
<tr>
<td></td>
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### SECTION 9 - PROMOTION RECOMMENDATION

#### SECTION 9 - RECOMMANDATION DE PROMOTION

<table>
<thead>
<tr>
<th>Low</th>
<th>Normal</th>
<th>High</th>
<th>Superior</th>
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<tbody>
<tr>
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</table>

**For NOM USE - À L'USAGE DU GOLN:**
### SECTION 10 - DETAILS OF JOB - RENSEIGNEMENTS SUR LE TRAVAIL

<table>
<thead>
<tr>
<th>a. Unit</th>
<th>b. Official appointment</th>
<th>c. GUS date</th>
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</thead>
<tbody>
<tr>
<td>Unite</td>
<td>Poste officiel</td>
<td>Date de mutation</td>
</tr>
</tbody>
</table>

### SECTION 11 - NARRATIVE BY REPORTING OFFICER - EXPOSES DE SITUATION DE L'OFFICIER RAPPORTEUR

*THE NARRATIVE NORMALLY SHOULD BE LIMITED TO THE SPACE ABOVE THE DOTTED LINE*  
*L'EXPOSE DE LA SITUATION DEVRAIT NORMALEMENT SE LIMITER À L'ESPACE AU-DESSUS DU POINTILLÉ*

---

*Signature*  
*Date*
### SECTION 12 - RECOMMENDATIONS FOR TRAINING AND EMPLOYMENT — RECOMMANDATIONS D'INSTRUCTION ET D'EMPLOI

<table>
<thead>
<tr>
<th>Rank, name and appointment</th>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>GRADE, NOM ET POSTE</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### SECTION 13 - COMMENTS BY REVIEWING OFFICER — OBSERVATIONS DE L'OFFICIER REVISEUR

- [ ] I do not know this officer
  - Je ne connais pas du tout cet officier
- [ ] I know this officer slightly
  - Je ne connais cet officier qu'un peu
- [ ] I know this officer well
  - Je connais bien cet officier

<table>
<thead>
<tr>
<th>Rank, name and appointment</th>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>GRADE, NOM ET POSTE</td>
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<td></td>
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</tbody>
</table>

### SECTION 14 - COMMENTS BY NEXT SENIOR OFFICER — OBSERVATIONS DU PROCHAIN OFFICIER SUPERIEUR

- [ ] I do not know this officer
  - Je ne connais pas du tout cet officier
- [ ] I know this officer slightly
  - Je ne connais cet officier qu'un peu
- [ ] I know this officer well
  - Je connais bien cet officier

<table>
<thead>
<tr>
<th>Rank, name and appointment</th>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>GRADE, NOM ET POSTE</td>
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### SECTION 15 - ADDITIONAL REVIEW — EXAMEN SUPPLEMENTAIRE

<table>
<thead>
<tr>
<th>Rank, name, appointment and unit</th>
<th>Signature</th>
<th>Date</th>
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</thead>
<tbody>
<tr>
<td>GRADE, NOM, POSTE ET UNITE</td>
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