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# THESIS

A PROPOSED RTN OFFICER  
PERFORMANCE EVALUATION SYSTEM

by

Werapan Sookgont

December, 1989

Thesis Advisor:

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**A Proposed RTN Officer  
Performance Evaluation System**

by

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**Submitted in partial fulfillment  
of the requirements for the degree of**

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## ABSTRACT

This study seeks to formulate a recommendation for the improvement of the Royal Thai Navy Officer Performance Evaluation System. The research methodology includes the following three components: (1) a study of pertinent performance evaluation literature, (2) a study of U. S. military evaluation systems, and (3) an analysis of the questionnaire survey regarding the present Royal Thai Navy Officer Performance Evaluation System.

After assimilating and categorizing relevant information, it is concluded that the Royal Thai Navy Officer Performance Evaluation System must be modified to more accurately and effectively document officer performance.

Specific recommendations are offered to bring about the necessary changes. These include a proposed RTN Officer Performance Evaluation form and a feedback to the evaluated officer. Finally, based on the research results, an alternative for modifying the evaluation format is suggested to increase the efficiency and effectiveness of the current system. It is hoped that this study will set forth ideas to improve the performance evaluation of Royal Thai naval officers in the future.



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## **I. INTRODUCTION**

### **A. THESIS CONCEPT**

A military force is only as good as its people. A force with dedicated, competent members has the potential for success in combat. A force whose members lack dedication and competence is unlikely to succeed under the strains of war. The central concern is that presently there is no system in place to determine what is good so that it can be nurtured and built upon, and to determine what is unsatisfactory so that it can be corrected.

The Royal Thai Navy (RTN), as an integral part of the Royal Thai Armed Forces, has a multifaced mission to accomplish. The Royal Act of the Ministry of Defense Organization of 1960 broadly defines the function of the RTN as follows: "The Navy is responsible for the preparation of naval forces and the defense of the kingdom" [Ref. 1:p. 1]. According to this function and military policies of higher commands, the RTN specifies its major missions as follows:

1. To organize, train, and equip naval forces (also including naval air wing and marine forces) in order to be ready for naval, land, and air operations during emergency and wartime periods.
2. To control the sea at a particular area of operations and on specific time whenever the need arises.
3. To secure the sea lines of communications in the Gulf of Thailand.
4. To protect the coastal waters of Thailand and maintain the kingdom's sovereignty within its territorial waters.



5. To guard national interests on the continental shelves and high seas in accordance with international laws, treaties, and agreement.
6. To enforce laws at sea.
7. To keep participate in defensive and counter offensive operations with allied forces in order to defeat the enemy aggression.
8. To keep the naval power in balance with Southeast Asian countries.

An intrinsic part of assuring that capable men are fulfilling these missions is the RTN Officer Performance Evaluation System. The heart of this system is Navy Form 2-85, "RTN Officer Performance Evaluation Report, (RTNOPER)." The Navy implements the policy of the Supreme Command by managing the naval forces in the defense and security of Thailand from potential threats. The Navy should also be able to take an active role in successful national development.

Thailand is a developing country which needs an effective utilization of technologies to manage its existing resources and to develop its own organization. A new management orientation of naval officers in every job level is necessary if the Navy is to allocate its limited resources efficiently and effectively. Even in the era of modern and complicated weapon systems, attention to the technical side of the job is not enough. The human element remains vitally important, since the ultimate success in military actions lies with people. The most sophisticated weapon systems cannot operate without human intervention.

Although Thailand has had relatively small naval components throughout much of its long history, the development of a modern navy capable of carrying out combat missions dates from the period after World War II. Since then, the size and efficiency of the RTN have increased steadily.

Today, the RTN plans to modernize its naval forces. Many new ships equipped with modern equipment and weapon systems will replace obsolete ships. The increasing technical nature of the Navy requires greater need for technically skilled personnel. The Navy must provide sufficient qualified personnel to man highly technical equipment and weapon systems.

The researcher has worked in various positions aboard RTN ships and has been actively involved in using the current performance evaluation system for subordinates. In general, each commanding officer judges each individual on recorded information, demonstrated performance, and behavior. Taking all aspects of performance into account, the commanding officer uses his opinion to decide who is "the best." There are no standard guidelines for evaluating subordinates. Consequently, documented performance comparisons may be inequitable and in the end unfair. This study examines the current evaluation procedure and suggests ways to improve the evaluation of Royal Thai naval officers.

## **B. OBJECTIVES**

The objectives of this thesis are: (1) to review the development of the performance evaluation in the RTN and in the U. S. military services, (2) to examine the present method of evaluation in the RTN, (3) to identify, through an empirical study, primary criteria by which naval officers are evaluated, and analyze the system by determining whether or not the naval officer evaluation form provides the necessary information required to support the promotion and selection process in the RTN.

### **C. SCOPE**

To accomplish the objectives, research has been directed into the following areas:

1. A study of pertinent performance evaluation literature.
2. A review of the RTN evaluation system and that of the U. S. military (including the Navy, Marine Corps, Army, Air Force and Coast Guard).
3. An analysis of the questionnaire concerning the current RTN officer performance evaluation system.
4. A study of deficiencies of the current system based upon a literature review and analysis.
5. Recommendations and/or implications based upon the foregoing study.

In particular, the study highlights whether the evaluation system best serves the needs and future leadership requirements of the Navy. By using the strengths and weaknesses of the U. S. military evaluation system as a model, this research investigates the need to further develop or modify the RTN evaluation system to better serve the needs of the military member and the system as a whole.

In conclusion, this thesis makes specific recommendations concerning the RTN officer performance evaluation system. These recommendations are based on the results of the above studies and questionnaire results.

### **D. METHODOLOGY**

The present format of the officer evaluation system of the U. S. military will be examined and compared with the RTN system. The researcher has drawn upon management theories studied at the Naval Postgraduate School and practical theories relating to personnel management and performance evaluation.

The research method includes a description and analysis of information from textbooks, journals, related papers, and questionnaires.

For questionnaires, 325 officers above the rank of lieutenant junior grade were randomly selected from numerous officer schools in the RTN Advanced Education Institute.

## **E. ORGANIZATION**

Chapter II is designed to give the reader an overall picture of a performance evaluation--specifically, the methods, criterion, process, methods, executive qualities and uniqueness of military evaluation. In Chapter III, the current RTN and U. S. military officer evaluation systems are outlined and discussed to identify the significant characteristics of each. Chapter IV analyzes the questionnaire survey of the RTN Officer Evaluation System performed by the Naval Command College. Chapter V discusses the deficiencies of the current RTN system. Recommendations to improve the current system and final conclusions are presented in Chapter VI.

## **F. BENEFITS OF STUDY**

Although the evaluation form has changed many times since 1947, few changes, if any, have been made which would relate items to the evaluation of specific tasks an individual is required to perform.

Since the Navy Form 2-85 is the sole evaluation instrument used for promotion selection of those best qualified for positions of higher responsibility and leadership, its value and credibility is critical. It is hoped that this study will set forth ideas to

improve the performance evaluation of the RTN officer, and produce a more reliable method of measuring individual performance.

## **II. CONVENTIONAL APPROACH TO PERFORMANCE EVALUATION**

### **A. BACKGROUND OF PERFORMANCE EVALUATION**

Performance evaluation is frequently used in organizations as a basis for administrative decisions such as employee promotion, transfer, and allocation of financial reward; employee development, including identification of training needs and performance feedback; and personnel research [Ref. 2:pp. 375-387]. A problem that diminishes the utility of evaluation is the seemingly impossible task of obtaining accurate evaluation of employee job behavior, a difficulty most often attributed to faults in the rating format used, deficiencies in evaluation content, evaluator resistance to judging others, and the implications of the specific purpose of evaluation for the evaluator and the evaluatee [Ref. 3:pp. 251-263].

"The evaluation of individual performance is a fundamental act, the origin of which is shrouded in the mists of antiquity." [Ref. 4:pp.109-114] Since the beginning of time men have been evaluating one another, and their evaluations have encompassed many personal factors which have been used in a variety of different circumstances with different purposes in mind [Ref. 5:pp. 512-514]. Evaluation is the measurement by any of a variety of methods of what a man does. Long before the tremendously large business enterprises of today were in existence, men watched other men and evaluated their behavior against their own personal goals and standards [Ref. 4:p. 109]. It is only natural for people to evaluate each other daily and to measure the performance of others and compare their performance against those they admire most.

Persons in daily contact with one another cannot help judging others and reacting to their judgments. It is management's objective to make these evaluations fair, systematic, and useful. Since this is so, managers should have a good understanding of what evaluation is, how accurate it can be, and what they can realistically expect from the evaluations they make [Ref. 6:p. 15].

Through the years some form of evaluation system has been used to evaluate the abilities and the performance of officers in the Navy. This system was based upon word-of-mouth reputations passed between commanding officers to our present well-defined method of annual written performance documentations of all officers. A formal system of evaluation appears to have begun in the Navy 1947.

There can be no doubt that in an organization such as the RTN, an evaluation system of some kind is mandatory. The Navy is a continually changing organization; personnel are on the move attending to schools, being promoted, being sent on special assignments, and leaving the service due to separation or retirement for civilian life. To select the best personnel for Navy life and for all of its many programs requires a vast amount of effort. Without an evaluation system, the task would not be possible.

In general, purposes of the performance evaluation system are:

- (a) To promote the most qualified officers to the highest levels of responsibility.
- (b) To permit the commanding officer to positively influence advancement opportunities of outstanding individuals.
- (c) To select personnel for advancement, awards for personal excellence and conduct, assignment to special duties, and for special training programs By various selection boards which review officer records. [Ref. 7:p. 10]

However, the evaluation system is used for many more purposes than those listed above. Most notably, it is used to determine those who will be promoted in the Navy.

Evaluation is conducted for certain benefits in addition to the principal objective of obtaining information upon which to base promotions and assignments. It is a method of training subordinates and instills a sense of responsibility in them. It stimulates interest in management development by both the evaluator and the evaluatee. The evaluator will find that it sharpens his control over his own activities. The system clearly delineates responsibility for results. The evaluator gains perspective in sizing up and comparing his subordinates and is given an opportunity to demonstrate, via the review process, his own executive ability. It is a time-consuming but necessary and worthwhile task. The organization as a whole benefits from the identification of the best qualified leaders. The evaluatee and the evaluator benefit from the secondary effects.

## **B. OBJECTIVE OF EVALUATION**

The majority of performance evaluation systems in use today have stated or implied objectives of justifying wage and salary actions, validating selection and promotion procedures, setting goals, determining training needs, providing a historical background to aid in the justification of personnel actions, and providing either positive or negative feedback concerning performance.

According to Cummings and Schwab [Ref. 8:pp. 4-7], performance evaluation is differentiated on the basis of whether the purpose of evaluation is to evaluate past performance or to develop future performance. The evaluative or judgmental role of performance evaluations focuses on past activities for the purpose of making



administrative decisions such as promotion, selection, placement, demotions, transfer, and terminations. On the other hand, developmental evaluation focuses on improving performance and the potential for performance by identifying areas for growth and personal development. Figure 2.1 shows the major differences between the evaluation role and the developmental role.

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

Figure 2.1 The Evaluation Role and Developmental Role.

Source: Comming and Schwabs, 1973.

Within the context of Figure 2.1, it is becoming increasingly apparent that, depending upon the individual being rated, either the developmental or evaluative role may be of greatest benefit to both the organization and the individual.

Evaluation may vary from simple notes to a formal program. Likewise, the frequency of reporting may vary. But within a large organization it is generally recognized that there should be a periodic planned system of some kind for recording performance results. [Ref. 9:p. 17]

In conclusion, because of multi-purpose performance evaluations in the military, the function of a performance evaluation is to provide which focuses on the improvement of evaluatees, with written evaluation and oral counseling, as the guide for the individual's future goal setting.

### **C. CRITERIA OF AN EFFECTIVE PERFORMANCE EVALUATION SYSTEM**

Criteria are standards for measuring how much the evaluatee achieved given objectives during the period of evaluation. This is very helpful in terms of promotion, selection, placement, and performance documentation. It is used to predict a relationship between a test instrument such as performance evaluation forms and the evaluatee's actual work performance [Ref. 10:p. 102]. The work performance "score" of the individual can be obtained by using a performance evaluation process. A performance evaluation process includes various imperfections such as bias, an incomplete evaluation system, and the misuse of the forms as they were designed or intended. Therefore, a major goal of the performance evaluation is to reduce these imperfections. The criteria are reliability, validity, and accuracy.

#### **1. Common Rating Errors in Performance Evaluation**

All systems have one or more common evaluation errors. Errors occur when a person allows conscious or unconscious prejudice, emotion, or subjective opinion to enter into the evaluation process. The evaluators may unknowingly commit errors in

judgment. Even if the system is well designed, problems or errors can arise if the evaluators (usually supervisors) are not cooperative and well trained. Evaluators may not be comfortable with the process of evaluation, or what Douglas McGregor called "playing God" [Ref. 11:pp. 89-94]. Often this is because they have not been adequately trained or they have not participated in the design of the program. These errors are generally due to evaluator bias and misperception; and they can be placed in eight categories, as described below.

*a. Central Tendency Errors*

Central tendency is rating error in the form of distortion. The evaluator fails to discriminate between superior and inferior employees. Central tendency error refers to the rater's unwillingness to assign extremely high or extremely low ratings. Central tendency works to provide a rating of averages around the midpoint for all qualities. As McFarland point out "this usually occurs as a result of the evaluator's lack of knowledge of the evaluatees he is rating, or from haste, indifference, or carelessness" [Ref. 12:p. 329]. The rating results with central tendency are actually worthless because the ratings fail to discriminate among the evaluatees. One way to minimize this error is by clearly explaining the meaning of the various factors [Ref. 10:pp. 317-318].

*b. Leniency and Severity Errors*

Leniency and severity are other widespread rating errors. Leniency occurs when the rater evaluates the evaluatee's performance higher than his actual level of performance; while severity occurs when the rater evaluates the evaluatee's performance lower than his actual level of performance. Leniency errors occur for

many reasons, including the desire to avoid antagonizing subordinates, the desire to support wage increase requests, the desire to avoid reflection on themselves, or because the employee is older, has long service or a superior wants to avoid unpleasant feedback and the possible criticisms that may result from low evaluation [Ref. 13:p. 208]. The evaluator may think that he motivates his subordinates or earns their loyalty by giving them high performance marks. These errors usually occur because the evaluator has applied personal standards derived from his or her own personality or previous experience. [Ref. 12:p. 313]

*c. Halo Errors*

Halo errors are evaluations (good or bad) based on the evaluator's general feeling about an evaluatee. Thus, the evaluator generally has a favorable or unfavorable attitude toward the evaluatee that permeates all evaluations of this person. This occurs when one or two good or bad characteristics of the evaluatee influence on the evaluator's judgment of the overall performance. The error also occurs by the group or team to which the evaluatee belongs. If the group or team, for example, gives the evaluator a good impression, this may bias the evaluation of the team members [Ref. 14:pp. 452-468]. In general, halo is considered to be the most serious and pervasive of all rating errors [Ref. 15:pp. 218-244].

*d. Spillover Effect*

This effect occurs when past performance rating results influence current ratings unfairly [Ref. 16:p. 13]. Past performance rating (good or bad) results in a similar rating for the current period, although the demonstrated behavior does not deserve the rating (good or bad).

*e. Recency Effect*

The recency of good or bad performance near the time of rating can also influence the evaluator's judgments by cancelling out a previously established good or bad history through the whole evaluation period [Ref. 12:p. 328].

*f. Proximity Errors*

Proximity error, also known as order-effect, is the effect of responses to previous evaluation items on subsequent responses. The error is generally evidenced by spuriously high correlations for items that are adjacent on a scale. For example, if an officer received a favorable rating on one item of a summated scale, the favorability "set" may carry over to the next item on the scale. Similarly, an unfavorable "set" can be fostered as well. These results continue to occur even though different rating procedures and different kinds of rating techniques are adopted. Therefore, three ways to avoid these errors are (1) all evaluatees must be evaluated for one evaluation item, (2) similar items must be separately placed far enough apart, and (3) clear distinctions should be drawn among similar traits [Ref. 17:p. 177].

*g. Logical Errors*

These occur when evaluators conduct similar ratings on traits that logically appear related. For example, if an evaluatee is quite diligent, his productivity may also be highly rated because of his diligence. Therefore, "... halo results from an apparent coherence of qualities in the same individual; logical errors result from an apparent logical coherence of various traits, irrespective of individuals . . . ." [Ref. 10:p. 318]. To avoid this, the evaluator can evaluate all evaluatees for one item, and then for the next item, and so on.

#### ***h. Similarity and Contrast Errors***

These occur when an evaluator evaluates his subordinates based upon the evaluator himself. Therefore, "same as me" may cause giving the evaluatee a rating higher than deserved (leniency) because the evaluatee has qualities similar to those of the evaluator and "different from me" may cause giving the evaluatee a rating lower than deserved (severity) because the evaluatee has qualities dissimilar to the evaluator [Ref. 16:p. 13].

### **2. Reliability**

Reliability refers to a consistency or stability measure. A measure should yield the same estimate on repeated use. While that estimate can be inaccurate, a reliable measure will always be consistent [Ref. 18:pp. 121-122]. Three major types of reliability must be measured by (a) test-retest reliability, (b) equivalent-form reliability, and (c) internal consistency reliability. Test-retest reliability is achieved when the same test is taken by the same person through one form at two different times. Equivalent-form reliability is measured by correlating two alternative forms of the same test where the two forms are equivalent measures of the same concept. Internal consistency reliability is a statistical test in which a population is split into two equivalent parts and taken to the same person for scoring; then, the results are correlated.

### **3. The Validity of Evaluation Information**

Validity refers to accuracy and precision. Validity is the degree of accuracy of an inference made about a direct relationship between a particular outcome of a testing device and the demonstrated performance of the individual being tested [Ref.

16:p. 347]. A reliable test (consistent) may not be valid, but a valid test is usually reliable (consistent). For instance, an evaluator and a senior evaluator can make the same decisions on a subordinate, but they may not all be correct. The validity of an evaluation is generally discussed in terms of one or more of the following types: (a) construct, (b) content, (c) criterion-related, (d) incremental, (e) convergent and discriminant, and (f) synthetic.

Construct validity is the most theoretical and complex. It deals with measurement of abstract variables such as thought process intelligence, motivation and anxiety [Ref. 18:pp. 126-127]. Content validity involves the degree to which a predictor covers a representative sample of behavior being assessed. It provides a measure of the relationship between evaluation items on a performance evaluation form and the actual performance of the evaluatee. Face validity is a form of content validity. It is the observed similarity between the content of the predictor of performance and actual job content. If a test is content valid, it should appear to be actually job related. However, content validity is sometimes not covered by appearance. For example, when an evaluator evaluates a rated officer's patriotism in the officer performance evaluation, each evaluation factor may not appear to have precise validity. But if the evaluator chooses one among those factors, it may have content validity. [Ref. 16:pp. 347-348]

There are two kinds of criteria-related validity: concurrent and predictive. Concurrent validity is the relationship between different measures obtained at the same time [Ref. 19:p. 17]. For example, suppose a test for a naval officer has been developed, and the Navy wants to determine the validity of the test. In a concurrent

validation study, the test would be administered to a group of officers, and then soon after, performance evaluation scores on this same group of officers would be obtained. If those officers who received high test scores also received high performance evaluation ratings and those who received low test scores likewise obtained low performance evaluation ratings, the result would be a high positive correlation between the two sets of scores. The inference could therefore be made that the test appears to predict the performance of officers fairly well; that is, it is valid. Predictive validity is a "future status" statistical correlation between predictor factors and subsequent criteria indicators of performance [Ref. 16:pp. 348-349]. Scores on the predictor are obtained at one time, and at a later date, criterion measures are obtained. For example, an evaluator evaluates an officer as promotable; the officer receives a promotion and does well on the job. This may be an indicator that the evaluation instrument has predictive validity. In this case, performance evaluation has been used as a selection device. In the example given earlier concerning the naval officer test, the study could have involved predictive validity. In this case, the test would have been administered to the officers at one time, and then at a later date, the performance evaluation ratings would be obtained and the correlation between the two sets of scores determined. In this example, past performance evaluation ratings also could have been used as predictors of future success, and their validity would be determined by their correlation with the future evaluation rating on the new officer's duty.

Incremental validity refers to the ability to measure somewhat better than other tools already available. A new test or procedure would probably need incremental validity before researchers would adopt it over some method already in use.



As Landy and Farr writes "Convergent validity is shown when two or more methodologically distinct measures of the same trait are significantly correlated with each other." [Ref. 19:p. 21] Discriminant validity is defined as the degree to which scores on one measure of a construct are not related to measures of other constructs [Ref. 17:p. 162]. Synthetic validity is relevant when developing tests to measure job skills.

#### **4. Accuracy of Evaluation System**

Accuracy is concerned not only with consistency of measurement (reliability) and with the construct being measured (validity) but also with the absolute level of performance [Ref. 19:p. 23]. Accuracy implies both reliability and validity, but the reverse is not necessarily true. If the evaluation system accurately and precisely measures the "true" state of a given phenomenon, it would be the best alternative tool in the performance evaluation. However, accuracy and preciseness in the performance evaluation system concern the statistical characteristics of evaluation in the actual work performance. [Ref. 20:p. 68]

In Figure 2.2 these evaluations are not accurate because, although the proper order of the evaluatee's performance is correct (valid and reliable), rate A's evaluations are too low and rate B's evaluations are too high in reference to the level of each evaluatee's actual performance.

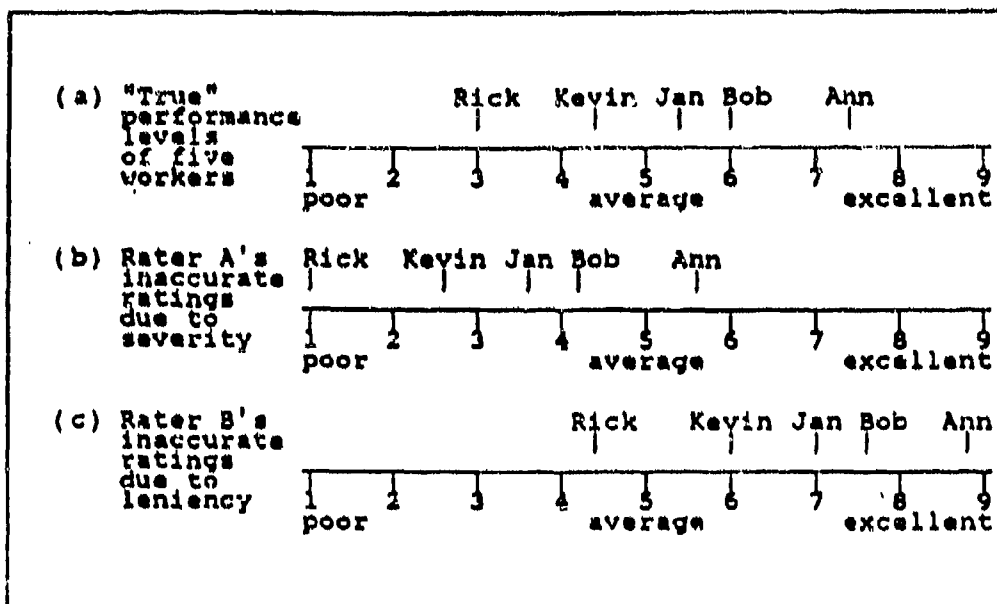


Figure 2.2 Valid But Inaccurate Performance Evaluation.

Source: Sink, D.S., 1985.

The reason why accuracy is quite important is that inaccuracy may seriously affect the cutting score to be used in the purpose of performance evaluation such as promotion, placement, and so on.

## 5. Feedback

One of the most frequently cited purposes of performance evaluation is to foster improvement in performance through feedback. Numerous writers of performance appraisals maintain that the use of more behaviorally specific formats will result in better feedback and ultimately in better performance than will the use of other rating formats. [Ref. 17:p. 197] Bernadin and Beatty believe improvement is best

fostered by specific verbal feedback provided by a supervisor or other evaluator as close in time to the exhibited behavior as possible, and followed by suggestions on how future performance can be improved.

Experts agree that feedback is the single, most important means for changing behavior. Typically, feedback lets a person know where he or she stands in relation to some goal or standard, and is most effective when it is delivered openly and honestly in a constructive attempt to improve performance. Feedback as a process can range from immediate "pats on the back" for a job well done to a more formal and planned session.

Feedback has two functions. It serves both as a source of information and motivation.

1. As a source of information. Feedback provides information about the outcomes of behavior. Given a specific goal, or standard, a performer with feedback has a direction for improvement. Without feedback, the performer has no way of knowing if his or her performance is adequate or what has to be done to improve it.

2. As a source of motivation. Officers who know how they are doing try harder and persist longer at tasks than officers who do not. In contrast, officers who receive little or no feedback lack of the information they need to evaluate their performance.

Figures 2.3 and 2.4 show a sample of the performance feedback worksheet which is currently in use in the U.S. Air Force.

Ilgén, Fisher, and Taylor presented a model of the feedback process and concluded that the perception of feedback depends on three factors; the characteristics

NAME <u>Rogers, Jessie</u>		GRADE <u>CAPT</u>		UNIT <u>449 FTS</u>	
<b>DUTY PERFORMANCE</b>		needs significant improvement	needs little improvement	<b>COMMENTS</b>	
<u>Instructor Administrator (T-43)</u>			X	<b>Duty Performance</b> - You quickly upgraded to the demands of your T-43 systems knowledge. Now that you are a T-45 SCJ, you need to work on that system also (see job knowledge) - Platform instruction needs work (see judgment & decisions and communications skills)	
<u>Simulator Console Instructor (T-45)</u>			X		
<u>Platform Instructor</u>		X			
<b>JOB KNOWLEDGE</b>		needs significant improvement	needs little improvement	<b>Job Knowledge</b>	
Has knowledge required to perform duties effectively			X	- ATC ILEI Top performer for T-43 flight evals -- You may have become complacent -- Need to work on T-45 system knowledge - get with sim personnel and review Haden system	
Strives to improve knowledge		X			
<b>LEADERSHIP SKILLS</b>		needs significant improvement	needs little improvement		
Sets and enforces standards		X			
Works well with others			X		
Fosters teamwork		X		<b>Leadership Skills</b> - You must enforce standards I had to tell two of your students to get haircuts! - The MASCOM fly-in was a great idea. - the students loved it	
Displays initiative			X		
Confident in own ability		X			
<b>PROFESSIONAL QUALITIES</b>		needs significant improvement	needs little improvement		
Exhibits loyalty, discipline, dedication, integrity, and honesty			X		
Adheres to Air Force standards		X		<b>Professional Qualities</b> - Your students suffered when you didn't teach the required info - You admitted it and that took guts - But next time stick to the instructors guide	
Accepts personal responsibility			X		
Is fair and objective		X			
<b>ORGANIZATIONAL SKILLS</b>		needs significant improvement	needs little improvement		
Demonstrates ability to plan			X		
Coordinates actions			X	<b>Organizational Skills</b> - The squadron lounge came out great due to your planning - If you had coordinated in the chain, you would have found that money was available and didn't have to come out of your pocket (ouch)	
Schedules effectively		X			
Uses resources effectively and efficiently			X		
Meets supervisor		X			
<b>JUDGMENT AND DECISIONS</b>		needs significant improvement	needs little improvement		
Makes timely and accurate decisions			X	<b>Communication Skills</b> - Listening - Speaking - Writing	
Emphasizes logic in decision making			X		
Retains composure in stressful situations		X			
Recognizes opportunities			X		
Requires minimal supervision		X			
<b>COMMUNICATION SKILLS</b>		needs significant improvement	needs little improvement		
Listening		X			
Speaking			X		
Writing			X		

AF Form 724, AUG 88

PERFORMANCE FEEDBACK WORKSHEET

Figure 2.3 Sample U.S. Air Force Performance Feedback Worksheet.

Source: U.S. AF PAMPHLET 36-6, 1 August 1988.

<p>STRENGTHS, SUGGESTED GOALS, AND ADDITIONAL COMMENTS:</p> <p><u>ORGANIZATIONAL SKILLS (Cont)</u></p> <ul style="list-style-type: none"> <li>- Your student evals are usually turned in the day they are due. Plan ahead and get them in early so we have more options in the area of student management.</li> </ul> <p><u>Judgment and Decisions</u></p> <ul style="list-style-type: none"> <li>- As training mission commander, you make good decisions. Continuing that integrated navigation sortie when 2 complies TACW failed was just one example. There are more.</li> <li>- You need to relax when students interrupt your planned presentation. Make sure their questions are answered satisfactorily before you go on.</li> </ul> <p><u>Communication Skills</u></p> <ul style="list-style-type: none"> <li>- Listen to student questions to see where the real problem lies             <ul style="list-style-type: none"> <li>-- Does student understand the theory but not know how to use the equipment?</li> </ul> </li> <li>- Don't be so mechanical during academic presentations. Your students have scored below average on several tests. Your students are giving you signs that they're not catching everything you're throwing out (quizzical looks, questions, etc). You're missing the signs. If you want, we can set up a video taping of one of your classes.</li> </ul> <p><u>Additional Comments</u></p> <ul style="list-style-type: none"> <li>- Not many surprises here. We've talked about most of these areas informally and I've already seen some improvement in T-45 knowledge (still a ways to go, though)</li> <li>- You need to remember that 50% of our instruction is in the classroom. You work well with students in the airplane and sim (low in: student ratio) but you <u>must</u> become equally comfortable in the classroom</li> <li>- Last point: It's fine to talk up fighters in the bar, but don't put the other tracks down too hard. Some of our grads will go to TTB &amp; RWT. They don't always have a choice!</li> </ul>	
<p>DAVEN SIGNATURE</p> <p><i>Henry C. C. C.</i></p>	<p>DATE</p> <p>17 Mar 89</p>

AF Form 36-6, 1 AUG 88 (Rev 88)

Figure 2.3 Sample U.S. Air Force Performance Feedback Worksheet (continued).

Source: U.S. AF PAMPHLET 36-6, 1 August 1988.

of the source of the feedback, the characteristics of the object of the feedback, and the feedback itself [Ref. 21:pp.349-371].

#### 6. Acceptability

The success of any performance evaluation system depends as much on the attitudes of those that participate in the system as on the technical soundness of the system itself. User acceptance and joint collaboration in developing evaluation systems, is vital. [Ref. 22:p. 406]

For an evaluation system to be effective, it must have the support of the people who are judged by the system. Obviously, a performance evaluation system must be acceptable to the evaluator, the evaluatee, the organization, and society in general.

There are three factors which influence the evaluated person's acceptance of the performance evaluation process. First, is validity. The evaluatee must perceive it to be a valid measure of job performance. Second, is the evaluatee's participation. The more that they are allowed to give opinions during the evaluation, the higher satisfied they will be with the system. [Ref. 23:pp. 544-549] Third, is feedback. The degree of positive feedback that an evaluated person receives from the evaluator during the observation period has an influence on the evaluatee's acceptance of the evaluation process and satisfaction with the evaluator. [Ref. 24:pp. 163-168]

For an evaluation system to be acceptable to everyone, it should include some form of an appeal process that allows grievances to be fairly adjudicated. Since an evaluation system serves a variety of purposes, the evaluatee sees due process as an additional sign of fairness, which suppresses both conscious biases and careless

reporting on the part of the evaluator. The knowledge that an evaluation is going to be reviewed both from the organizational and the evaluatee's standpoint should increase the perceived probability that an inaccurate report will be detected and corrected. [Ref. 25:pp. 425-477]

#### **D. THE ACCURACY OF THE EVALUATING PROCESS**

An individual's job or goal to be achieved is performed based upon his own ability and motivation. Therefore, the accuracy of evaluation feedback in a performance evaluation may affect the evaluatee's future motivation which, in turn, affects his job performance. [Ref. 26: pp. 635-640]. Figure 2.4 shows a process of the performance evaluation.

In Figure 2.4, determinants of evaluator motivation are perceived consequences of appraisal, perceived adequacy of instrument used, purpose of appraisal, organizational policies and procedure, appraisal format, and rating standards. Evaluator motivation is possible when the evaluator is motivated to make accurate judgments about the evaluatee. Rating result feedback affects the performance evaluation accuracy of the evaluator.

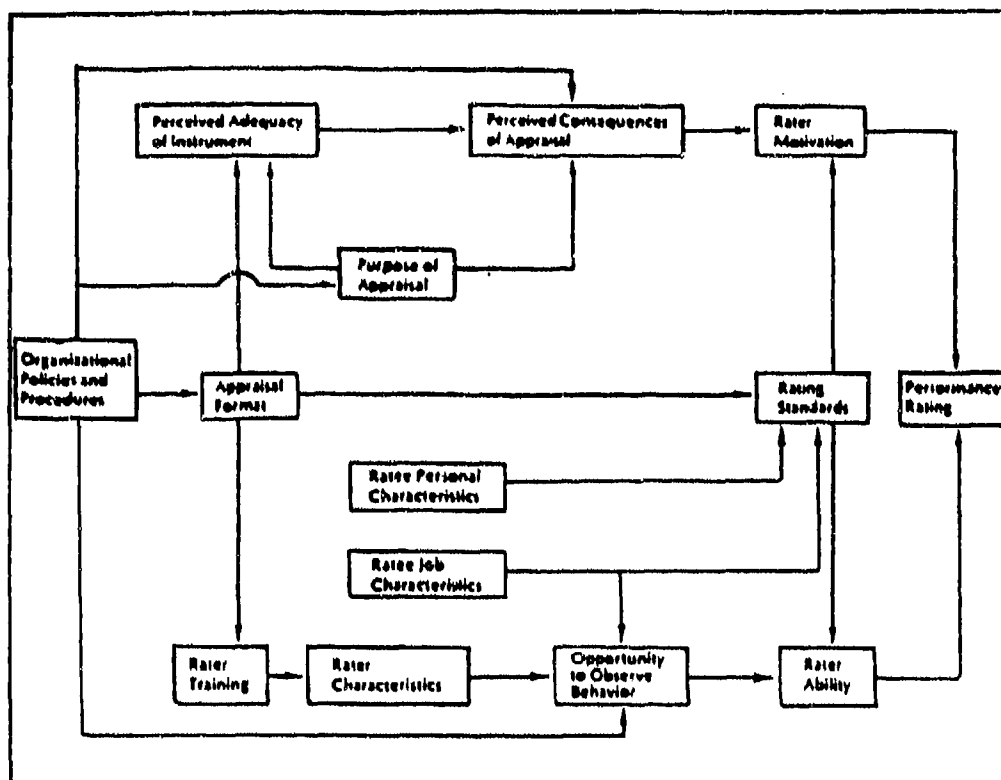


Figure 2.4 Performance Evaluation Process

Source: DeCotiss, T.A., and Pettit, A., 1978.

Evaluator ability is a technique in which a evaluator judges an evaluatee. Evaluator training, characteristics, opportunity to observe an evaluatee's job behavior, organizational policies, job characteristics, and the appropriate rating standards affect the evaluator's ability to assign accurate evaluations. For instance, an evaluator who takes greater care in observing an evaluatee and is well trained in performance evaluations may be better equipped to assign accurate performance ratings.



Rating standards are a function of organizational policies and procedures, rating format, and the evaluatee's personal and job characteristics. Rating format includes not only instrumentation but rating content. Gender, race, personal background, and education are personal characteristics. The more consistency between the evaluatee's job context and rating standards, the higher the accuracy of the rating.

Rater training can reduce common psychometric errors such as halo effect and leniency [Ref. 27:pp. 60-66]. Rater training is particularly effective when training is extensive and allows for rater practice [Ref. 28:pp. 72-107]. The effect of rater training on the accuracy or validity of performance evaluations has not received much research. Available results are mixed. Borman [Ref. 29:pp. 410-421] found that rater training produced no difference in the accuracy of the evaluation. Pulakos [Ref. 30:pp. 581-588] found that by instructing evaluators on the meaning of performance dimensions and on the types of behaviors which are appropriate within performance dimensions, evaluation accuracy can in fact be improved.

The accuracy of a performance evaluation is possible when the evaluation works systematically as an entire process. An evaluator affects the results critically because he is an evaluator as well as an evaluatee and has more impact through the implementation of top management policies.

## **E. EVALUATION METHODS**

### **1. Background**

Early performance evaluation systems were designed mainly for administrative purposes to help management decide who to promote, transfer, fire or give a raise. During the 1920s and 1930s they tended to focus on the rating of

subjective characteristics that were thought to be associated with successful performance. The approach consisted of brief descriptions or word checklists from which the evaluator selected adjectives that he thought were appropriate to the individual being rated.

This trait approach is now being replaced by a series of complex techniques that have been designed to describe behavior and measure achievement within the corporate setting.

## **2. Performance Evaluation Methods**

Designing an evaluation system must include considering the evaluation method for the purpose of the evaluation, ease of use, and validity of the system based on traditional background. According to Milkovich and Boudreau, there are four categories of performance evaluation:

(1) Rating, in which assessors evaluate employees on separate characteristics, (2) Ranking, in which supervisors compare employees to each other, (3) Critical Incidents, in which assessors log statements that describe a range of actual job behaviors and evaluate whether they constitute effective or ineffective behavior, and (4) Other methods in which the criteria for evaluation may vary, such as management by objectives (MBO). [Ref. 13:p. 193]

The general characteristics of these methods are discussed below.

### **a. Ratings**

(1) *Graphic Rating Scale.* This is the most widely used performance evaluation method. Individuals are rated on a number of traits or factors. The evaluator judges "how much" of each factor the individual has. Usually performance is judged on a 5-or-7-point scale, and the number of factors ranges between five and twenty [Ref. 18:p. 31]. The more common dimensions rated are; quantity of work, quality of work, practical judgement, job knowledge, cooperation, and motivation. The

graphic scales are usually supplemented with a series of adjectives or short statements describing the factor [Ref. 31:p. 18]. This method may not yield the depth of narrative essays or critical incidents, but it (1) is less time consuming to develop and administer, (2) permits quantitative results to be determined, (3) forces the evaluator to consider several dimensions of performance, and (4) is standardized and, therefore, comparable among individuals. On the other hand, a graphic rating scale gives maximum control to the evaluator [Ref. 22:p. 418]. The disadvantages are difficulties in constructing and choosing the rating items. Also, each rating item can be affected by halo error, leniency, or central tendency. According to Oberg, for many purposes there is no need to use anything more complicated than a graphic scale supplemented by a few essay questions. [Ref. 32:pp.61-67]

(2) *Checklists.* This is the simplest form of a set of adjectives or descriptive statements. Evaluators evaluate the evaluatee's performance by checking off observed behaviors, but if not observed, it is left blank. The values for all behaviors checked off are added to yield rating scores [Ref. 33:pp. 306-307]. A rating score is totally weighted and these weights are unknown to the evaluator. The method gives information that can be used in counseling personnel on how to improve their performance. The most difficult aspect of this method is arriving at a proper weighting factor each item on the checklist.

(3) *Forced Distribution.* This is a most useful method when other evaluatee comparison methods are limited (i.e., when the sample size is large). The procedure is based upon a normal distribution and assumes that a subordinate's performance is normally distributed as well. The distribution is divided into five to

seven categories: 10% outstanding, 15% excellent, 50% average, 20% poor, and 5% very poor. The method "forces" the evaluator to distribute the subordinates in several categories. It is thus impossible for all evaluatees to be rated excellent, poor, or average. [Ref. 18:p. 315]

***b. Rankings (Personnel-comparison Methods)***

Individual ratings are sometimes less useful for comparative purposes when it is necessary to compare employees who work for different supervisors. These methods involve the question of whether variation represents true differences in performance or creates a false impression of large differences when they are in fact small. The two most effective methods are alternation and paired comparison ranking. Alternation ranking begins by first selecting the best person and then the worst person. Of those who remain to be rated, the second best person is then selected followed by the second worst person. This procedure is completed when all persons have been ranked [Ref. 17:p. 111]. In a paired comparison, each person is compared to every other person in the group being evaluated. The evaluator selects which of the two is better on the dimension being rated. This method is typically used to evaluate persons on a single dimension--overall ability to perform the job. The person marked most frequently is placed on the top of the list and so on, until the person with the least number of marks is on the bottom. A major limitation of this method is that the number of comparisons made dramatically with large numbers of employees [Ref. 17:pp. 110-111]. The major problems are that it is almost completely subjective and the fact that it is not relative. Therefore, this method is useful when combined with multiple ranking. [Ref. 32:p. 66]

c. *Critical Incidents*

(1) *Critical Incident Method.* This method requires the supervisor to keep a record of the subordinate's performance throughout a rating period. Both good and bad performance is recorded and then related to the subordinate during an evaluation interview [Ref. 34:pp. 327-358]. This method demands continuous and relatively close observation. The primary advantage of this method is that an evaluatee's performance as well as his personal behavior is evaluated. Problems with this method are that it highlights extreme performance to the exclusion of day-to-day performance, which usually is the real measure of a person's effectiveness [Ref. 31:p. 18]. Even though the rating is subjective, making a list of the critical incidents can contribute to fairness of the evaluation because this is an official record.

(2) *Behaviorally Anchored Rating Scales.* A Behaviorally Anchored Rating Scale (BARS) was first developed in 1963 by Patricia Cain Smith and Lorne M. Kendall in an attempt to correct some of the differences in graphic rating scales. This method is a combination of behavioral incident and rating scale methods. Performance is rated on a scale, but the scale points are anchored with behavioral incidents. This method will be a breakthrough for more reliable, effective, and valid performance appraisals. Because of the increased specificity of the rating scale, it is possible that this method will function better than the graphic rating scale. But a problem exists in identifying implicitly applicable behavioral statements in an organization with several missions. [Ref. 35:pp. 66-73]

**d. Other Methods (Unspecified Criteria)**

(1) *Management-by-Objectives (MBO)*. MBO involves employees helping to determine their own future performance goals and then being rated on how well they attain these goals [Ref. 36:pp. 63-70]. This method can focus on the performance of individuals in organizations. MBO is not a measure of employee behavior; it is an attempt to measure employee effectiveness or contribution to organizational success and goal attainment [Ref. 17:p. 116]. This method gives the manager a great deal of flexibility in choosing priorities and setting standards, and makes the rater evaluate the evaluatee's performance, not his personality. Another advantage is that it gives the manager a chance to focus on the future rather than the past. In addition, some practitioners claim that paperwork, excessive time to implement, and an ability to compare one individual with another are major difficulties of an MBO system [Ref. 37:pp. 130-132].

(2) *The Essay Method*. This method requires the rater to write a paragraph or more describing the evaluation's strengths, weaknesses, accomplishments, estimated potential, and so on. Although this method may be used independently, it is most frequently found in combination with others. The strength of the essay method depends upon the writing skills and analytical ability of the rater. This method can consume much time because the evaluator has to collect the information necessary to develop the essay and then must write it. Moreover, since each essay contains different aspects of the evaluatee's performance or personal qualities, this method is quite difficult to combine or compare. [Ref. 16:p. 168]

(3) *The Field Review Method.* In the Field Review Method, the evaluator, normally a staff member of the specific work unit interviews the employee's immediate superior and others who have observed or have knowledge of the employee's work. Then the raters evaluate the evaluatee. This is quite useful to prevent various biases and errors, or when the rating results are required for comparison among evaluatees for special purposes. This method affects the fairness of the evaluation. [Ref. 16:p. 170]

As described above, each evaluation method has advantages and disadvantages. Therefore, the majority of the appraisal form in use today incorporates elements from two or more of the above evaluation methods, because two or more evaluation methods adopted together can complement each other in advantages and disadvantages and give a more complete view of the rated individual.

### 3. Evaluator and Evaluatee Relationships

Within the context of the above evaluation methods, the following evaluator and evaluatee relationships can exist:

#### a. *Immediate Supervisor Evaluate system*

This is the classical evaluation system in which the superior passes judgment on the past performance of a subordinate, this system is also amenable to a group of superiors combining their views to pass judgment on a subordinate. This is because he is probably most familiar with the individual's performance and has the broadest opportunity to observe this performance in the light of the organization's overall goals. There are problems such as unfamiliarity with the job requirements or duty and physical distance from subordinates. [Ref. 38:pp. 61-63]

***b. Peers and Co-Workers Rating System***

A rating by those of equal rank or position in a hierarchical social system is termed a peer rating. Because peers or co-workers are closest to the evaluatee, they may understand the evaluatee's performance or personal traits well. Peers and co-workers may also be valuable sources for identifying leadership skills and future potential. A major problem in this system is that the criteria for evaluation may be useful to the evaluator but not necessarily to the organization. They look at jobs and employee outputs differently from the supervisors of these jobs. A common problem is negative or positive friendship bias. [Ref. 16:pp. 33-37]

***c. Self-Appraisal***

Self-appraisal is a method whereby the subordinate rates himself and then compares his results with his supervisor's rating of him [Ref. 39:pp. 364-367]. To reduce differences between the subordinate and the superior an interview is required. By setting goals and then analyzing successes and failures gained in goal achievement, participating employees are provided a valuable opportunity for self-appraisal. This method enhances communication between superior and subordinate during the appraisal interview. Additionally, this method is especially valuable for self-development and identification of training and development needs. A major problem related to self-appraisal is that the great majority of employees feel that they are average or above average performers. [Ref. 16:pp. 32-33]

***d. Immediate Subordinates Evaluation System***

This method requires the subordinate to rate a superior. This is most effective when the superior is rated on such items as training subordinates, providing



performance feedback, and providing a supportive atmosphere for subordinates to function within. However, the subordinates cannot see the "big picture" to evaluate a superior on all facets of his performance. The rating results provide the subordinate's feedback to the superior in order to improve the effectiveness of superior as a leader. A major weakness of subordinate appraisal is lack of information regarding acceptable performance standards [Ref. 16:p. 37].

The performance evaluation method has long served multiple purposes in formal organizations. Indeed, a contemporary insight about performance evaluation is that it cannot successfully achieve different objectives at the same time. To some extent, various evaluation methods better serve some objectives than others.

#### **F. EXECUTIVE QUALITIES**

The problem of deciding what to look for in potential future executives is complex and difficult. No one agrees on what makes a top executive or in what respects he differed in earlier years from many of his former contemporaries. The definition of terms so that many different appraisers will derive roughly the same meaning from them is difficult. In a rough way, most evaluation systems attempt to measure present performance, identify the degree of present skills and abilities, and determine the capacity for further development [Ref. 40:p. 86].

The danger of all systems is their tendency to unconsciously produce a stereotyped pattern. The sameness or similarity of the men who reach the top in a rigid evaluation system may provide limits to the diversity and flexibility of the management team. Different kinds of people in outward appearance and in important personality attributes may have the qualities which make them successful leaders "under

certain circumstances." General Ulysses S. Grant is a good example of a man whose personality and appearance masked great qualities of combat generalship. No two executives will approach a particular problem in quite the same way, and no one of them could do his job as well as if he were required to do it according to some pre-conceived, generalized executive pattern. [Ref. 9:p. 78]

Change is the great danger for an organization that stereotypes its management levels to gear itself for an existing set of circumstances. Nothing in life is static, much less a particular set of operational circumstances which daily confront a large organization. Changes are constantly taking place, but usually in small increments so that they are not readily perceived by people.

In devising a system of appraisal, career management and executive selection, controls must be built into the system to ensure a certain diversity of character and personality in the management levels of the hierarchy.

The quality needed at high executive levels may differ in kind and degree from those required at lower levels. One writer singles out five areas of high-level appraisal. These are: the degree to which the executive is grounded in the principles of scientific management and has arrived at a philosophy of management; the quality of his personal motivation; the extent of his vision; and his interest and participation in community affairs [Ref. 9:p. 128]. Another general attribute could be added--the ability to "see the forest through the trees," to grasp the essential and the significant.

Five major appraisal areas seem effective in practice:

1. Tangible performance
2. Managerial skill

3. Personal traits and behavior characteristics

4. Health and stamina

5. Attitudes, motivation and understanding [Ref. 9:pp. 8-9]

The last two items mentioned above are probably the most important considerations of long-range growth potential. These characteristics that tend to separate the few qualified for high promotion from the many that are performing well in their present duties have been the subject of much study and discussion.

Judgment is another fundamental attribute of a successful manager. He must be able to make sound and wise decisions. A negative, fault-finding approach is not a substitute or not the same thing as good judgment. Administrative skills are another fundamental attribute. The good manager has to have planning ability and orderliness, both in his public and his personal life. [Ref. 41:p. 20]

The good manager has a positive attitude. He inspires confidence and enthusiasm in the people around him. Vigorous good health derived from proper food, play, and rest contribute to his overall impression of leadership. Courage and character are the last of the six essential attributes. The leader must be willing to take a calculated risk; to make a decision when he does not have all the facts. He must have the courage to delegate and still take full responsibility for decisions made even when they are wrong. [Ref. 41:p. 20]

The evaluation of such intangible characteristics described above is necessarily subjective. If these qualities are essential attributes of a manager, then some way must be found to reflect them in appraisal reports. Subjective evaluation of characteristics is important. Performance evaluation should be the main criteria of effectiveness,

particularly in middle and lower echelon executives. If they are getting results, to a degree it may be assumed that they are employing some combination of leadership characteristics, effort, diligence, energy and other traits that are desirable and effective. Performance evaluation requires that the job be carefully described with a clear delineation of responsibilities. In lower echelons it may be possible to key the evaluation of performance to quantitative yardsticks, but this becomes more difficult the higher and broader the responsibilities. Results and job performance should be the main criteria, but traits must be considered [Ref. 9:p. 19].

Traits or characteristics may be the root of a subordinate's poor performance, or they may be significant factors in judging his qualifications for a proposed job or future promotion [Ref. 9:p. 100]. The entire area of trait evaluation is fraught with dangers and pitfalls. There are some 18,00 different terms in the English language that can be used to describe an individual [Ref. 9:p. 105].

The personal likes and dislikes of the evaluator is an area of subjectivity which cannot be entirely eliminated. Sectional, religious, racial, school-club, and class prejudices may subconsciously enter the evaluation picture. Personalities of superior and subordinate may antagonize to the disadvantage of the subordinate. Weak superiors may downgrade a particularly capable subordinate for fear that he poses a threat to them [Ref. 9:p. 20].

Outward behavior on the job should be the criteria rather than deep probing of the psyche to discover the causes. Characteristics evaluated should be important to the performance of all positions where the appraisal is applied, easily observable and

identifiable by the evaluator, and clearly distinguishable from each other [Ref. 42:p. 94].

Vitality, energy, physical endurance and intelligence are the attributes that often come to the fore in descriptions of top business leaders. Ambition and the desire to advance are other traits of leaders. As Osborn writes, "They are always prepared for the next move, and for the one after that. And when the main chance presents itself, they are quick to spot the opening." [Ref. 42:p. 32]

Health, stamina, and physical endurance are definitely requirements of an executive position. Without them all other good qualities may be cancelled. Part of the appraisal system for executives at all levels should include the results of an annual medical check and an evaluation of this factor by the immediate superior. [Ref. 42: p. 33]

The other crucial quality is decisiveness. This is difficult to assess. Lack of decisiveness is often more apparent to subordinates than to the superior [Ref. 9:p. 77]. The attitude of the superior tends to make his subordinates more or less decisive depending upon the leeway he gives them for initiative, mistakes, and methods different from his own. Indecision is often manifested at lower levels by postponement of decisions about people such as, for example, to avoid the unpleasantness attendant upon having to discharge or discipline someone. A man may have all the other attributes of leadership but be unfitted for high responsibility due to lack of decisiveness.

Job performance should be the main criteria of evaluation reports, accompanied by an evaluation of traits. An effort should be made to make early identification of the attributes most common to the men at the top--namely, drive, energy, good health,

intelligence, decisiveness and the ability to handle people. Most executives are called upon to interpret policy, not to initiate it. Their decision-making or risk-taking responsibilities are limited. This is true in a military organization and is manifested by reliance on detailed regulations and orders rather than self-initiated decisions.

## **G. THE UNIQUENESS OF MILITARY EVALUATION**

There are many similarities and differences between military and civilian systems in terms of performance evaluation. Both would operate fairly and are highly competitive selection procedures at job entry. Civilian firms can actually hire new employees at any level. On the other hand, the military usually has a closed organization due to its general inability to bring in new resources above the junior officer level.

A first difference from civilian conditions is that the military requires acquisition of strong commanding authority. Because the purpose of the military existence is to achieve ultimate success in a mission or combat, the commanding officer takes the responsibility for the success or failure of the unit and requires that his subordinates absolutely obey him under any situation. Also, the military requires its missions to be achieved prior to the individual's. These are some reasons why the military requires a strong commanding authority more than unlike the civilian system.

A second difference from the civilian system is that the ultimate criterion measure is success in combat. Because it is almost impossible to measure, readiness for combat may sometimes be substituted as a criterion. Therefore, there exists a lack of military criteria that are sufficient to define system performance being obtained as each individual achieves his goals. Individual performance in the private sectors can be

easily measured in the form of productivity and profit or loss statements, but it is not easy in the military. Because much of an individual's activity in a military setting is often not the performance of ultimate interest, it is difficult to decide who is more suitable and who is less suitable for future combat. [Ref. 43:pp. 233-256]

The last difference in the military is the frequent movement of duty stations in a career path. Generally, the tour is from one to three years. Because the evaluator also has to move to another duty station after one to three years, the actual rating period may be less than a year. This short rating period would influence both in terms of observing of the evaluator and exhibiting potential traits of the evaluatee. According to a Locher and Teel survey, evaluations were conducted annually in 52 percent of the surveyed organizations, semiannually in 24 percent, and at variable intervals depending on organizational level in the remaining 24 percent. [Ref. 44:p.247]

### **III. THE MILITARY EVALUATION SYSTEM IN USE TODAY**

#### **A. INTRODUCTION**

The purpose of this chapter is to study the current systems of officer performance evaluation in the RTN and the U. S. military. The first section of this chapter presents how the RTN officer performance evaluation system has been developed. In the second section, the purposes of officer evaluation in the RTN, the report form, and the rating procedures are discussed. The current evaluation systems of the U. S. military are presented. The strengths and weaknesses of the various systems are discussed as the researcher perceives them. The fact that there is probably no agreed upon, fool-proof method of evaluating an individual officer within a given service is reflected by the dynamic nature of the majority of service fitness report systems. However, the evaluation system that the RTN has not yet adopted can be studied through the U. S. military evaluation systems.

The following discussion of the various service evaluation systems in use today is meant to point out the differences between the various service systems as well as point out the strengths and weaknesses of the various systems as the researcher perceives them.



## **B. THE RTN EVALUATION SYSTEM**

### **1. Background of the System**

The RTN Officer Performance Evaluation Report (RTNOPER) was adopted in 1947 and has been revised four times. One of the distinctions in the revised evaluation at that time was that evaluators have to describe a given factor of the evaluation form by using an essay appraisal. Because there were many personnel in the Navy at that time, it adopted the evaluation form from essay appraisals to a graphic rating scale to achieve the goal of the evaluation system. Performance is judged on a five-point scale, and the number of factors are twenty. The current form is used for the officers from ensign to captain. The evaluation result is a classified report and the evaluated officers cannot see their own reports. The report would be sent to the Naval Personnel Department and it would be entered in the official record for final evaluation process. The evaluation system was focused on physical fitness, personality traits, knowledge, job ability, and quality of work. The total point scale possible is 100. The evaluators are the immediate supervisors. Three evaluators evaluate each section by the same form.

### **2. The Current System**

The purposes of the RTNOPER, as stated in the Navy Order No. 99/1985, is as follows: ". . . this report is the information to support personnel process in assignment, promotion, reward, improvement of the naval officer for top management, and other requirements . . . ." [Ref. 7:p. 5]. The Navy Officer Evaluation System has been designed to serve six specific purposes:

- (1) To provide information upon which important personnel management decisions regarding individual officers can be based.

Especially significant among these are promotions and assignments.

- (2) To set standards by which the performance and character of each officer can be evaluated.
- (3) To inform each officer what is expected of him or her.
- (4) To evaluate of an individual's past performance and conduct.
- (5) To recommend and comment decisive in the career of the individual.
- (6) To encourage the professional development of the officer for the potential promotion as future executives. [Ref. 6:pp. 1-2]

In general, the RTNOPER improves the efficiency of individuals, establishes commanding authority, and provides fundamental information for a fair personnel management process. Normally, all ranks of officers from ensign to captain have to be evaluated once a year through the evaluation report (Navy Form 2-85). The system requires an evaluation period of at least 180 days by the evaluated officer's immediate superior and the senior officers of the evaluators. The immediate superior is the most familiar with the day-to-day performance of the evaluated officer and directly guides the evaluated officer's participation in the unit mission. The senior evaluators are the senior evaluating official in the evaluating chain and both are the superiors of the immediate evaluator. Two senior evaluators are designated by the Navy to prepare an officer evaluation report. Usually, the senior evaluators are the immediate evaluator's evaluators. The senior evaluator reviews the rating and comments of the evaluator for completeness. All ranks except captain (below the division level) must be evaluated by the immediate evaluator. For example, an immediate evaluator of a ship is a

commanding officer and senior evaluators are the chief staff officer and squadron commander of that ship. Normally, the lowest rank of senior evaluator is commander.

Navy Form 2-85 (see Figure 3.1), is the only form in use for naval officers. The report is required to be completed for the squadron level by 31 March and for the Personnel Department by 17 April every year. Navy Form 2-85 is for all ranks (except flag officer) based on every twelfth month since being assigned to a duty position. The primary contents of Navy Form 2-85 are as follows: administrative data and job description during the evaluation period; ability and performance rating; additional comments; recommendation of evaluator; overall evaluation; and evaluators' signature. By design and use, the primary rating mechanisms of Navy Form 2-85 are the graphic rating scale of Section 2, Blocks 2.1 through 2.4. The end of Block 2.4 is the overall evaluation of an officer's potential. Section 3 is a short narrative section of Blocks 3.1, 3.2, and 3.3. Section 3, Blocks 3.2.1 through 3.2.4 contain checklists for decision-making purposes. It is obvious that numerous evaluators have a unique view of the distribution that is to be followed for grading desirability. In the absence of established guidelines, this section is relatively worthless.

The value of the graphic rating scale of Section 2 is: 1 (poor or unacceptable performance), 2 (below average), 3 (average or qualified to the generally accepted standards), 4 (above average or higher qualified), and 5 (excellent).

The narrative sections serve as areas in which to expand on the various grades given on the graphic rating scale to comment on significant factors not specifically covered by the graphic rating scale, and to report "critical incidents" in the officers career during the rating period. Specific criticisms and recommendations for

Officer Performance Evaluation Report Navy Form 2-85 Station _____ Unit _____		Type of Report <input type="checkbox"/> Annual <input type="checkbox"/> Special	
<b>SECTION 1</b>			
1.1 Rank/Name _____		Service No. _____	
Category _____		Duty Title _____	
Current Pay Grade _____		From _____	
1.2 Job Description			
Current Duty _____			
Special Duty _____			
1.3 Period of Report From _____ Thru _____			
<b>SECTION 2</b>			
		1 = poor 3 = excellent	
		Evaluator	
		1	2
		3	AVE.
2.1 Physical Fitness and Health			
2.1.1 Health and Fitness			
2.1.2 Military Presence			
Total 2.1			
2.2 Personality			
2.2.1 Responsibility			
2.2.2 Initiative			
2.2.3 Forcefulness			
2.2.4 Intelligence			
2.2.5 Judgment			
2.2.6 Decision Making			
2.2.7 Dependability			
2.2.8 Discipline			
2.2.9 Human Relations			
2.2.10 Self Development			
Total 2.2			
2.3 Job Knowledge			
2.3.1 Management Ability			
2.3.2 Command and Control			
2.3.3 Professional Knowledge			
2.3.4 Speaking Ability			
2.3.5 Writing Ability			
2.3.6 Foreign Language Ability			
Total 2.3			
2.4 Quality of Work			
2.4.1 Current Duty			
2.4.2 Special Duty			
Total 2.4			
TOTAL			

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Navy Form 2-85

Figure 3.1 RTN Navy Form 2-85 "Officer Performance Evaluation Report".

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improvement of the evaluated officer and further actions will be made in Section 3, Blocks 3.2.1 through 3.2.4.

In general, Section 3 is the most important for this report, because there is a requirement that the evaluator pass judgment on the timing of the evaluated officer's promotion (accelerated, decelerated, or with peers) and suitability for command (or increased responsibility) of ships or aircraft. [Ref. 7:p. 5]

The total marks are summed up by the final (third) senior evaluator and the report is sent directly to the Personnel Department, Headquarters of the Navy. The results are classified and are not released for any reason.

## **C. THE U. S. MILITARY OFFICER EVALUATION SYSTEMS**

### **1. The U. S. Navy Report On the Fitness of Officers**

The U. S. Navy Report on the Fitness of Officers (FITREP) is the major document used for evaluating naval officers. The current FITREP system has been in use without major modification since 1974 [Ref. 45:p. 1]. The FITREP is the primary basis for comparing and selecting officers for promotion, assignment, selection for command and subspecialty, retention, term of service, professional development training and other career actions as required. Elsewhere in the document, references are made to using it for providing junior officers with personal counseling and for recording extraordinary performance, such as misconduct. The fitness report form has two distinct sections, one for numerical quantification of personal qualities and another for a written summary of the officer's performance. To accomplish this, a rater first completes an appraisal work sheet (NAVPERS 1611/W) (see Figure 3.2) which serves as a guide for completion of the report on the fitness of officers (NAVPERS 1611/1

**Figure 3.2 Appraisal Work Sheet**









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**Figure 3.2 Appraisal Work Sheet (Continued).**

Rev. 7-84) (see Figure 3.3), designed to be processed by optical character recognition (OCR) equipment. A few evaluation factors in the appraisal work sheet were reinforced on 31 July 1984 (see Figure 3.4). The appraisal work sheet is used to define the measures based on Specific Aspects of Performance and Personal traits, and a rating scale from A to I is used in grading the various performance aspects and personality traits. Completing this sheet, the rater interviews with the rated officer.

After finishing this appraisal work sheet, the rater grades a rated officer on a Specific Aspects of Performance, Warfare Specialty Skills, and Subspecialty Performance based upon the previously completed appraisal work sheet. Each grade, combined and described by the required narrative comments, is the basis for determining the Mission Contribution evaluation. The Mission Contribution is differentiated in High, Mid, and Low. A rated officer placed in the highest range of the Evaluation section can be recommended for promotion, but this requirement is not mandatory. A recommendation for early promotion is entirely acceptable for such nomination to be made regardless of the time in grade or promotional eligibility, for this procedure serves to identify the "head and shoulders" type performers. The Summary block provides the distribution of the total evaluation marks given other officers of the same rank and competitive category. The rater must rank these officers numerically from one to the total number. Also, this section is left blank below the level of lieutenant. The first two copies of the Report on the Fitness of Officers are sent to the Navy Headquarters, the rater maintains one copy, and another is sent to the rated officer. If discriminations of the rated officer from the old report during the next rating period occur, the rater completes the next rating report based on the

1611-1

REPORT ON THE FITNESS OF OFFICERS

1. NAME (LAST, FIRST, MIDDLE)		2. GRADE		3. DESIG		4. ESN	
5. REPORTING SENIOR		6. DATE		7. STATION		8. DATE REPORTED	
9. DUTY ASSIGNMENT		10. DETACHMENT OF REPORTING SENIOR		11. DETACHMENT OF OFFICER		12. PERIOD OF REPORT	
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NAVPERS 16111 (REV. 1-63) NAV 5106 (7-61) 1101

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WORK SHEET

DETACH WORK SHEET BEFORE COMPLETING FORM

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

Figure 3.3 U.S. Navy Report on the Fitness of Officers.

<p>21. EMPLOYMENT OF OFFICERS (Continued)</p>	
<p>22. DUTIES ASSIGNED (Continued)</p>	
<p>23. COMMENTS. For narrative comments upon the officer's general leadership ability, personnel management skills, and statement of actual performance in command. Includes comments pertaining to unique skills and assignments that may be important to career development and future assignments. A mark in boxes with an asterisk (*) indicates advisory and supporting comments are required.</p>	

Figure 3.3 U.S. Navy Report on the Fitness of Officers (continued).

41. TACTICAL PROFICIENCY	A NOTEWORTHY		NEEDS	OCR LTR CODE
	NA/NO	STRENGTH	AN ASSET	
A. Knowledge of weapon systems functions and capabilities.				<div style="border: 1px solid black; width: 20px; height: 20px; text-align: center; line-height: 20px;">N</div>
B. Proficiency and leadership in the tactical employment of weapon systems.				
C. Knowledge and judgement in application of tactical doctrine.				
D. Positive innovation and contribution to tactical development.				
E. Demonstrated ability to anticipate and react correctly to dynamic tactical environment.				

42. LEADERSHIP	A NOTEWORTHY		NEEDS	OCR LTR CODE
	NA/NO	STRENGTH	AN ASSET	
A. Inspires Loyalty.				<div style="border: 1px solid black; width: 20px; height: 20px;"></div>
B. Establishes and maintains equitable and consistent policies.				
C. Sets and achieves high standards				
D. Emulated by others.				
E. Task oriented, assimilates concepts and articulates direction; gets the job done.				
F. Displays integrity and moral courage.				
G. Promotes spirit of teamwork and sustains high morale while accomplishing mission.				
H. Provides effective command presence.				

Figure 3.4 Added Element of the Appraisal Work Sheet.

discrimination such as improvement or backward movement. This method usually encourages the rated officer to improve. [Ref. 46:pp. 1-28] However, a rater must complete the Report on the Fitness of Officers with 88 evaluation items per rated officer as well as the appraisal work sheet. Such complexity in the evaluation process gives the rater a heavy workload. One other important factor is that only one rater does the evaluation. When an evaluation being done by only one rater is considered with the previous argument, the results of the evaluation may be questionable in accuracy. On the other hand, one of the characteristics in the Navy system is the attempt to separate the personal traits from performance based upon Mission Contribution. Second, the Report on the Fitness of Officers takes advantage of the machine readable OCR feature of the form and statistical analysis of performance marks.

## **2. The U. S. Marine Corps Fitness Report**

The U. S. Marine Corps (USMC) Fitness Reports are the principal record of performance for Marines above the grade of corporal. The primary purpose of the performance evaluation system of the Marine Corps is to support the promotion, selection, and retention of the best qualified Marines and additionally to aid the assignment of personnel. Marine Corps Instructions for the completion of Form NAVMC 10835 are included in the USMC Order 1610.7C. Broadly speaking, the fitness reports present a composite judgment of military character and relative merit compared with other officers of the same rank and comparable experience. It assists selection boards in determining which officers are best suited for promotion and



provides the commandant and staff with information as to each officer's qualifications for various types of duty.

The Marine Corps Evaluation System is required to be accurate, timely, complete, and informative for Selection Boards. The Marine Corps Order P1670.7C governs the evaluation system and USMC Fitness Report (1610) (see Figure 3.5) with an OCR like the Navy system. There are four sections in the USMC Fitness Report. The evaluation portion of the report contains a graphic rating scale and narrative description. Evaluation factors are divided into performance characteristics, professional qualities, potential, and preferences factors. Block 15a, "General Value to the Service" is the rater's assessment of the rated officer's current contribution to the Marine Corps and career capabilities. Therefore, it has to be a measure of the whole Marine in relation to his or her contemporaries, not a mere summary of Blocks 13 and 14. Because of this importance, Block 15a has 11 rating scales from "outstanding" to "not observed." Block 15b is the distribution of marks for all Marines of this grade and appears to be the "guts" of the Marine Corps system for promotions, retention, and assignment to critical positions. According to Marine Corps Order P1670.7C:

"Block 15b must reflect all others Marines of the same grade under the reporting senior supervision at the time of the report, as if all had been included in the reporting occasion. Inclusion of all other Marines of the same grade in this distribution is mandatory whether or not reports are actually submitted on all others at this time. The reporting senior, ordinary, is the immediate commanding officer or the head of the staff section of the rated officer, and must exercise utmost care and attention, ensuring that the numbers distributed in items 15b are accurate and actually reflect the actual evaluation assigned (or that would have been assigned if report were submitted on) all Marines of the same grade. Artificial cluster or false distribution is unacceptable." [Ref. 47:p. 5-5]

Therefore, Blocks 15a and 15b are the bottom line of the Marine Corps Fitness Report. Section C refers to mandatory comments, guided comments, and comments

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- STATE ADDITIONAL PAGE(S) HERE

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NAME REPORTED ON (Last Name) (First Name) (M.I.)	GRADE	IDENTIFICATION NO.	PERIOD FROM	TO	OCCASION
--	-------	--------------------	-------------	----	----------

REPORTING SENIOR'S CERTIFICATION

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

NAME REPORTED ON (Last Name) (First Name) (M.I.)	GRADE	IDENTIFICATION NO.	PERIOD FROM	TO
--	-------	--------------------	-------------	----

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

REVIEWING OFFICER'S CERTIFICATION

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

REMARKS (mandatory if Item 4, above, is checked):

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

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

Figure 3.5 U. S. Marine Corps Fitness Report (continued).

by grade. There are two kinds of rating methods; the absolute evaluation method in Block 15a and the relative evaluation method in reporting senior's and reviewing officer's certification of page 2. This assures evaluators accuracy and credibility in evaluating their subordinates. It is the responsibility of the rated officers to submit a signed fitness report, with Section A completed, to their reporting senior at the prescribed intervals. The reporting seniors then fill out the remainder of the report, which, and send it to the immediate superior in command (or other designated higher authority) for review and comment (if appropriate). Fitness reports are considered as privileged information and are handled with utmost administrative privacy, although they are not classified. In particular, to ensure Marines are provided feedback on their performance evaluation records on file at Marine Corps Headquarters, a few months after rated officers have submitted their fitness report, they receive a computer-printed receipt (Fitness Report Receipts Notice, FRRN) (see Figure 3.6) from Marine Corps Headquarters. The receipt contains a summary of the markings, less section c comments, and Official Military Personnel File (OMPF), which is the rated Marine's complete military history from the day of entry into the service through present. This may assist the rated Marines in reviewing themselves and improving their merits. Rated officers may also request a Master Brief Sheet (see Figure 3.7), summarizing all past markings from the Career Planner section of Marine Corps Headquarters (code MMCE). If they desire professional guidance in interpreting and planning their career, they may seek the guidance of the Headquarters Career Counseling staff. [Ref. 47:ch. 1-7]

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RECEIVED REPORT RECEIPT/DATE AND TIME (PRINTED) AND DUTY PHEP  
 (RECEIVED ADDRESS AND DUTY PHEP)

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

Figure 3.6 U.S. Marine Corps Fitness Report Receipt Notice.

Figure 3.7 U.S. Marine Corps Master Brief Sheet.

### 3. The U. S. Army Officer Evaluation System

The U. S. Army Officer Evaluation System (OES) is designed to assess an officer's performance and to estimate potential for future service based on the manner of that performance. The primary focus of the evaluation is on (1) a comparison between the officer's performance and the duty position requirements and (2) the potential evaluation, which is a projection of the performance accomplished during the rating period into future circumstances that encompass greater responsibilities. The primary focus of the potential assessment is the capability of the officer to meet increasing responsibility in retention of peers.

The current OES has been in use since 15 September 1979 [Ref. 48:p. 236].

Under the OES, every officer is evaluated on their performance and potential.

According to Army Regulation (AR) 623-105:

(a) The Officer Evaluation Reporting System is a subsystem of the Officer Evaluation System. It includes the methods and procedure for organizational evaluation and assessment of an officer's performance and an estimation of potential for future service based on the manner of that performance . . . The primary function of the Officer Evaluation Reporting System is to provide information from the organizational chain of command to be used by DA for officer personnel decision . . . (d) A secondary function of the Officer Evaluation Reporting System is to encourage the professional development of the officer corps . . . (e) The Officer Evaluation Reporting System contributes significantly by providing a natural impetus to continual two-way communication so that the rated officer is made aware of the specific nature of his duties and is provided an opportunity to participate in the organizational planning process . . . The senior/subordinate communication process also facilitates the dissemination of career development information, advice, and guidance to the rated officer. [Ref. 49:p. 16-17]

The current evaluation system procedure uses three forms. DA Form 67-8 (see Figure 3.8) is the Officer Evaluation Report (OER) form. An OER is prepared on each officer in the Army at least annually, or more often as prescribed by the

DA FORM 67-8

REPLACES DA FORM 67 : 1 JAN 72 WHICH IS OBSOLETE. 14 MAY 78

**US ARMY OFFICER EVALUATION REPORT**

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<b>PERIOD COVERED</b>	
<b>PART V - PERFORMANCE AND POTENTIAL EVALUATION (Rater)</b>	
<b>1. RATED OFFICER'S NAME</b> RATED OFFICER IS ASSIGNED IN ONE OF THE FOLLOWING SPECIALTIES: <input type="checkbox"/> YES <input type="checkbox"/> NO	
<b>2. PERFORMANCE DURING / PERFORMANCE PERIOD</b> REFER TO PART IV, DA FORM 67-8 AND PART III, DA FORM 67-8-1 <div style="display: flex; justify-content: space-between;"> <span><input type="checkbox"/> ALWAYS EXCEEDED REQUIREMENTS</span> <span><input type="checkbox"/> USUALLY EXCEEDED REQUIREMENTS</span> <span><input type="checkbox"/> MET REQUIREMENTS</span> <span><input type="checkbox"/> OFTEN FAILED REQUIREMENTS</span> <span><input type="checkbox"/> USUALLY FAILED REQUIREMENTS</span> </div>	
<b>3. COMMENT ON SPECIFIC ASPECTS OF THE PERFORMANCE</b> REFER TO PART IV, DA FORM 67-8 AND PART III, DA FORM 67-8-1 DO NOT USE FOR COMMENTS ON POTENTIAL	
<b>4. THIS OFFICER'S POTENTIAL FOR PROMOTION TO THE NEXT HIGHER GRADE IS</b> <div style="display: flex; justify-content: space-between;"> <span><input type="checkbox"/> PROMOTE AHEAD OF CONTEMPORARIES</span> <span><input type="checkbox"/> PROMOTE WITH CONTEMPORARIES</span> <span><input type="checkbox"/> DO NOT PROMOTE</span> <span><input type="checkbox"/> OTHER (Explain below)</span> </div>	
<b>5. COMMENT ON POTENTIAL</b>	
<b>PART VI - INTERMEDIATE RATER</b>	
<b>6. COMMENTS</b>	
<b>PART VII - SENIOR RATER</b>	
<b>7. POTENTIAL EVALUATION (NOMINATING / SENIOR RATER)</b> <div style="display: flex; align-items: center;"> <div style="border: 1px solid black; padding: 2px; margin-right: 5px;">             BR  <div style="height: 100px; border: 1px solid black; position: relative;"> <div style="position: absolute; top: 0; left: 0; right: 0; bottom: 0; border: 1px solid black; border-radius: 50%; background: repeating-linear-gradient(45deg, transparent, transparent 2px, black 2px, black 4px);"></div> </div> </div> <div style="border: 1px solid black; padding: 2px; margin-left: 5px;">             HI  <div style="height: 100px; border: 1px solid black; position: relative;"> <div style="position: absolute; top: 0; left: 0; right: 0; bottom: 0; border: 1px solid black; border-radius: 50%; background: repeating-linear-gradient(45deg, transparent, transparent 2px, black 2px, black 4px);"></div> </div> </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div style="border: 1px solid black; padding: 2px;">             LO  <div style="height: 100px; border: 1px solid black; position: relative;"> <div style="position: absolute; top: 0; left: 0; right: 0; bottom: 0; border: 1px solid black; border-radius: 50%; background: repeating-linear-gradient(45deg, transparent, transparent 2px, black 2px, black 4px);"></div> </div> </div> </div>	<b>8. COMMENTS</b>
<b>9. A COMPLETED DA FORM 67-8-1 WAS RECEIVED WITH THIS REPORT AND CONSIDERED IN MY EVALUATION AND REVIEW</b> <input type="checkbox"/> YES <input type="checkbox"/> NO (If NO, explain in 8)	

U.S. GOVERNMENT PRINTING OFFICE : 1965 O - 489-156

Figure 3.8 U.S. Army DA Form 67-8 (continued).

regulations (AR 623-105). The completed OER is forwarded to the Department of the Army (DA) where it becomes a permanent portion of the rated officer's service record. A Support Form, DA Form 67-8-1 (see Figure 3.9), is designed to involve the rated officer in a meaningful way in the evaluation process and to improve counseling. The third form, DA Form 67-8-2 (see Figure 3.10), is designed for use by Headquarters, Department of the Army. This form is titled Senior Rater Profile Report, and is provided to maintain a rating history of each senior rater. DA Form 67-8 includes graphic rating scales of professional attributes, a recommendation concerning promotion, and the descriptive comment sections. In part IV, Professionalism is separated into professional competence and professional ethics, and each graphic scale requires narrative comments. In Part VII, a reporting senior has to place a rated officer numerically within a hypothetical population of one hundred contemporaries. This is an outstanding tool to prevent several biases such as leniency or severity. Because the rated officer, for instance, should have outstanding qualities to be placed within second ranking, and this is the relative comparison to one hundred contemporaries, the reporting senior cannot help being careful in rating subordinates.

The DA Form 67-8-1 is used by the rated officers and rating chain. The Army is exploring an MBO system including a measure of self-evaluation by indicating the rated officer's major performance objectives and listing the rated officer's significant contributions. The purpose of DA Form 67-8-1 is to encourage the communication process between the rater and the rated officer and to permit the rated officers to describe their principal duties, objectives, and significant contributions. Therefore, performance improvement of Army officers can be enhanced by increasing



<b>c. LIST YOUR SIGNIFICANT CONTRIBUTIONS</b>
_____ <small>SIGNATURE AND DATE</small>
<b>PART V - RATER AND/OR INTERMEDIATE RATER</b> <i>(Review and comment on Part IVa, b, and c above. These remarks are germane to your performance and potential evaluation on DA Form 67-8.)</i>
<b>a. RATER COMMENTS (Optional)</b>
_____ <small>SIGNATURE AND DATE (Mandatory)</small>
<b>b. INTERMEDIATE RATER COMMENTS (Optional)</b>
_____ <small>SIGNATURE AND DATE (Mandatory)</small>
<b>DATA REQUIRED BY THE PRIVACY ACT OF 1974 (5 U.S.C. 552a)</b>
<p>1. <b>AUTHORITY:</b> See 301 Title 5 USC; See 5012 Title 10 USC.</p> <p>2. <b>PURPOSE:</b> DA Form 67-8, Officer Evaluation Report, serves as the primary source of information for officer personnel management decisions. DA Form 67-8-1, Officer Evaluation Support Form, serves as a guide for the rated officer's performance, development of the rated officer, enhances the accomplishment of the organization mission, and provides additional performance information to the rating chain.</p> <p>3. <b>ROUTINE USE:</b> DA Form 67-8 will be maintained in the rated officer's official military Personnel File (OMPF) and Career Management Individual File (CMIF). A copy will be provided to the rated officer either directly or sent to the forwarding address shown in Part I, DA Form 67-8. DA Form 67-8-1 is for organizational use only and will be returned to the rated officer after review by the rating chain.</p> <p>4. <b>DISCLOSURE:</b> Disclosure of the rated officer's SSN (Part I, DA Form 67-8) is voluntary. However, failure to verify the SSN may result in a delayed or erroneous processing of the officer's OER. Disclosure of the information in Part IV, DA Form 67-8-1 is voluntary. However, failure to provide the information requested will result in an evaluation of the rated officer without the benefit of that officer's comments. Should the rated officer use the Privacy Act as a basis not to provide the information requested in Part IV, the Support Form will contain the rated officer's statement to that effect and be forwarded through the rating chain in accordance with AR 623-105.</p>

\* GPO : 1965 O - 461-033 (27180)

Figure 3.9 U.S. Army DA Form 67-8-1 (continued).



communication between superior and subordinate. This may positively affect the overall morale of the personnel.

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

The Army's OER system has been in operation since 1979. It is reportedly working without serious inflation by senior raters and with strong selection board endorsement. The strongest selection board feedback is that those senior officers who focus primarily on the top box are "losing their vote" and "hurting their subordinates' chances" for selection and promotion [Ref. 45:pp. 24-25].

#### **4. The U. S. Air Force Officer Evaluation System**

The Air Force Officer Evaluation System (OES) was introduced on 1 August 1988. It is the newest U. S. military officer performance evaluation system. OES is primarily designed to measure the individual's effectiveness, select the right officers to do the job, and to promote in the Air Force. The OES and its components--the performance feedback, officer performance reporting, and promotion recommendation--are the keystone of the Officer Professional Development Program. According to U. S. Air Force Regulation (AFR) 36-10, the Officer Evaluation System has three purposes:

The first purpose is to provide meaningful feedback to officers on what is expected of them, advise on how well they are meeting those expectations, and advise on how to better meet those expectations. The second is to provide a reliable, long-term, cumulative record of performance and potential based on that performance. The third is to provide central selection boards with sound information to assist them in selecting the best qualified officers. [Ref. 50:p. 6]

Also, the Air Force Professional Development Program states the three major goals of OES:

- (1) To increase an officer's qualifications and ability to perform his or her duties now and in the near future.
- (2) To prepare officers for future leadership challenges.
- (3) To ensure the people who are best qualified are advanced in grade and responsibility. [Ref. 51:p. 3]

Air Force Regulation 36-10 explains the Air Force Officer Evaluation System. All officers in field grades (O-4 and above) are evaluated on AF Form 707 A "Field Grade Officer Performance Evaluation" (see Figure 3.11). AF Form 707 B "Company Grade Performance Evaluation" (see Figure 3.12) is used for all officers in company grade (O-3 and below). For line officers on the active duty list, reports are prepared semiannually until an officer has two reports on file, and annually thereafter. A non-line officer on the active duty list will receive semiannual reports until he or she has four reports on file as a non-line officer, and annually thereafter. In general, AF Forms 707 A and 707 B are similar. To evaluate potential, a two-block system ("Does not meet standards" and "meet standards") is used by three evaluators: the rater, an additional rater, and the reviewer [Ref. 51:pp. 26-27].

The rater is the first officer in the rating chain serving in a grade equal to or higher than the ratee. In most cases, the rater is the officer's immediate supervisor. The additional rater is the rater's supervisor. For all officers below the grade of

I. RATEE IDENTIFICATION DATA (Read AF Form 707-10 carefully before filling in any item)			
1. NAME (Last, First, Middle Initial)	2. SSN	3. GRADE	4. SAPSC
5. PERIOD OF REPORT From: _____ To: _____		6. NO. DAYS SUPERVISION	7. REASON FOR REPORT
8. ORGANIZATION, COMMAND, LOCATION			9. FAS CODE
II. UNIT MISSION DESCRIPTION			
III. JOB DESCRIPTION 1. DUTY TITLE: 2. KEY DUTIES, TASKS, AND RESPONSIBILITIES:			
IV. IMPACT ON MISSION ACCOMPLISHMENT			
V. PERFORMANCE FACTORS			
	DOES NOT MEET STANDARDS	MEETS STANDARDS	
1. Job Knowledge Has knowledge required to perform duties effectively. Strives to improve this knowledge. Applies knowledge to handle nonroutine situations.	<input type="checkbox"/>	<input type="checkbox"/>	
2. Leadership Skills Sets and enforces standards. Motivates subordinates. Works well with others. Fosters teamwork. Displays initiative. Self-confident. Has respect and confidence of subordinates. Fair and consistent in evaluation of subordinates.	<input type="checkbox"/>	<input type="checkbox"/>	
3. Professional Qualities Exhibits loyalty, discipline, dedication, integrity, and honesty. Adheres to Air Force standards. Accepts personal responsibility. Is fair and objective.	<input type="checkbox"/>	<input type="checkbox"/>	
4. Organizational Skills Plans, coordinates, schedules, and uses resources effectively. Schedules work for self and others equitably and effectively. Anticipates and solves problems. Meets deadlines.	<input type="checkbox"/>	<input type="checkbox"/>	
5. Judgment and Decisions Makes timely and accurate decisions. Emphasizes logic in decision making. Retains composure in stressful situations. Recognizes opportunities and acts to take advantage of them.	<input type="checkbox"/>	<input type="checkbox"/>	
6. Communication Skills Listens, speaks, and writes effectively.	<input type="checkbox"/>	<input type="checkbox"/>	

AF Form 707A, AUG 88

PREVIOUS EDITION IS OBSOLETE

FIELD GRADE OFFICER PERFORMANCE REPORT

Figure 3.11 U.S. Air Force AF Form 707 A.



<b>VI. RATER OVERALL ASSESSMENT</b>		
NAME, GRADE, BR OF SVC, ORGN, COMD, LOCATION	DUTY TITLE	DATE
	SSN	SIGNATURE
<b>VII. ADDITIONAL RATER OVERALL ASSESSMENT</b> <span style="float: right;">CONCUR <input type="checkbox"/> NONCONCUR <input type="checkbox"/></span>		
NAME, GRADE, BR OF SVC, ORGN, COMD, LOCATION	DUTY TITLE	DATE
	SSN	SIGNATURE
<b>VIII. REVIEWER</b> <span style="float: right;">CONCUR <input type="checkbox"/> NONCONCUR <input type="checkbox"/></span>		
NAME, GRADE, BR OF SVC, ORGN, COMD, LOCATION	DUTY TITLE	DATE
	SSN	SIGNATURE
<b>Instructions</b>  <p>All: Recommendations must be based on performance and the potential based on that performance. Promotion recommendations are prohibited. Do not consider or comment on completion of or enrollment in PME, advanced education, previous or anticipated promotion recommendations on AF Form 709, OER indorsement levels, family activities, marital status, race, sex, ethnic origin, age, or religion.</p> <p>Rater: Focus your evaluation in Section IV on what the officer did, how well he or she did it and how the officer contributed to mission accomplishment. Write in concise "bullet" format. Your comments in Section VI may include recommendations for augmentation or assignment.</p> <p>Additional Rater: Carefully review the rater's evaluation to ensure it is accurate, unbiased, and uninflated. If you disagree, you may ask the rater to review his or her evaluation. You may not direct a change in the evaluation. If you still disagree with the rater, mark "NONCONCUR" and explain. You may include recommendations for augmentation or assignment.</p> <p>Reviewer: Carefully review the rater's and additional rater's ratings and comments. If their evaluations are accurate, unbiased, and uninflated, mark the form "CONCUR" and sign the form. If you disagree with previous evaluators, you may ask them to review their evaluations. You may not direct them to change their appraisals. If you still disagree with the additional rater, mark "NONCONCUR" and explain in Section VIII. Do not use "NONCONCUR" simply to provide comments on the report.</p>		

AF Form 707A, AUG 88 (Revised)

U. S. GPO: 1988-201-373-0000

Figure 3.11 U.S. Air Force AF Form 707 A (continued).

I. RATER IDENTIFICATION DATA (Read AF Form 707B carefully before filling in any item)			
1. NAME (Last, First, Middle Initial)		2. SSN	3. GRADE
4. PERIOD OF REPORT From: _____ To: _____		5. NO. DAYS IN PERIOD	6. ASSIGN FOR REPORT
7. ORGANIZATION, COMMAND, LOCATION			8. PAB CODE
II. UNIT MISSION DESCRIPTION			
III. JOB DESCRIPTION 1. DUTY TITLE: 2. KEY DUTIES, TASKS, AND RESPONSIBILITIES:			
IV. IMPACT ON MISSION ACCOMPLISHMENT			
V. PERFORMANCE FACTORS			
	DOES NOT MEET STANDARDS	MEETS STANDARDS	
1. Job Knowledge Has knowledge required to perform duties effectively. Strives to improve that knowledge.	<input type="checkbox"/>	<input type="checkbox"/>	
2. Leadership Skills Sets and enforces standards. Works well with others. Fosters teamwork. Displays initiative. Self-confident.	<input type="checkbox"/>	<input type="checkbox"/>	
3. Professional Qualities Exhibits loyalty, discipline, dedication, integrity, and honesty. Adheres to Air Force standards. Accepts personal responsibility. Is fair and objective.	<input type="checkbox"/>	<input type="checkbox"/>	
4. Organizational Skills Plans, coordinates, schedules, and uses resources effectively. Meets suspenses.	<input type="checkbox"/>	<input type="checkbox"/>	
5. Judgment and Decisions Makes timely and accurate decisions. Emphasizes logic in decision making. Retains composure in stressful situations. Recognizes opportunities. Requires minimal supervision.	<input type="checkbox"/>	<input type="checkbox"/>	
6. Communication Skills Listens, speaks, and writes effectively.	<input type="checkbox"/>	<input type="checkbox"/>	

AF Form 707B, AUG 88

COMPANY GRADE OFFICER PERFORMANCE REPORT

Figure 3.12 U.S. Air Force AF Form 707 B.

<b>VI. RATER OVERALL ASSESSMENT</b>		
Performance feedback was accomplished consistent with the direction in AFR 38-10. (If not accomplished, state the reason.)		
NAME, GRADE, OR AF SVC, ORGN, COMB, LOCATION	DUTY TITLE	DATE
SSN	SIGNATURE	
<b>VII. ADDITIONAL RATER OVERALL ASSESSMENT</b> <span style="float: right;">CONCUR <input type="checkbox"/> NONCONCUR <input type="checkbox"/></span>		
NAME, GRADE, OR AF SVC, ORGN, COMB, LOCATION	DUTY TITLE	DATE
SSN	SIGNATURE	
<b>VIII. REVIEWER</b> <span style="float: right;">CONCUR <input type="checkbox"/> NONCONCUR <input type="checkbox"/></span>		
NAME, GRADE, OR AF SVC, ORGN, COMB, LOCATION	DUTY TITLE	DATE
SSN	SIGNATURE	
<p style="text-align: center;"><b>Instructions</b></p> <p><b>All:</b> Recommendations must be based on performance and the potential based on that performance. Promotion recommendations are prohibited. Do not consider or comment on completion of or enrollment in PME, advanced education, previous or anticipated promotion recommendations on AF Form 708, OER advancement levels, family activities, marital status, race, sex, ethnic origin, age, or religion.</p> <p><b>Rater:</b> Focus your evaluation in Section IV on what the officer did, how well he or she did it and how the officer contributed to mission accomplishment. Write in concise "bullet" format. Your comments in Section VI may include recommendations for augmentation or assignment.</p> <p><b>Additional Rater:</b> Carefully review the rater's evaluation to ensure it is accurate, unbiased and unflinching. If you disagree, you may ask the rater to review his or her evaluation. You may not direct a change in the evaluation. If you still disagree with the rater, mark "NONCONCUR" and explain. You may include recommendations for augmentation or assignment.</p> <p><b>Reviewer:</b> Carefully review the rater's and additional rater's ratings and comments. If their evaluations are accurate, unbiased and unflinching, mark the form "CONCUR" and sign the form. If you disagree with previous evaluators, you may ask them to review their evaluations. You may not direct them to change their appraisal. If you still disagree with the additional rater, mark "NONCONCUR" and explain in Section VIII. Do not use "NONCONCUR" simply to provide comments on the report.</p>		

AF Form 707B, AUG 88 (Reverse)

U.S. GPO: 1988-001-377 (B274)

Figure 3.12 U.S. Air Force AF Form 707 B (continued).

colonel, the additional rater must be at least one grade senior to the officer being rated. The reviewer for majors and below is an official in at least the grade of colonel or equivalent in a wing commander or equivalent position. For lieutenant colonels and colonels, the reviewer is the first general officer or equivalent in the rating chain.

The report is reviewed at several levels. The additional rater has an opportunity to add a broader view of the ratee's performance and potential based on performance. The additional rater may disagree with either one or more of the six performance factor ratings in Section V, or with comments made by the rater in Sections IV or VI, or with a combination of all three. The reviewer has an opportunity to concur or not concur with the additional rater's evaluation and comments. A "quality review" is the reviewer's primary responsibility. If the reviewer agrees with the report, no comments are necessary. If any part of the report is deemed inaccurate, the report is returned to the rater for consideration.


The AF Form 724, Performance Feedback Worksheet (PFW) (see figure 3.13), is provided by the rater as on required basis. This element provides a formal evaluative feedback, which is needed to assist in future professional development [Ref. 51:p. 3].

The Promotion Recommendation Form (PRF), AF Form 709, (see Figure 3.14), is the final component of the OES. This element gives the promotion board a basis for differentiation which is driven by performance. This form is prepared by a senior officer who has direct access to personal knowledge of the officer's performance. The person who makes the recommendation for all officers in a given organization will



• U.S. DEPARTMENT OF JUSTICE OFFICE: 1900-101-377, 90100

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<b>I. RATER IDENTIFICATION DATA (Read AFR 38-79 carefully before filling in any item)</b>			
1. NAME (Last, First, Middle Initial) <b>HARRIS, JOHN T.</b>	2. SSN <b>XXX-XX-XXXX</b>	3. GRADE <b>Captain</b>	4. GRAFSC <b>2635</b>
5. ORGANIZATION, COMMAND, AND LOCATION <b>Department of Physics, Dean of Faculty (USAF), Colorado Springs, Colorado</b>			6. FAS CODE <b>USOAFBCC</b>
<b>II. UNIT MISSION DESCRIPTION</b> The Physics Department is one of 19 academic departments. Department teaches 3 introductory physics courses to 2000 cadets annually and 25 advanced physics courses to 93 physics majors. Conducts basic space physics, laser and astronomy research for several operational commands. Provides officer role models and career counseling to cadets.			
<b>III. JOB DESCRIPTION</b> 1. DUTY TITLE: <b>Course Director and Instructor of Physics</b> 2. KEY DUTIES, TASKS, RESPONSIBILITIES: Supervises 10 instructors who annually teach 25 sections of introductory calculus-based physics to 1200 cadets. Develops curricula, establishes educational standards, and determines grades. Instructor for 42 cadets in subject areas of classical mechanics, thermodynamics, and fluid mechanics. Conducts classes, motivates, and counsels cadets. Conducts basic optics research funded by the Air Force Weapons Laboratory.			
<b>IV. PROMOTION RECOMMENDATION</b> Capt Harris is one of our top company grade instructors meeting this board. His superior record of performance--youngest Minuteman crew commander at Minot AFB, ground-breaking research at the Air Force Weapons Laboratory--bring a real-life relevance to his courses. As a result of his research proposals, he acquired \$130K worth of laser equipment and organized a research team of 5 officers. He is now the principle investigator for this project which has significant SDI application. His unique blend of operational experience, technical expertise, and supervisory talent mark him for a bright future. Promote to major this board and select for intermediate service school.			
<b>V. PROMOTION ZONE</b> BPZ <input type="checkbox"/> I/AFZ <input type="checkbox"/>		<b>VI. GROUP SIZE</b> NA	<b>VII. BOARD</b> XXXXX
		<b>VIII. SENIOR RATER / D</b> XXXXX	
<b>IX. OVERALL RECOMMENDATION</b> DEFINITELY PROMOTE <input checked="" type="checkbox"/> PROMOTE <input type="checkbox"/> DO NOT PROMOTE THIS BOARD <input type="checkbox"/>		<b>X. SENIOR RATER</b> NAME, GRADE, BRANCH, COMMAND, LOCATION <b>MARTIN W. DALEY, Col, USAF</b> <b>US Air Force Academy (USAF)</b> <b>Colorado Springs, Colorado</b> DUTY TITLE Permanent Professor and Head, Department of Physics SSN XXX-XX-XXXX	
		SIGNATURE 	
<b>Instructions</b> Review previous OERs, OPRs, Education/Training Reports, and Supplemental Evaluation Sheets. Discuss, if needed, the officer's performance with officials in the supervisory chain. Evaluate the officer's performance and assess his or her potential based on performance. Do not consider or comment on enrollment in or completion of professional military education or advanced academic education. Provide an accurate, unbiased assessment free from consideration of race, sex, ethnic origin, age, religion, or marital status. Provide the officer a copy of this report approximately 30 days prior to the board for which this report is prepared.			

AF Form 709, AUG 88

PROMOTION RECOMMENDATION

Figure 3.14 U.S. Air Force AF Form 709 Promotion Recommendation Form.

be the same senior rater. The selection board will disregard the grade of the senior rater.

One advantage of the Air Force system is that users of AF Forms 707 A and B in the Air Force Headquarters can easily and completely understand the rated officer's performance achievements and individual's traits because AF Pamphlet 36-6 is quite detailed and provides all information about the OES.

A second advantage is that three steps such as the rater, the additional rater and the reviewer in the rating chain are used to increase accuracy. A third strength of the Air Force is that since AF Pamphlet 36-6 is detailed, a rater can easily evaluate a rated officer's traits. Also, the Officer Personnel Evaluator's Handbook with details are distributed to all Air Force officers as a guide for rating. The use of a detailed Officer's Guide provides a model for the RTN Officer Performance Evaluation System.

#### **5. The U. S. Coast Guard Officer Evaluation System**

The U. S. Coast Guard (USCG) was included in the study of U. S. military evaluation systems. Instructions for the U. S. Coast Guard Officer Evaluation Reports (OER) Form CG-5300 (Rev. 12-88) are found in Chapter 10 of the Commandant Instruction (COMDTINST) M 1000.6 "U. S. Coast Guard Personnel Manual." The U. S. Coast Guard's current system was introduced on 1 July 1984 and represents the third revision. Two forms are used in the evaluation process: (1) the Officer Evaluation Report (OER) (see Figure 3.15) and (2) the Officer Support Form (OSF) (see Figure 3.16). The purpose of OER system is to supply information to the Commandant for personnel management decisions such as promotion, assignment, and career development. In addition, the USCG recognizes that the OER reinforces



Figure 3.15 U.S. Coast Guard Officer Evaluation Report.

4. COMMENTS

4. INTERPERSONAL RELATIONS: Measures how an officer affects or is affected by others.

<p><b>WORKING WITH OTHERS</b></p> <p>Demonstrated ability to promote a team effort to cooperate, and to work with other people or units to achieve common goals.</p>	<p>1</p> <p>Sometimes disregarded the ideas and feelings of others, or caused hostility because of failure to inform or consult. Impatient or impatient. Talked too much or listened too little. Was inflexible, lost temper or control. Was slow to resolve conflicts. Not a team player.</p>	<p>3</p> <p>Encouraged open expression of ideas and respected the viewpoints of others. Worked cooperatively with others of all backgrounds. Kept others informed. Consulted others. Got different people and organizations to work together without mandates. Carried share of load. Helped others resolve conflicts and stay focused on team goals.</p>	<p>5</p> <p>Excels at getting all participants to work together. Skillfully used knowledge of group dynamics to inspire cooperation among diverse individuals or groups. Stimulated open expression of ideas. Channelled group conflict into positive energy. Achieved goals not otherwise attainable.</p>	<p>NO</p>
<p><b>HUMAN RELATIONS</b></p> <p>The degree to which this officer followed the letter and spirit of the Commander's Human Relations Policy in personal relationships and official actions.</p>	<p>1</p> <p>Exhibited discriminatory tendencies toward others due to their religion, age, sex, race, or ethnic background. Allowed bias to influence approach or the treatment of others. Used position to harass others. Was disrespectful, made shaming remarks. Did not hold subordinates accountable for their human relations responsiveness.</p>	<p>3</p> <p>Treated others fairly and with dignity regardless of religion, age, sex, race, or ethnic background. Carried out work, training, and operational responsibilities without bias. Held subordinates accountable for living up to the spirit of the Commander's Human Relations Policy.</p>	<p>5</p> <p>Through leadership and demonstration, strong personal commitment, promoted fair and equal treatment of others in all situations, regardless of religion, age, sex, race, or ethnic background. Actively campaigned against prejudicial actions or behavior by others. Made clearly note worthy contributions to this end.</p>	<p>NO</p>

4. COMMENTS

5. LEADERSHIP SKILLS: Measures an officer's ability to guide, direct, develop, influence, and support others in their performance of work.

<p><b>LOOKING OUT FOR OTHERS</b></p> <p>The officer's sensitivity and responsiveness to the needs, problems, goals and achievements of others.</p>	<p>1</p> <p>Showed little concern for the safety, problems, needs, or goals of others. Overlooked or tolerated unfair, insensitive, or abusive treatment of others. May have been accessible to others but unresponsive to their personal needs. Seldom acknowledged or recognized subordinates' achievements.</p>	<p>3</p> <p>Cared about people, recognized and responded to their needs. Concerned for their safety/well-being. Was accessible, listened and dealt with personal or job-related problems, needs, and goals when unable to assist, supported or provided other resources. "Went to bat" for people. Rewarded deserving subordinates in a timely fashion.</p>	<p>5</p> <p>Demonstrated a commitment to develop and nurture a caring community in others. Personally ensured resources were available to meet people's needs and that limits of endurance were not exceeded. Was always accessible to others and their problems. Extremely conscientious in ensuring subordinates received appropriate and timely recognition.</p>	<p>NO</p>
<p><b>DEVELOPING SUBORDINATES</b></p> <p>The extent to which an officer used coaching, counseling, and training and provided opportunities for growth to increase the skills, knowledge, and productivity of subordinates.</p>	<p>1</p> <p>Showed little interest in training or development of subordinates. May have unnecessarily withheld authority or oversupervised. Did not challenge subordinates' abilities. Tolerated marginal performance, or criticized excessively. Did not keep subordinates informed, provided little constructive feedback.</p>	<p>3</p> <p>Provided opportunities and encouraged subordinates to expand their roles, handle important tasks, and learn by doing. Held subordinates accountable, provided timely praise and constructive criticism. Provided opportunities for training which supported professional growth.</p>	<p>5</p> <p>Created challenging situations which promoted an unusually high level of development of people. Used a work group (analogous to "clockwork") People always knew what was going on and routinely handled the unexpected. Developed comprehensive and creative training programs. Promoted a commitment to learning and personal development.</p>	<p>NO</p>
<p><b>DIRECTING OTHERS</b></p> <p>The officer's effectiveness in influencing or directing others in the accomplishment of tasks or missions.</p>	<p>1</p> <p>An officer who had difficulty controlling and influencing others effectively. Did not exert confidence or enhance concentration among subordinates and others. Set work standards which were vague or inconsistent. Tolerated late or marginal performance. Flustered in difficult situations.</p>	<p>3</p> <p>A leader who earned the support and commitment of others. Set high work standards and expectations which were clearly understood and required subordinates to meet them. Encouraged kept others motivated and on track even when "the going got tough."</p>	<p>5</p> <p>A strong leader who commanded respect and inspired others to achieve results not normally attainable. People wanted to serve under his/her leadership. Communicated high work standards and expectations which were clearly understood. Got superior results even in time-critical and difficult situations. Won people over rather than imposing will.</p>	<p>NO</p>
<p><b>EVALUATIONS</b></p> <p>The extent to which an officer responded on Officer, Supervisor, Reporting Officer, Reviewer, Appraiser, Reviewer or Commanding Officer conducted or required others to conduct accurate, unbiased and timely evaluations for assigned tasks and officer personnel.</p>	<p>1</p> <p>Failed to prepare and/or submit unbiased Officer, or officer evaluations which were accurate or timely. Reports were often returned for improvement. Provided little or no counseling to subordinates. Subordinates failed to submit timely and unbiased reports, or subordinates supported evaluations. Failed to react reports to subordinates that were unacceptable.</p>	<p>3</p> <p>Prepared unbiased unbiased, objective, and officer evaluations which were consistently submitted on time. Evaluations clearly measured performance and behavior against published standards. Narratives were fair, concise, descriptive and contained specific observations. Few COMDT if any, were returned by COMDT.</p>	<p>5</p> <p>His reports submitted late or returned by COMDT for correction. No reports of subordinates submitted late or returned for correction. Rejected reports of subordinates for improvement to meet high standards. Comments were specific and always supported numerical evaluations. Set high standards for counseling subordinates.</p>	<p>NO</p>

Figure 3.15 U.S. Coast Guard Officer Evaluation (continued).





DEPARTMENT OF TRANSPORTATION U.S. COAST GUARD CG-5308 (Rev. 6-94)	<b>OFFICER SUPPORT FORM (OSF)</b> <b>(OPTIONAL WORKSHEET)</b>															
<b>1a. NAME/RANK OF REPORTED-ON OFFICER</b>	<b>1b. NAME/RANK OF SUPERVISOR</b>	<b>1c. PERIOD OF REPORT</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;">YR</td> <td style="text-align: center;">MO</td> <td style="text-align: center;">DAY</td> <td style="text-align: center;">TO</td> <td style="text-align: center;">YR</td> <td style="text-align: center;">MO</td> <td style="text-align: center;">DAY</td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> </tr> </table>	YR	MO	DAY	TO	YR	MO	DAY							
YR	MO	DAY	TO	YR	MO	DAY										
<b>2a. DESCRIPTION OF DUTIES.</b> (Describe the Reported-on Officer's job including primary and collateral duties, resources available, relationships to Coast Guard mission, and relationships to other Supervisors and the public.) <div style="border: 1px dashed black; height: 150px; margin-top: 5px;"></div>																
<b>b. AREAS OF EMPHASIS.</b> (Identify areas of emphasis for the reporting period, projects to be completed, and end results expected.) <div style="border: 1px dashed black; height: 150px; margin-top: 5px;"></div>																
<b>c. INITIAL MEETING.</b> Date Submitted to Supervisor: _____ Initial Meeting Requested: <input type="checkbox"/> Yes <input type="checkbox"/> No      Reported on Officer: _____ Supervisor Acknowledgment: _____ Initial      Date of Initial Meeting: _____																

Figure 3.16 U.S. Coast Guard Officer Support Form.



## c. COMMENTS:

## 6. COMMUNICATIONS SKILLS: Measures an officer's ability to communicate in a positive, clear, and convincing manner.

1	2	3	4	5	6	7	8
<b>6. SPEAKING AND LISTENING</b> How well an officer speaks and listens in individual exchanges, large or small groups, meetings or public situations. Demonstrated ability to express verbal thoughts clearly, coherently, logically and contemporaneously.	Weak speaking or listening skills. Utilized inappropriate language or mannerisms. Expressed thoughts lacked preparation, confidence, common sense, or logic. Rambled or lost the audience. Failed to listen carefully. Argumentative. Identified specific situations that required better skills.	Accomplished speaker; comfortable in both public and private situations. Spoke in an articulate, confident, and positive manner with appropriate gestures and without distracting mannerisms. Not visibly uncomfortable in spontaneous presentations. Listened attentively to others and the audience.	Displayed a remarkable ability to identify and discuss key issues, and to express thoughts clearly, coherently, and contemporaneously with confidence. Captivated and persuaded audiences. Chosen by superiors to make presentations on complex or sensitive issues, or when audience had unusual significance.				
<b>6. WRITING</b> How well an officer communicated through written material and proof-read before submission. Demonstrated ability to prepare or review communication for superiors, self or subordinates and to express written thoughts clearly, coherently, logically and contemporaneously.	Written material frequently required revision for clarity, lack of proofreading, or requirements of the Coast Guard Correspondence or Style Manual.	Written material not examples for brevity, clarity, logic, persuasion, and flow. Correspondence grammatically correct and appropriate for the audience. Considerate proofreader. Material from subordinates reflected the same high standards.	Expressed complex and controversial material in both a brief and persuasive way and achievement of stated objectives was materially aided. Meticulous proofreader. Written material responsible for and achieved to achieve accomplishment, or published material brought credit upon CG. Provide noteworthy examples.				

## c. COMMENTS:

## 7. SUPERVISOR AUTHENTICATION

1. NAME AND SIGNATURE	2. GRADE	3. SSN	4. TITLE OF POSITION	5. DATE

## 8. REPORTING OFFICER COMMENTS:

## 9. PERSONAL QUALITIES: Measures selected qualities which illustrate the character of the individual.

1	2	3	4	5	6	7	8
<b>9. INITIATIVE</b> Demonstrated ability to move forward, make changes, and take responsibility without guidance and supervision.	Postponed needed action. Implemented change only when confronted by necessity or directed to do so. Often overruled by events. May have suppressed initiative of subordinates. Was unsupportive of changes directed by higher authority.	Strive to do the job better. Developed new ideas, methods and practices. Got things done. Made improvements. "Worked smarter, not harder." Self-starter; not afraid of making mistakes. Supported new ideas/methods/practices and efforts of others to bring about constructive change. Anticipated problems and took timely action to avoid/resolve them.	Aggressively sought additional responsibility. Was extremely innovative. Original, tested, nurtured, promoted, or brought about new ideas, methods or practices which resulted in significant improvements to unit and/or Coast Guard. Did not promote change for sake of change. Made worth-while ideas/practices work when others may have given up.				
<b>9. JUDGMENT</b> Demonstrated ability to arrive at sound decisions and make sound recommendations by using experience, common sense, and analytical thought in the decision process.	Sometimes indecisive or showed uncertainty when making decisions. May have acted too quickly or too late. Did not take advantage of good sources of information. Did not keep superiors informed. Needed coaching, repeated mistakes. Made too many wrong decisions/recommendations.	Demonstrated analytical thought and common sense in making proper decisions or recommendations. Recognized developing problems and considered facts and alternatives. Asked for help when needed. Results demonstrated sound judgment in most cases.	Always did the "right" thing at the "right" time. Combined keen analytical thought and insight to make timely and successful decisions. Focused on the key issues and the most relevant information, even in complex situations.				
<b>9. RESPONSIBILITY</b> Demonstrated commitment to getting the job done and to hold one's self accountable for own and subordinates' actions; courage of convictions; ability to accept decisions contrary to own views and make them work.	Usually could be depended upon to do the right thing. Normally accountable for own work. May have accepted less than satisfactory work or tolerated inefficiency. Tended not to get involved or speak up. Provided minimal support for decisions counter to own ideas.	Placed goals of Coast Guard above personal ambitions and gains. Possessed high standard of honor and integrity. Held self and subordinates accountable. Fought circumstances even when uncomfortable or difficult to do so. Spoke up when necessary, even when position was unpopular. Supported organizational policies/decisions which may have been counter to own ideas.	Uncompromising honor and integrity. "Went the extra mile, and more." Always held self and subordinates accountable for production and actions. Had the courage to stand up and be counted. Succeeded in making even unpopular policies/decisions work.				
<b>9. STAMINA</b> The officer's ability to think and act effectively under conditions that were stressful and/or mentally or physically taxing.	Performance became marginal under stress or during periods of extended work. Made poor decisions, overlooked key factors, forayed on wrong priorities or lost sight of safety considerations. Bailed at putting in necessary overtime. Became rattled in stressful situations.	Performance was sustained at a high level when under stress or during periods of extended work without loss of productivity or safety. Stayed cool when the pressure was on. Willingly worked extra hours when necessary to get the job done.	Thrived under stressful situations. Performance reached an unusually high level when under stress or during periods of extended work. Productivity remained at an extremely high level with no increased risk to personal and/or equipment.				
<b>9. HEALTH AND WELL-BEING</b> The extent to which an officer exerted moderation in the use of alcohol. The degree to which an officer maintained weight standards. The measure of an officer's effort to meet the Coast Guard's future by caring for his or her health.	Failed to meet minimum standards of weight control or sobriety.	Maintained weight standards. Used alcohol only moderately or not at all. Job performance and social behavior was never affected. Encouraged similar behavior in others and held subordinates accountable. Intemperate alcohol use by subordinates not tolerated.	Remarkable vitality, enthusiasm, alertness, and energy level. Consistently contributed at high standards. Demonstrated a lifelong commitment, beyond writing an example to the well-being of self and subordinates. Contributed a leadership role in the community; community outside normal duties. Noteworthy examples.				

Figure 3.16 U.S. Coast Guard Officer Support Form (continued).

## 1. COMMENTS

## 10. REPRESENTING THE COAST GUARD: Measures how an officer's ability to bring credit to the Coast Guard through looks and actions.

1. MILITARY BEARING	2. PROFESSIONALISM	3. DEALING WITH THE PUBLIC	4. COMMENTS
<p>The extent to which an officer appeared neat, smart and well-groomed in uniform or civilian attire; conformed to military traditions, customs, and courtesies, and set standards for subordinates' performance.</p>	<p>Maintained neatness of Coast Guard uniforms and accessories. Unable or unwilling to consistently appear neat, smart and well-groomed in uniform and civilian attire. Standards set in Uniform Regulations not maintained. Performance of subordinates not inspired or unacceptable.</p>	<p>Well-known to have Coast Guard objectives, policies, procedures serve the public; considered an expert in some areas. Was straightforward, cooperative, and even-handed in dealing with the public and government. Aware of impact actions/impressions may create on others. Supported CG image. Personal life reflected CG image.</p>	<p>The typically outstanding officer. Clearly set standards for CG uniforms and grooming excellence. Set or inspired similar standards in others. Performance of subordinates was exceptional. Exemplified the best traditions of military customs, courtesy and justice in very visible situations. Significant contributions to public recognition. Noteworthy examples.</p>
<p>How an officer applied knowledge and skills in providing service to the public. The manner in which the officer represented the Coast Guard.</p>	<p>Appeared ill-at-ease with the public or media. Inconsistent in application of CG programs to public sector. Favored under pressure. Took inappropriate or demeaning approach. Made inappropriate statements. Embarrassed Coast Guard in a social situation.</p>	<p>Deal fairly and honestly with the public, media and others at all levels. Responded promptly. Showed no favoritism. Didn't let us down based on difficult situations. Was courteous in social situations. Sensitive to concerns expressed by the public.</p>	<p>The ideal officer to represent the Coast Guard. Inspired confidence and trust. Clearly conveyed dedication to CG ideals in both public and private life. Worked creatively and confidently with representatives of public and government. Left everyone with a very positive image of self and Coast Guard.</p>
<p>How an officer acted when dealing with other services, agencies, businesses, the media, or the public.</p>	<p>Always self-assured and in control when dealing with public, media and others at all levels. Straightforward, impartial, and diplomatic. Applied CG programs fairly and uniformly. Showed unusual social grace. Responded with great grace to provocative actions of others.</p>		

## 4. COMMENTS

## 11. LEADERSHIP AND POTENTIAL. (Describe demonstrated leadership ability and overall potential for greater responsibility, promotion, special assignment, and command.)

## 12. COMPARISON SCALE AND DISTRIBUTION. (Compare the officer with others of the same grade whom you have known in your career.)

UNSATISFACTORY	A QUALIFIED OFFICER	ONE OF THE MANY COMPETENT PROFESSIONALS WHO FORM THE MAJORITY OF THIS GRADE	AN EXCEPTIONAL OFFICER	A DISTINGUISHED OFFICER
○	○	○	○	○

## 13. REPORTING OFFICER AUTHENTICATION

1. NAME AND SIGNATURE	2. GRADE	3. SSN	4. TITLE OF POSITION	5. DATE
14. REVIEWER AUTHENTICATION				
COMMENTS ATTACHED (Required when the Reporting Officer is not a Coast Guard Officer.)				
1. NAME AND SIGNATURE	2. GRADE	3. SSN	4. TITLE OF POSITION	5. DATE

## 15. RETURN ADDRESS. (Name and address to which a copy will be sent when the original is filed in the officer's record.)

## 16. HEADQUARTERS VALIDATION

## PRIVACY ACT STATEMENT

This information is requested under the authority of 14 U.S.C. 833 to determine an officer's suitability for promotion or job assignment. Submission of this information is mandatory. Failure to provide it could adversely affect promotion opportunities and job assignments or lead to disciplinary action.

Figure 3.16 U.S. Coast Guard Support Form (continued).



command authority by providing a delineation of the lines of authority and responsibility, with officers knowing the members of their rating chains. The OER is designed to help maintain Coast Guard values and standards. The OSF is an optional worksheet and may be used by the member to assist in delineating duties, enhancing organizational communication, performing counseling and reporting performance. The OSF serves as a vehicle for clarifying the evaluated officer's job responsibilities and areas of the job that either the officer or the supervisor feels should receive emphasis during the reporting period. [Ref. 52;pp. 1-3]

The primary features of this evaluation system include the following: (1) the use of performance standards; (2) the high degree of headquarters administrative review and quality control; (3) a policy of placing responsibility for managing performance with each individual officer; and (4) the rating chain.

The immediate supervisor reviews the officer's performance during the 6-month reporting period and assigns a grade for each performance dimension on the OER. Grades range from 1 (low) to 7 (high). An important element of the Coast Guard system is the policy of comparing officers. Therefore, each officer receives a series of ratings and is not ranked against other officers [Ref. 45;pp. 26]. Every OER is reviewed when it is received at the Headquarters. OERs with substantive errors or marks not supported by narrative comments and specific examples of performance and qualities are returned to the rater for revision.

With the exception of ensigns and lieutenants (junior grade), counseling is optional unless the rated officer requests it. Each officer is responsible for his or her own performance and for getting the counseling that may be needed to measure up to

standards. The reporting officer evaluates the evaluatee's performance, personal quantities, ability to represent the Coast Guard, leadership, and potential for promotion and special assignment, such as command. The reporting officer ensures that the superior fully meets the responsibilities for administration of the OER by holding supervisors accountable for accurate evaluations. The reviewer may return an OER to the reporting officer to correct errors, omissions, or inconsistencies between numerical evaluations and written comments.

The U. S. Coast Guard system is a good evaluation system. It is a major improvement over the previous Coast Guard system in that it moves from subjective trait scales to objective behavioral ratings. It is a practical tool for the supervisor to reward or discipline past performance as well as to plan for the future.

Evidence indicates that it is working well. Evaluations have not been inflated beyond use and less than ten percent of the reports are being returned. Coast Guard officials claim that this is the best system they have ever used in making selection. [Ref. 53:p. 123]

#### **D. SUMMARY**

The RTN evaluation system is focused on the individual's job knowledge, ability, and personal traits. The Navy Form 2-85 is annual and mainly focuses on the latest performance and personal traits of the evaluated officers. The system does not focus on improvements in future work performance as a counseling tool as well as past performance of evaluated officers. In Section 2, the total points possible is 100. But 50 points is in Block 2.2 alone, assessing the personality of the evaluated officer. The

quality of work is only ten points. Obviously, this form is more concerned with personal traits than with job or work performance.

The U. S. Navy FITREP may seem fair enough, especially to those who have been rewarded by it [Ref. 51:p. 123]. The U. S. Navy FITREP is designed for use with an OCR, but is complicated. The evaluation section on the report on the Fitness of Officers is easily understandable because of the rank summary section. The Navy system needs one rater in the rating chain.

The Marine Corps evaluation system adopts graphic rating scales with an OCR, and uses the absolute and relative evaluation methods. The Marine Corps provides only marking blocks in its performance and professional qualities section of the NAVMC 10135, and allows only a small space for appraisal elaboration in Section C. The Marine Corps's scale uses the following marks: not observed, unsatisfactory, below average, average, above average, excellent, and outstanding. On Block 15 (General value to the Service), four other marks are added. An interesting feature of Block 15b is that the rater is required to tabulate the distribution of all subordinates of the ratee's grade whether or not they are simultaneously rated. Block 18 records the frequency of observation by the evaluator (that is, daily, frequently or infrequently). The reviewing officer can actively supervise the reporting senior through the Reviewing Officer's Certification. Also, the Marine Corps system uses manipulation controls by listing alphabetically the names of all evaluated Marines (in a given grade) on the back of all FITREP forms. This requirement minimizes the opportunity for inflating the number of officers in the comparison group, thereby improving the accuracy of the

ranking process. In conclusion, the Marine Corps Evaluation System focuses on choosing "Combat Marines" in considering the Fitness Report.

The U. S. Army Evaluation System uses a simple form in evaluating the detailed evaluation factors and numerical criteria in potential evaluation in DA Form 67-8. The Army DA Form 67-8 is similar to the Navy's FITREP in that it contains a duties assigned block, a performance core section, and a narrative section for specifics of performance and potential. The MBO system is also used in DA Form 67-8-1 and 67-8-2 to supervise the raters in Headquarters Army. The Army's procedures, which include immediate supervisors rating their subordinates, are designed to stimulate a continual two-way communication so that rated officers are aware of the specific nature of their duties and are provided an opportunity to participate in the specifications of billets and duties. Structured communication between supervisors and subordinates also encourages the perpetuation of discipline and desired behavior.

The U. S. Air Force system is the simplest and newest system in the U. S. military. The reviewer takes part in the evaluation, and the USAF officer's Guide to the Officer Evaluation System is used as a guide for evaluators. One distinguishing feature of the Air Force officer evaluation system is that it uses separate forms for the feedback and promotion recommendation process.

The U. S. Coast Guard's Officer Evaluation System is based on measuring performance and individual attributes with behavioral examples as standards of performance. A distinguishing feature of the Coast Guard's OER is the use of "performance standards"--that is, written descriptions of behavior that reflect performance levels within each performance dimension.

## **IV. ANALYSIS OF QUESTIONNAIRES**

### **A. BACKGROUND**

An RTN Officer Performance Evaluation System survey was conducted on 11 April 1988. A questionnaire was sent to all active officers of the Naval Advanced Education Institute. The questionnaire concerned the RTN Officer Performance Evaluation System (RTNOPE), and was designed to assess the acceptability of the current evaluation system by the officer corps. The survey also asked how well the system was perceived and implemented. Today, the results of this survey have not been analyzed. To investigate the level of satisfaction with the system, this study was designed to use this survey to analyze the current system. Some 325 questionnaires were randomly distributed at the Naval Command College, the Naval Staff College, and the Naval Engineer and Line Officer School. This survey was required at the Naval Command College. The profile consisted of 4 Rear Admirals, 90 Captains, 135 Commanders, 30 Lieutenant Commanders, and 64 Lieutenants.

The questionnaire was divided into four parts. The first part addressed the overall reaction of officers to the evaluation system. The second part addressed the evaluation process. The third part addressed the main contents of the evaluation. The last part focused on the usefulness of the evaluation information [Ref. 54: pp. 1-15]. The RTN Officer Performance Evaluation System is analyzed in the following three ways: system policies, evaluation form, and feedback of the evaluation results based mainly upon the questionnaires and Navy Regulations.

## **B. SYSTEM POLICIES**

### **1. Overall Reaction of Officers to the System**

The overall reaction to the evaluation system was measured by the first question on the survey:

"Based upon your experiences with the evaluation system, do you believe that the present system is good or not?"

The responses to this questions appear in Table 1.

**TABLE 1**  
**OVERALL REACTION OF OFFICERS TO THE SYSTEM**

Overall Reaction	<u>Officer Responses</u>	
	Number	Percent
Positive	165	50.8
Negative	68	20.9
No Reaction	<u>92</u>	<u>28.3</u>
Total	325	100.0

The response to this question shows that officers are split in their reaction to the current evaluation system. Over half of the respondents indicated that the current system is generally good. One reason is because the current system can be used to develop future top management personnel for the Navy. Approximately 21 percent of the respondents indicated that they did not like the present evaluation system. The majority of the "No Reaction" responded that the current evaluation

system is reasonable, but needs to be amended in the evaluation factors and the overall evaluation of the form. Some 32.5 percent are negative toward the current evaluation system. The results suggest that the current system may be perceived rather poorly by some officers.

## 2. Required Role of the Evaluation System

The perceptions of the officers concerning the purpose of the current evaluation system were gathered through the following question:

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

The responses to this question appear in Table 2.

**TABLE 2**  
**OPINIONS OF OFFICER CONCERNING PARTS OF THE**  
**EVALUATION SYSTEM THAT NEED REINFORCEMENT**

Parts Needing Reinforcement	<u>Officer Responses</u>	
	Number	Percent
-Don't need to be reinforced	0	0
-Need to provide information for the personnel process	150	46.1
-Need the feedback of training for the efficiency of individual performance	165	50.7
-Need the maintenance of command authority	<u>10</u>	<u>3.2</u>
Total	325	100.0

According to Navy Order 99/1985, "The Officer Performance Evaluation System" is the most important to provide information for fair personal appraisal of officers. However, 46.1 percent of the respondents feel this purpose is not met by the officer performance evaluation. On the other hand, it shows that the majority of the respondents feel the evaluation system contributes toward improvement of the individual officer's efficiency, and establishing commanding officer's authority. Additionally, many officers are interested in potential feedback from the evaluation. Feedback could assist them in improving their own efficiency and performance.

### **C. PERFORMANCE EVALUATION REPORT**

#### **1. General**

The responses to the present evaluation form was measured by this question:

"What changes are needed in the present evaluation form?"

From the above question, 59 percent of responses believe this evaluation report is good for explaining 4 items, including: physical fitness and health, personality and behavior, knowledge and job ability, and quality of work. Approximately 34 percent of the 325 respondents say that an additional form is needed to evaluate physical fitness and health. About 7 percent of the respondents say that a doctor's evaluation is required. Table 3 shows the overall response to the evaluation form.



**TABLE 3**  
**RESPONSE TO THE EVALUATION FORM**

Responses	<u>Officer Responses</u>	
	Number	Percent
No changes necessary	192	59.0
Need additional form for physical physical fitness and health	110	33.9
Need physician input for physical fitness and health	<u>23</u>	<u>7.1</u>
Total	325	100.0

**2. Section to be Evaluated**

a. Physical Fitness. Approximately 86 percent of officers support the military bearing and health evaluation in Section 2 block 1 of the report (Navy Form 2-85). Additionally, they recommended to add a Pass/Fail Physical Fitness and Mental Status Examination.

b. Personality and Behavior. A total of 91 percent of the respondents gave their support to the report, and 9 percent of "Others" want to remove certain items such as Human Relations because of difficulties in evaluation. They recommended adding "punctual," "personal appearance," "exhibits loyalty," and "anticipates and solves problems."

c. Job Knowledge. Approximately 92 percent of the respondents agree with six items in this section. Approximately 8 percent of respondents recommend removing "writing ability," because writing ability should be included in "quality of work." The

reason is that a junior officer (ensign to lieutenant) usually has little opportunity to use this ability in his or her job. For the "foreign language ability," evaluators should use the RTN Language Training Center annual test results and should be evaluated only for those officers who use an acquired foreign language.

d. Quality of Work. Approximately 88 percent of the officers feel positively toward the current system, but 12 percent recommended removing the "special duty" because there are two meanings: (1) official work or (2) personal work. Furthermore, some evaluatees have a special duty that others do not have.

e. Rating Scale. Approximately 64 percent of the responses preferred to use a 1-to-3 point rating scale. About 23 percent of the responses recommended a 1-to-5 point rating scale, while 7 percent of the respondents preferred to use alphabetical grades A through E. The "Others" recommended a 1-to-4 point rating scale, and commented that if the evaluator cannot evaluate someone, the rating should be left blank.

f. Summary of Evaluation. Approximately 85 percent of responses favor this section. "Others" recommend an intermediate evaluator and addition of "type of appropriated assignment" more than the current form. It should be added that the evaluators do not know the final result of their recommendations. Therefore, they are generally not interested in this section.

g. Released and Unreleased Rating Results. The following question was asked on the survey:

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

important and also may have some advantage and disadvantage. Which is better in your opinion?"

The responses to this questions are shown in Tables 4 through 6.

**TABLE 4**  
**RESPONSES TO RELEASED AND CONFIDENTIAL RESULTS**

Responses	<u>Officer Responses</u>	
	Number	Percent
-No opinion	16	4.9
-Prefer to release the rating results	245	75.4
-Prefer confidential rating results	<u>64</u>	<u>19.7</u>
Total	325	100.0

Table 4 shows the overall responses of the above question. About 75 percent of the responses would like to release the rating results.

Table 5 shows the responses of 245 of 325 officers who preferred to release rating results from this question:

"According to the evaluation regulation, one of the purposes of the performance evaluation is to improve the efficiency of rated officers by airing the results. For this purpose, if you prefer to release the rating results confidential, what is your reasons?"

**TABLE 5**  
**REASON FOR RELEASING RATING RESULTS**

Responses	<u>Officer Responses</u>	
	Number	Percent
-Impossible to keep the results completely closed	19	7.8
-Helpful for self improvement	173	70.6
-Expects fairness in the rating	<u>53</u>	<u>21.6</u>
Total	245	100.0

Table 5 shows that 70.7 percent of the 245 officers who preferred to release the rating results thought it would be helpful for self improvement, while 21.5 percent expected it to contribute to fairness in evaluation. On the other hand, 19.7 percent of the responses in Table 4 support confidential rating results.

Table 6 shows the responses of 64 of 325 officers who preferred to keep rating results confidential from this question:

"According to the evaluation regulation, one of the purposes of the performance evaluation is to improve the efficiency of rated officers by airing the results. For this purpose, if you prefer to keep the rating results confidential, what is your reasons?"

**TABLE 6**  
**REASON FOR CONFIDENTIAL RATING RESULTS**

Responses	<u>Officer Responses</u>	
	Number	Percent
-Demotivates the rated officers who have low grades	40	62.5
-Based upon the traditional consciousness	3	4.7
-Expect disagreements about the final rating order	2	3.1
-Potential conflicts with the evaluator	<u>19</u>	<u>29.7</u>
Total	64	100.0

As shown in Table 6, about 62 percent of the respondents prefer not to release rating results since evaluated officers may become unmotivated or disenchanted by low grades.

h. General Opinion from the Survey. These questionnaires gave an opportunity for all officers to criticize the system, since the RTN wants to use this current report to select top management and improve personnel in the future. The researcher summarized these responses as follows:

(1) The officer performance evaluation which the Navy uses today is a good system for personnel management in theory. More than half of the responses agree with this method of evaluating officers, but the Navy can improve some items.

(2) The evaluation system is not entirely appropriate for the Thai culture. Most of the Thai people hesitate to criticize other people. It is difficult, in their view, for the commanding officer or superior to "play God"; thus, the system fails to evaluate the performance of subordinates accurately due to cultural mores.

(3) The personnel process of the Navy tends to be ineffective. There is an over-abundance of policies and regulations that frequently serve to confuse more than clarify or guide.

(4) Since the introduction of this system, the Navy has never really used the results of the officer evaluation system in personnel management. Consequently, most of evaluators are not concerned with the system.

(5) There are lack of satisfactory standards for making subjective judgments.

(6) The current report is a classified document, and after the evaluation process is completed, it cannot be released. As a result of this policy, it is less likely to aid in improving the officer's performance in the future.

(7) The superior may tend to inflate grades because of misplaced loyalty or distaste for the responsibility of telling subordinates about their weaknesses.

In conclusion, releasing rating results may provide an opportunity for officers to review and improve themselves. It may also improve the evaluator's fairness in the evaluation process as well as the evaluated officer's potential.

## **V. DEFICIENCIES OF THE CURRENT RTN SYSTEM**

As discussed in Section B of Chapter III, the RTN Officer Performance Evaluation System has been revised four times, and has attempted different evaluation methods. It has also been shown that important parts of this system are disliked by many officers, as discussed in Chapter IV. In this chapter, deficiencies of the current system (based on the contents analyzed in Chapter III and IV) are discussed.

1. The objectives of the RTN Officer performance Evaluation System are not met; about 46 percent of the respondents feel that the system needs to provide information for a fair personnel appraisal in line with current Navy policy. It does not incorporate interviews or counseling and does not have any subsystems other than promotion, selection, or placement to reinforce its use.

2. Due to poor feedback of the rating results, the unreleased rating result influences both the evaluator and the evaluated officer since it may lead to an unfair rating and be useless in improving the efficiency of evaluated officers. It does not give evaluated officers an opportunity to review themselves. The released rating results system may improve the evaluator's fairness in the performance evaluation as well as the evaluated officer's desire to succeed and excel.

3. The current evaluation system is based primarily on personality. About half of the evaluation is based on the "personality" evaluation of officers. Only 40 percent of the evaluation is actually concerned with "job knowledge" and "quality of work."

4. There are deficiencies resulting from using a 1-to-5 point rating scale in the current system. Evaluators have to evaluate by using a 1-to-5 point rating scale (1 = poor/unacceptable performance, 2 = below average performance, 3 = average performance, 4 = above average performance, and 5 = excellent performance). With no details of these rating scales, it is very difficult for evaluators to use these scales.

5. There are no clearly stated job descriptions or billet codes, so the evaluations cannot be accurately keyed to performance.

6. In the TTN, training could be provided in how to write an evaluation. This would be extremely beneficial to the superior in better evaluating subordinates as well as in understanding the system.



## **VI. CONCLUSIONS AND RECOMMENDATIONS**

As with any system involving interaction between human beings, there is always room for improving an evaluation system. By the same token, no evaluation system yet devised has totally eliminated the problems associated with personality conflicts, inflationary rating trends, subjective grading, or intentional corruption of the system. Because of the great importance to an organization of personnel evaluation and development, the organization should periodically review its appraisal system with the objective of improving that system.

The system as it operates today was examined critically and some important suggestions have been proposed. In doing this, the issues were approached from two directions: (1) a review of the RTN evaluation system and the U.S. military evaluation system; and (2) the attempt to gain feedback from officers through the analysis of questionnaires done by the RTN Naval War College. The results of analysis are summarized as follows:

(1) The first conclusion is that the vast majority of RTN officers are interested in improving their potential abilities and merits. To satisfy these requirements, the feedback of the evaluation results must be supported.

(2) A second conclusion is that Navy Form 2-85 uses a 5-point scale and this has produced numerous deficiencies. However, the obvious fact is that the problems mentioned here still continue, even through four revisions of the evaluation system.

(3) The accuracy of the performance evaluation process results from evaluator and evaluation standards. The feedback of the evaluation results further compels the evaluator to evaluate fairly and to help improve the performance of the officers under his command. The Navy should adopt this reporting form and other alternatives to control the evaluator effectively and control inflation of marks.

In summary, the performance evaluation results must be accurate and contribute not only to the Navy but also to the evaluated officers through feedback. Commanding officers can use the evaluations to control or counsel.

#### A. CONCLUSIONS

An evaluation should be trusted and accepted by its users. Trust in the evaluation process is the extent to which officers perceive that the evaluation data will be rated accurately and fairly, and be used objectively for personnel decisions. If evaluators and evaluatees find the evaluation method satisfactory and fair, they will use it.

The following would be accomplished by incorporating recommended changes to the current system:

1. Improvement of command management/goal setting
2. Better counseling and feedback
3. Simplification of evaluation forms for completion
4. Improvement of value to promotion and selection boards

There is no "cook book" approach to personnel evaluation, and this thesis is therefore not intended to be the only solution to this very important aspect of our

military personnel system. It is also not the intent of the researcher to rewrite Navy Regulations and Instructions for this system.

The recommendations proposed in this study are not a cure-all. As long as humans are evaluating others humans, human errors, such as the "halo" effect, will inevitably occur in any evaluation system. However, strict enforcement of guidelines might tend to eliminate or reduce these errors and produce a workable system. Finally, further study concerning the feasibility and format modifications of the officer evaluation system should be carried out to find the most acceptable system for the RTN in the future.

## **B. RECOMMENDATIONS**

The following recommendations are offered in the spirit of building upon and improving the RTN Officer Evaluation System.

1. An officer evaluation should be based primarily on job performance and results. In addition, it should provide some indication of job-related characteristics and traits to assist in predicting an officer's development potential and suitability for other assignments.

2. An important aspect of performance evaluation that seems to be overlooked is training evaluators in writing the evaluation. The Navy officer's first encounter with performance evaluation is likely to be when he is handed an official form and told to evaluate a person working for him. Every officer should be trained to become familiar with the evaluation system, its purpose, the importance of conducting a proper evaluation, and the appropriate governing rules and regulations. The training program may start at the Staff College, Naval War College, Line Officer School, Commanding

Officer Course, or the Naval Academy. Conduct evaluator training on a district level to ensure that the system is understood and that comments are properly written. This would establish performance schemata before the observation of behavior and reduce overall evaluator error. The evaluation system can work well if it is accepted and valued by both the evaluator and the evaluatee.

3. Physical and mental evaluation should be conducted by annual examination from the Naval Hospital at every base. There are two kinds of examination the Navy uses to test the personnel who will go overseas for training or official travel. Every officer has to pass this examination. The details of the examination would be coordinated by the Medical Department.

4. The quality of work is too vague. The contents of Section 2.4 "quality of work" is the bottom line of the evaluation and too critical to be used without clear guidelines. Objective standards should be established to ensure that each officer is considered on consistent and equal criteria.

5. The narrative comment in Navy Form 2-85 Section 3 should be eliminated except in the case of unsatisfactory performance. The use of a narrative type evaluation is ineffective in a Navy evaluation system. Narratives cannot easily be assigned a numerical grade or ranking mark. Therefore, comparing the performance of a large number of officers is virtually impossible. The greatest limitation with narrative-type evaluations in the Navy is that officers who fill out the forms vary widely in their writing ability and techniques. In these cases, it is often the evaluator's ability, not the evaluated officer's, that is recorded on the evaluation form.

On the present form, the additional narrative section might not detail a low mark on the rating scale because the evaluator did not take the additional time and effort to write a narrative justification for a higher mark. The researcher believes that narrative comments have no place in the officer evaluation system except to explain the reasons for assigning unusually low or unsatisfactory marks.

6. The evaluating results should be released to the evaluator and evaluated officer after Navy Headquarters judges the final evaluating results.

7. The Navy should publish a booklet or handbook explaining the current system and provide a standard guideline for evaluators and officers to know the standards of performance in order to excel.

8. An evaluation form (Navy Form 2-85) could be reviewed not only for promotion and selection boards but also for counseling purposes. It will provide necessary feedback to the evaluated officer after the evaluation process is completed.

In conclusion, Figure 6.1 represents a proposed RTNOPER. Revisions are based on a performance factor section similar to the U. S. Air Force evaluation form. The proposed RTNOPER includes the ten performance items of the current RTNOPER. These ten performance items have been revised to reflect measurable objective criteria as outline in Chapter III. In the proposed report, only one evaluator (immediate evaluator) will rate the officer. Another two evaluators (senior officers) will review the rating results and submit comments for the evaluated officer. In keeping with Navy regulations, the report will remain confidential between the reporting chain and the evaluated officer. A copy of the evaluation form will sent back to the evaluated officer

for the feedback purpose. The author hopes this proposal will contribute to improving the officer evaluation system and be useful to the Navy in the future.

RTN Officer Performance Evaluation Report (RTNOWER 3-89)	
<b>SECTION I. <u>Evaluated Officer Identification Data</u></b>	
1. Name/Rank _____	2. Service No. _____
3. Pay Grade _____ Date of Rank _____	
4. Period of Report From _____ Thru _____	5. Type of Report _____
6. Organization, Command, Location: _____ _____ _____	
<b>SECTION II. <u>Job Description</u></b>	
1. Duty Title _____	
2. Duties, Tasks, and Responsibilities Assigned: _____ _____ _____ _____	
<b>SECTION III. <u>Performance Factors</u></b>	
<b>1. <u>Military Presence</u></b> Looking and acting like a Navy officer in fitness, behavior, dignity, and bearing at all times. Appearing neat, smart and well groomed in uniform or civilian attire. Establishing and maintaining effective relationships with military and civilian associates.	<b>Rating</b> (1-5)    _____
NAVY FORM 3-89 <span style="float: right;">1</span>	

Figure 6.1 The Proposed RTN Officer Performance Evaluation Report.

	<b>Rating</b> (1-5)
<p><b>2. <u>Duty and Quality of work</u></b>  Dedication and resolve a Navy officer demonstrates to thoroughly and conscientiously accomplish all tasks. A measure of loyalty and honesty to the unit, Navy, and the Nation.  Primary duties of a Navy billet assignment, also the totality of duties and tasks assigned to the officer.</p>	_____
<p><b>3. <u>Judgment and Decisions</u></b>  Makes timely and accurate decision, common sense. Thinking clearly and arriving at practical and logical conclusions.</p>	_____
<p><b>4. <u>Stamina</u></b>  Ability to think and act effectively under conditions that were stressful and/or mentally or physically fatiguing.</p>	_____
<p><b>5. <u>Organization Skills</u></b>  Plans, coordinates, schedules, and uses resources effectively. Schedules work for self and other equitably and effectively. Anticipates and solve problem, meet suspenses.</p>	_____
<p><b>6. <u>Leadership</u></b>  The ability to achieve objectiveness and complete the mission by inspiring, directing, controlling, and supervising others.  The ability to develop subordinates by counseling, motivating, and setting the example.</p>	_____
<p><b>7. <u>Job Knowledge</u></b>  Has acknowledge required to perform duties effectively. Strives to improve this knowledge to handle nonroutine situations.</p>	_____
<p><b>8. <u>Speaking and Writing</u></b>  Briefing, presentation, demonstration ability to express verbal thoughts clearly and effectively, coherently, logically and extemporaneously.</p>	_____
<p>NAVY FORM 3-89</p>	2

Figure 6.1 (continued).



<b>9. Health</b>	<b>Rating</b>
Health, physical fitness, and mental status result from the Naval Medical Department annually examination.	(1-5)
<b>10. English Language</b>	
Speaking, listening, and writing.	
(By using annually examination from the Naval Language Center)	
<hr/> <b>Signature of officer evaluated:</b>	
<b>Date</b>	
"I acknowledge that I have seen this report (page 1, 2, and 3), have been apprised of my performance and right to make a statement."	
<hr/> NAVY FORM 3-69	
3	

Figure 6.1 (continued).

SECTION IV. <u>Evaluator Recommendations</u>			
1. Promotion Recommendation	Early	Regular	No
(check one)	_____	_____	_____
Comments: _____			
_____			
Signature of Immediate Evaluator: _____			
		Date _____	
Title Duty _____			
_____			
SECTION V. <u>Additional Evaluator Overall Evaluation</u>			
CONCUR _____		NONCONCUR _____	
_____			
_____			
Signature of Additional Evaluator: _____			
		Date _____	
Duty Title _____			
_____			
SECTION VI. <u>Senior Evaluator Review</u>			
CONCUR _____		NONCONCUR _____	
_____			
_____			
Signature of Senior Evaluator: _____			
		Date _____	
Duty Title _____			
_____			
NAVY FORM 3-89			
			4

Figure 6.1 (continued).

**Instructions:**

**1. Rating Scales:**

- 1 - Poor/Unacceptable
- 2 - Below Average
- 3 - Average
- 4 - Above Average
- 5 - Excellent

Blank - Not observed or cannot make a decision.

2. A copy of page 1, 2, and 3 will be sent back to the evaluated officer when the original is filled in the official officer's record at the Naval Personnel Department.

3. This report is private report between the reporting chain and the officer evaluated.

4. This report, page 1, 2, and 3, have to be seen by the evaluated officer, and have been appraised of his or her performance, before signing his or her name on page 3.

5. Item 10 "English Language" gives the information to Navy Selection Board for special assignment, not for ranking the officer for promotion.

**6. Immediate Evaluator:**

(1) focus your evaluation in Section III on what the officer did, how well and how the officer contributed to mission accomplishment. Your recommendation in Section IV may use in Navy Selection Board.

(2) if you choose "NO" promotion in Section IV, you have to give a comment for explaining unsatisfactory performance of this officer according to the performance factors in Section III.

**7. Additional and Senior Evaluator:**

(1) if you disagree with the previous evaluators, mark "NONCONCUR" and explain.

(2) do not use "NONCONCUR" simply to provide comments on the report.

(3) page 4 of this report does not become a permanent part of the official officer's record but it is removed after the promotion and selection process is completed.

8. For more details see in the "RTN Officer's Guide to the OPES.

NAVY FORM 3-89

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Figure 6.1 (continued).

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
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<p>This study seeks to formulate recommendations for improvement of the Royal Thai Navy Officer Performance Evaluation System. The research methodology includes the following three components: (1) a study of pertinent performance evaluation literature, (2) a study of U. S. military evaluation systems, and (3) an analysis of the questionnaire survey regarding the present Royal Thai Navy Officer Performance Evaluation System.</p> <p>After assimilating and categorizing relevant information, it is concluded that the Royal Thai Navy Officer Performance Evaluation System must be modified to more accurately and effectively document officer performance.</p> <p>Specific recommendations are offered to bring about the necessary changes. These include a proposed RTN Officer Performance Evaluation form and a feedback to the evaluated officer. Finally, based on the research results, an alternative for modifying the evaluation format is suggested to increase the efficiency and effectiveness of the current system. It is hoped that this study will set forth ideas to improve the performance evaluation of Royal Thai naval officers in the future.</p> <p>(Wes. (SDU) </p>				
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Performance Evaluation System**

by

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