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# Is There a Need For a Joint Officer Evaluation Report?

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U.S. Army

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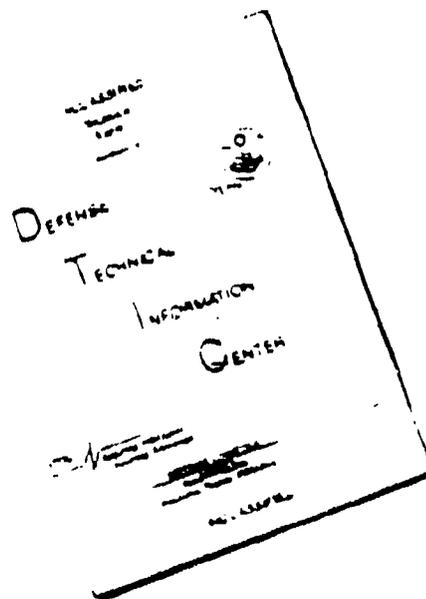
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Is There a Need For a Joint Officer Evaluation Report?  
Ltc William M. Smith

Abstract

The DOD (Goldwater/Nichols) Reorganization Act of 1986 (Title IV) places great emphasis on joint operations. It requires the Secretary of Defense to establish policies to effectively manage those officers who are trained in joint matters. The current DOD policy on officer performance evaluation provides for the evaluation of officers using the evaluation system of their respective service.

This research paper attempts to determine if the current policy is adequate. By reviewing current literature on performance evaluation theory; by comparing the Service's evaluation systems in terms of purpose, culture and evaluation theory; and by evaluating the opinions and perceptions of a sample of officers currently serving in joint assignments, this paper has concluded that the current policy is adequate.

This report makes three recommendations. First, it recommends that the current policy continue. Second, although the policy is adequate, it may not be the optimal policy. Therefore, the report recommends a study be conducted to address all facets of joint performance evaluation and to determine if there is a "better mousetrap." Finally, this report recommends that joint organizations provide training to rating officials on the Service evaluation systems and cultures.

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**Lieutenant Colonel  
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## INTRODUCTION

Is there a need for a Joint Officer Evaluation Reporting System? One of the provisions of the DOD (Goldwater/Nichols) Reorganization Act of 1986 (Title IV) mandates the successful completion of a joint duty assignment as a prerequisite for promotion to general or flag officer. Another provision of Title IV ". . . requires the Secretary of Defense to establish policies, procedures and practices for the effective management of officers . . . who are particularly trained in, and oriented toward, joint matters."<sup>1</sup> These provisions of Title IV prompt several questions:

1. Are there specific skills, traits or characteristics peculiar to successful joint duty officers?
2. If so, how are they measured?
3. Is the current policy of using the evaluation system of the Service of the rated officer serving in a joint duty position adequate?

The current evaluation policy requires joint rating officials to learn and to understand numerous evaluation

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<sup>1</sup>Armed Forces Staff College, AFSC Pub 1, The Joint Staff Officer's Guide 1991 (Washington, D.C.: Government Printing Office, 1991), 1-18.

systems and service cultures in order to evaluate the performance of the officers serving under them. Does this policy place an undue burden on rating officials?

I intend, through this research effort, to ascertain the following:

1. There are/are not specific skills, traits or characteristics unique to the successful completion of a joint duty assignment.
2. The Service evaluation systems are/are not adequate for measuring the performance of an officer serving in a joint duty assignment.
3. Rating officials are/are not overburdened by having to learn and to understand numerous evaluation systems and cultures in order to evaluate the performance of the officers serving under them.

By answering the three questions above, I will be able to determine if there is a need for a joint officer evaluation system.

## RESEARCH METHODOLOGY

I will use three methods in conducting my research:

1. Comparative analysis of the existing Service officer evaluation systems.
2. Literary review of existing theory of performance evaluation systems.
3. Survey rated officers and rating officials currently serving joint assignments.

I intend to compare the officer evaluation systems of the Army, Air Force, Navy and Marine Corps. This comparison will be focused on identifying commonalties and differences between the systems and on how well they meet current performance evaluation theory.

The literary review will be focused on performance evaluation theory. Wayne F. Cascio's MANAGING HUMAN RESOURCES: Productivity, Quality of Work Life, Profits will be my primary source. In addition, I will utilize a number of studies the Services have conducted of their respective evaluation systems.

Finally, I will draw on the results of two surveys I conducted. Distributed to officers currently serving in

joint assignments, these surveys were developed to gain their perceptions and opinions concerning the current Service evaluation systems and the adequacy of these systems in a joint environment.

## THE NATURE OF CURRENT OFFICER EVALUATION SYSTEMS

### Purposes:

The Services' evaluation systems have several common purposes such as central selection for command and promotion, assignment, retention and professional development. The Army Officer Evaluation System serves to identify "officers who are best qualified for promotion and assignment to positions of higher responsibility."<sup>2</sup> Similarly, the Air Force Officer Evaluation System (OES) is intended "to assess . . . periodic duty performance [and] recommend to promotion boards [who to] advance."<sup>3</sup> The Marine Performance Evaluation System identifies Marines (officer and enlisted) for promotion, assignment and retention. Finally, the Navy Officer Fitness Report is intended to select officers for "promotion, assignment, retention,

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<sup>2</sup>US. Department of the Army. AR 623-105: Officer Evaluation Reporting System. (Washington D.C.: Government Printing Office, 1992), 5.

<sup>3</sup>Anthony Lynn Batezal, "Performance: It's What The Officer Evaluation System is All About," Airman, April 1988, 19.

selection for command, . . . professional development training, . . . counseling [of] junior officers, and reporting extraordinary service."<sup>4</sup>

#### Rating Chains:

Each Service evaluation system relies on a rating chain based on a hierarchy of supervisors.

The Army chain consists of a Rater, Intermediate Rater and a Senior Rater. The rater is normally the rated officer's immediate supervisor and the senior rater is the rater's supervisor. The intermediate rater, which is seldom used, is needed only for those officers who have dual supervision.

The Air Force chain also consists of a three tier system of Rater, Additional Rater, and Reviewer. The rater is normally the rated officer's immediate supervisor and the additional rater is the rater's supervisor. For lieutenants, captains and majors, the reviewer is the wing commander (or equivalent). The first general officer in the chain of command is the reviewer for lieutenant colonels and colonels.

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<sup>4</sup>D.G. Bjerke and others, Officer Fitness Report Evaluation Study. (Alexandria: Naval Military Personnel Command, 8 December 1987), 39, DTIC, AD-A189 377.

The Marine Corps rating chain relies on two supervisory officials, the Reporting Senior (RS) and the Reviewing Officer (REVO). The RS is the rated Marine's immediate officer supervisor and the REVO is the RS's supervisor.

Finally, Navy FITREPS are prepared by a single rating official, the Reporting Senior. The RS is normally the commander, i.e., the Captain of the ship. Therefore, the RS is not necessarily the rated officer's immediate supervisor and in fact may be several times removed.

**Forms:**

The forms used by the Services evaluation systems are designed to measure the duty performance, traits and characteristics, and the potential of their officers. All systems provide for narrative word pictures as well as for 'block checks'.

The Army Officer Evaluation Reporting System consists of three forms: the DA Form 67-8 (US. Army Officer Evaluation Report (OER)) **Appendix A-1**; DA Form 67-8-1 (US. Army Officer Evaluation Support Form) **Appendix A-2**, and DA FORM 67-8-2 (Senior Rater Profile Report) **Appendix A-3**.

The Air Force OES consists of four forms: AF Form 707A (Field Grade Performance Report) **Appendix A-4**; AF Form 707B

(Company Grade Performance Report) Appendix A-5; AF Form 724 (Performance Feedback Worksheet) Appendix A-6; and AF Form 709 (Promotion Recommendation) Appendix A-7.

Unlike the Army and the Air Force, the Marine Corps and the Navy use just one form. The Marine Corps uses the USMC Fitness Report (1610) Appendix A-8. The Navy uses the Officer Fitness Report (NAVPERS 1611/1).

#### Culture:

While the purposes of each Service evaluation system are similar, each evaluation system was designed within the context of its respective service culture. Each Service has its own operational culture based on a unique set of traditions and common experiences. As such, it is essential that rating officials understand each culture's language.

Very simply put: given this common cognitive process of anchoring meanings to an established conceptual hierarchy and given the tendency of words to carry context related connotations and to form associative fields and collocative relationships, it would seem that in-group readers would share a word stock that would reveal some associations to words and set patterns of expression that would differ significantly from those of out-group members.<sup>5</sup>

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<sup>5</sup>Mary Lou Luttrell Phillips, "The Language Of Naval Performance Evaluation: Officer Promotion And The Ideal Officer Concept" (Ph.D. diss., University of Maryland, 1989), 41.

The Army's culture is command oriented. Since the enlisted soldier is the Army's fighting force, great emphasis is placed on an officer's leadership skills. As such, the senior rater must comment on command potential. The absence of a recommendation for command sends a message to any selection board. The Army culture also places great emphasis on professional development and military education. Again, the absence of a recommendation for senior service college is considered negatively. Finally, the Army culture expects the senior rater to comment on the officer's promotion potential to include his potential for general officer. The omission of a recommendation for promotion to general officer is not a killer as long as your goals stop at the grade of colonel.

The Air Force's culture is pilot oriented. Since pilots are the Air Force's fighting force (Missilemen notwithstanding), great emphasis is placed on flying skills. Fighter pilots, bomber pilots and airlift pilots form major subcultures within the Air Force. Leadership skills are emphasized within the pilot culture and recommendations for squadron command and wing command are very important. Conversely, management skills are important for all others i.e., acquisition, supply, engineers, etc.

Like the Army, the Marine Corps' culture is command oriented. Especially strong emphasis is placed on leadership. Troop leading skills, tactical competence, judgment, loyalty and force must be rated highly. An indication in block 16 of "prefer not" to serve with this Marine in combat would have severe consequences for his career.

The Navy's culture is command oriented for both sea and air. Aviators, submariners and surface officers form the major subcultures. For all, the absence of a recommendation for command is perceived as negative. Likewise, less than the top rating in seamanship(airmanship), tactical proficiency or military bearing most likely will stop a career today. Finally, the absence of a recommendation for promotion is a show stopper.

#### PERFORMANCE EVALUATION THEORY

Having examined each Services' system in practice, let's look at how well they meet key requirements of current evaluation theory. ". . . the key requirements of any appraisal system are relevance, sensitivity, and reliability. . . . acceptability and practicality."<sup>6</sup>

<sup>6</sup>Wayne F. Cascio, MANAGING HUMAN RESOURCES: Productivity, Quality of Work Life, Profits. (New York: McGraw Hill Book Company, 1989), 312.

1. **Relevance.** "This implies that there are (1) clear links between the performance standards for a particular job and an organization's goals and (2) clear links between the critical job elements identified through a job analysis and the dimensions to be rated on an appraisal form."<sup>7</sup> The system must provide the means to develop performance oriented objectives between the rated officer and the rating official, objectives which support the organization's goals. "Performance standards translate job requirements into *levels* of acceptable or unacceptable employee behavior."<sup>8</sup> This provides a degree of objectivity to the evaluation process, a measurable standard of performance and defines the rated officer's responsibilities and the rating official's expectations. "In short, relevance is determined by answering the question 'What really makes the difference between success and failure on a particular job?'"<sup>9</sup>

2. **Sensitivity.** The system must effectively discriminate among quality people. It must provide the

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<sup>7</sup>Ibid.

<sup>8</sup>Ibid.

<sup>9</sup>Ibid.

differentiation between the good, the bad and the ugly. If this differentiation does not take place ". . .and the best employees are rated no differently from the worst employees, then the appraisal system cannot be used for any administrative purpose, it certainly will not help employees to develop, and it will undermine the motivation of supervisors ('pointless paperwork') and of subordinates."<sup>10</sup> This differentiation is accomplished by "...screening out individuals deemed unsuitable or unworthy for higher levels of responsibility"<sup>11</sup>

3. Reliability. The system must exhibit consistency among ratings. "For any given employee, appraisals made by raters working independently of one another should agree."<sup>12</sup>

4. Acceptability. The system must have the support of those who will use it. "Ultimately it is management's responsibility to define as clearly as possible the type and level of job behavior desired of employees."<sup>13</sup>

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<sup>10</sup>Ibid.

<sup>11</sup>Phillips, 90.

<sup>12</sup>Cascio, 313.

<sup>13</sup>Ibid.

Throughout the evaluation period, the rating official should counsel the officer on those objectives in which he is performing well, those in which he is not, and on specific means to correct his performance deficiencies and shortcomings. "The Rater uses the communication to give direction to and develop his subordinates, to obtain information as to the status and progress of his organization, and to plan systematically for the accomplishment of the mission."<sup>14</sup>

5. Practicality. The system must be ". . . easy for managers and employees to use and understand."<sup>15</sup>

#### COMPARISONS

These five key requirements contribute directly to the success of the organization as well as to the performance and development of the rated officer. I will now discuss how these requirements are addressed by each Service evaluation system.

#### Relevance:

In the Army Officer Evaluation system, within the first thirty days of a rating period, the rated officer and the

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<sup>14</sup>US Army War College. Army Command, Leadership and Management: Theory And Practice, 1992 - 1993, ([Carlisle, Pa.]: US Army War College, 1992), 19-24.

<sup>15</sup>Cascio, 314

rater are required to complete the initial part of the OER Support Form, DA Form 67-8-1 (App A-2). This process forces agreement on the rated officer's duty description and on his performance objectives. These objectives may be updated throughout the rating period and the rater is expected to conduct periodic performance counseling during the rating period. When the rating period ends, the rated officer lists his significant contributions on the form and provides it to the rater.

In the Air Force Officer Evaluation System (OES), establishing performance objectives is mandatory. At the start of the rating period and again at the mid-point, the rater conducts a feedback session with the rated officer. This is a formal session documented by the Performance Feedback Worksheet, AF Form 724 (App A-6). The rater explains job requirements, performance expectations and provides an assessment of the rated officer's strengths and weaknesses. A handwritten copy is given to the rated officer -- no other copies are filed or maintained.

The Marines look on counseling as separate and distinct from the evaluation process. "Preparation of fitness

reports will no longer be coupled with simultaneous performance counseling."<sup>16</sup>

The Navy Officer Fitness Report (FITREP) does not require goal setting or performance counseling. The FITREP is prepared by the Reporting Senior (RS) who is normally the commander. Therefore, more often than not, the RS is not the rated officer's immediate supervisor and in fact may be several times removed. At the end of the rating period, the rated officer must submit a list of his accomplishments to the RS.

**Sensitivity:**

Sensitivity in the Army system is attained by the Senior Rater Profile, Part IIIa of the OER, DA Form 67-8 (App A-1) . Each senior rater has a profile that shows, by grade, where he has placed each evaluated officer. This profile shows where the senior rater's "Center of Mass (COM)" for ratings is and the profile is attached to each OER by U.S. Army Personnel Command. Thus personnel managers and selection boards can readily determine whether an officer is above COM, COM, or below COM. In addition, annually the DA Form 67-8-2, Senior Rater Profile Report (App A-3) is placed in each senior rater's official

<sup>16</sup>US, Marine Corps, MCO P1610.7c. Performance Evaluation System (Washington, 1985), 1.

personnel file, showing "at a glance whether the senior rater is complying with the spirit of the system...."<sup>17</sup> This holds the senior rater accountable and inhibits inflated ratings.

Within the Air Force system, sensitivity is attained two ways. In the Officer Performance Report (OPR), AF Form 707A (App A-4), the reviewer has the responsibility to ensure ratings are appropriate and not inflated. A Promotion Recommendation (PRF), AF Form 709, (App A-7), is prepared for each officer in the zone of consideration. The PRF is prepared by the Senior Rater (normally the reviewing officer on the OPR). The senior rater may recommend one of three actions: Definitely Promote; Promote; and Do Not Promote. An allocation system constrains the senior rater on the number of Definitely Promote recommendations he can make. "Allocations vary by grade to accommodate the various promotion opportunities and by zone to account for the specific requirements associated with each zone."<sup>18</sup> Put in term of current evaluation theory, "[s]ome companies try to prevent. . . unreasonable leniency, with 'forced-

<sup>17</sup>Syllogistics Inc. and the Hay Group, Final Report: Air Force Officer Evaluation System Project. (Alexandria, : US. Air Force, Deputy Chief of Staff/Personnel, 1987), III-39, DTIC. AD-A223 834.

<sup>18</sup>US. Department of the Air Force. AF Pamphlet 36-6: USAF Officer's Guide To The Office Evaluation System. (Washington, D.C.: Government Printing Office, 1988), 31.

distribution' systems."<sup>19</sup> The allocation system is the Air Force's forced-distribution inflation control mechanism for promotion recommendations.

Within the Marine Corps, sensitivity is attained four ways. First, the Reporting Senior (RS) must show the "distribution of marks for all Marines of this grade" in block 15b. Second, the RS must rank, by grade, all Marines who received an outstanding (block 15a) from 1 to n (n = total number of outstanding ratings). Third, the RS must alphabetically list all Marines of the same grade that he rated. Finally, the Reviewing Officer (REVO) may non concur with the RS and rank order the Marines as he sees it.

The Navy attains sensitivity by requiring the RS to rank order the evaluated officers by grade (only LCDR and above). Not required to rank order from 1 to x (x = the total number of officers, by grade, that the RS evaluates), the RS must, at a minimum, give a general relative ranking such as; of nine officers, he is in the upper third.

#### Reliability:

Due to policy constraints and the personal nature of evaluation reports, I was unable to sample officer personnel

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<sup>19</sup>Berkeley Rice, "Performance Review: Examining The Eye Of The Beholder," The Conference Board, December 1985, 31.

files to determine consistency of ratings. In informal conversations with fellow officers from all Services attending The National War College and The Industrial College of the Armed Forces, I sense that each Service's system is reliable. Good officers consistently receive good evaluation reports and poor officers consistently receive poor reports. Moreover, if the systems did not work satisfactorily, one would expect high appeal rates from officers who felt they received unfair ratings. This is not the case. Finally, if the systems were not reliable, then central selection boards would not select the right officers for promotion and command. If this were true, the Services would not allow the current systems to continue.

**Acceptability:**

As discussed in above, the Army and Air Force evaluation systems clearly provide for establishing performance objectives and for performance counseling. The Marine Corps conducts performance counseling separate from the performance evaluation system. The Navy uses the completed FITREP to counsel junior officers. While it may be argued that the evaluation report is not a good vehicle for performance counseling, The absence of high appeal rates indicates that the systems are acceptable to the rated officers.

### Practicality:

Rated officers and Rating Officials appear comfortable with their own Service's evaluation systems. Sixty-seven percent of the rated officers who responded to a questionnaire (App B) believed their raters understood their Service's evaluation system. Likewise, seventy percent of the rating officials responding to a questionnaire (App C) felt they understood the numerous Service evaluation systems.

### Summary:

How well do the Service systems meet the key requirements of Relevance, Sensitivity and Acceptability? Table 1 shows the comparative results in three of the five areas examined. All Service systems are excellent in differentiating (Sensitivity) among quality officers. The Army and Air Force systems mandate objective setting and goal setting (Relevance), whereas the Marine and Navy systems do not. With the exception of the Marine Corps, the other three Service systems provide for counseling (Acceptability) within their officer evaluation systems. Does this mean one Service's system is superior? Not at all. Each system meets the needs of its Service--they are all equal in that respect.

Table 1. *COMPARISON OF SERVICE SYSTEMS AND KEY REQUIREMENTS*

REQUIREMENT	ARMY	AIR FORCE	MARINE	NAVY
Relevance	Yes	Yes	No	No
Sensitivity	Yes	Yes	Yes	Yes
Reliability	NA	NA	NA	NA
Acceptability	Yes	Yes	NO	Yes
Practicability	NA	NA	NA	NA

NA= Not Evaluated

The main shortcoming of the individual Service evaluation systems is that they cannot differentiate between the performance of officers from other Services. If, for example, you have three officers from each Service working in a joint organization, how do you determine where the officers of one Service rank relative to the officers of the other Services? Being the top officer in one Service might only be fourth best or lower over all. There is no way to differentiate today in the aggregate.

## DISCUSSION

### Joint Attributes:

Are there specific skills, traits or attributes required to serve successfully in a joint duty position?

Table 2 shows those traits which three or more of the Services evaluate.

Table 2. *COMMON ATTRIBUTE COMPARISON*

ATTRIBUTE	ARMY	AIR FORCE	MARINE	NAVY
Motivates Subordinates	X	X	X	X
Performs Under Stress	X	X	X	
Judgment	X	X	X	
Loyalty	X	X	X	
Integrity	X	X		X
Initiative/ Imagination		X	X	X

Certainly, all of these traits are desirable but not peculiar to joint duty. There is nothing that I could find in any joint publication that delineates joint attributes. LTG D.M. Schlatter advised future joint officers to "[b]e

objective. . . avoid emotion. . . be honest and accurate."<sup>20</sup>  
Good advice but hardly exclusively joint. Perhaps such traits as cooperativeness or selflessness; communicative or integrative skills; vision, i.e., the ability to see the overall picture, are needed to succeed in the joint environment. I'm sure these skills would be beneficial, but I'm not sure they are essential to successful joint Service. Even if they were, would their measurement warrant the development of a "Joint OER"? Since these traits could be addressed in the narrative portion of the Service evaluations, no compelling reason based solely on "joint attributes" justifies the creation of a joint evaluation system.

#### **Rated Officer Perceptions:**

To determine the effectiveness of the current system, I believe that the manner in which the rated officer perceives the system is very important. Does the rated officer believe that he will be rated fairly? Does he have confidence the rating official understands his Service's culture? Will the evaluation for joint duty carry the same weight as evaluations within his own Service? And finally, does the rated officer feel there is a need for a new system for joint evaluations? To obtain a sample of perceptions of

<sup>20</sup>Armed Forces Staff College, AFSC Pub 1. 2-45.

officers currently serving in joint duty assignments, I developed a questionnaire (App B). Twenty-five copies were randomly distributed to officers serving in OSD and on the Joint Staff. Twenty-four questionnaires were completed and returned. The survey respondents represented all Services and were officers in the grades of Major to Colonel. Table 3 shows the tabulated responses to the questionnaires.

Questions 1-3 & 5-9 deal with the rated officer's confidence in his rating officials, his interaction with them, and his perception of how well they perform their rating duties.

Responses to question 1 show a strong positive perception that rating officials understand the Services' evaluation systems. However, the rated officer's perception that his organization has a "process" to train the rating official, question 5, is not based on fact. I have talked with personnel managers in OSD and on the Joint Staff and determined that there is no formalized training program within OSD or the Joint Staff. The response to question 6 more accurately reflects reality.

Table 3. RATED OFFICER QUESTIONNAIRE RESULTS

QUESTION	SA	A	N	D	SD
1. I believe my raters understand my eval system	4	12	5	1	2
2. I can discuss my system with my rater	13	8	1	0	2
3. I am confident I will be rated fairly	12	8	2	2	0
4a. I think a joint eval will hurt me	2	3	6	7	3
4b. I think a joint eval will be "discounted"	3	4	7	5	2
4c. I think a joint eval will carry equal weight	1	8	3	7	5
5. Raters are trained on Service eval systems	2	8	7	5	2
6. Raters learn the Service systems on their own	4	9	5	5	1
7. I am asked to prepare draft comments for my eval	11	10	2	0	1
8. I prepare draft comments for other's evals	3	3	2	6	10
9. Raters have someone prepare comments for them	8	9	7	0	0
10. My Service's eval is OK in the joint arena	4	12	3	4	1
11. A joint eval system is needed for JDA positions	4	2	6	6	6
12. A single eval system is needed for all of DOD	2	6	7	3	6

Legend: SA= Strongly Agree; A= Agree; N= Neutral;  
D= Disagree; SD= Strongly Disagree

The positive responses to questions 2 and 7 indicate good communication and interaction between the rated officer and his rating official. One respondent stated "[i]n general, I think I'm well served by my supervisory chain."<sup>21</sup>

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<sup>21</sup>Respondent #22, Rated Officer Survey, Air Force Officer, OJCS.

The responses to question 3 shows a high level of confidence that the evaluation will be fair.

The responses to questions 8 and 9 concern me. The rated officers perceive that rating officials routinely have third parties prepare evaluations for the rating officials signature. As noted by one respondent, "[a]s raters of different Services don't want to hurt officers they rate, it appears that few even draft their own remarks but rely on the senior member of that Service to draft FITREPS on those they rate."<sup>22</sup> This may mean the rating officials are concerned about inadvertently hurting an officer because they didn't fully understand the Service's evaluation system and culture. Perhaps, the rating officials are simply providing guidance to a third party who actually writes the evaluation for the rating official's review and signature. In any event, Table 4, Rating Official Questionnaire Results, shows in question 7 that one third of the rating officials routinely do this.

Questions 4a, 4b, and 4c seemed to have contradictory responses. While fifty percent of the respondents to question 4c disagreed that a joint evaluation carried the same weight as a Service evaluation, only twenty percent of

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<sup>22</sup>Respondent #18, Rated Officer Questionnaire, Army Officer, OJCS.

the respondents to question 4a felt a joint evaluation would hurt them. As to whether a joint evaluation would be "discounted" by the rated officer's Service, 1/3 agreed, 1/3 were neutral and 1/3 disagreed. I think you have to conclude that the perception is that a joint evaluation won't necessarily help or hurt the rated officer's career.

So, do the rated officers think we need a new system? Sixty-seven percent of the respondents to question 10 felt the current system was adequate and only twenty-one percent disagreed. Fifty percent of the respondents to question 11 disagreed and twenty-five percent agreed with the need for a joint evaluation system only for those serving in a joint assignment. Finally, as to the need for one evaluation system for all Services, question 12, thirty-eight percent of the respondents disagreed, thirty-three percent agreed and twenty-nine percent were neutral. A survey respondent stated "[a] standard evaluation form in JDA assignments would be useful; however, [it] would not cure the larger problem of 'critical for promotion' language each service seeks for competitive officers."<sup>23</sup> Another respondent felt "[t]he biggest drawback to a single form is that it would be absolutely meaningless to each Service. At least now my

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<sup>23</sup>Ibid.

performance is rated in a way meaningful to my service."<sup>24</sup> Finally, one respondent stated "[o]ne thing that could not be solved by a single evaluation system that makes it difficult for an officer of one Service to rate an officer from another Service is the Service-specific 'buzz-words,' phrases and formats that promotion boards often look for."<sup>25</sup> Overall, I sense that the rated officers do not see a need to change the current system.

#### **Rating Officials Perceptions:**

The perceptions of rating officials in joint assignments are also important in assessing the current evaluation system. I developed and randomly distributed a questionnaire (App C) to twenty-five rating officials serving in OSD and on the Joint Staff. Rating Officials surveyed represented all services and served in the grades of Colonel to Lieutenant General and SES 1 to SES 4. Table 4 shows the tabulated results of the twenty respondents.

In response to question 1, seventy percent of the rating officials felt they understood the numerous Service evaluation systems. Only eleven percent disagreed.

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<sup>24</sup>Respondent #12, Rated Officer Questionnaire, Air Force Officer, OJCS.

<sup>25</sup>Respondent #24, Rated Officer Questionnaire, Naval Officer, OJCS.

**Table 4. RATING OFFICIAL QUESTIONNAIRE RESULTS**

QUESTION	SA	A	N	D	SD
1. I understand the Service's evaluation systems	3	11	3	2	0
2. I understand the Services' culture	0	13	3	3	0
3. My organization trained me on evaluation systems	1	2	3	6	8
4. I learned the evaluation systems on my own	8	11	0	0	1
5. I discuss system/culture with the officer	13	5	0	1	1
6. I encourage draft comments from the officer	10	6	2	1	1
7. I have someone else prepare draft comments	1	6	0	2	11
8. It would be better to use my Service's system	2	0	6	6	4
9. My ratings have been fair	13	5	1	0	1
10. Service evaluations are adequate for joint duty	6	7	2	3	2
11. A single joint evaluation system is needed	4	2	3	3	8

Legend: SA= Strongly Agree; A= Agree; N= Neutral;  
D= Disagree; SD= Strongly Disagree

Likewise, sixty-nine percent agreed they understood the Services' cultures and only sixteen percent disagreed with question 2. With regard to Service culture, one respondent stated "[a] single joint evaluation system sounds great at first but would be difficult to administer because of the different cultures and different service needs."<sup>26</sup> Ninety-

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<sup>26</sup>Respondent #19, Rating Official Questionnaire, Air Force Lieutenant General, OSD.

five percent of the rating officials learned the Service evaluation systems through their own efforts, question 4. A respondent said "[i]t's a challenge to learn the different services rating systems; but it is incumbent on raters to do so."<sup>27</sup> Likewise, another respondent noted "I rely on my subordinates to familiarize me with their rating systems. If needed, I can get extra administrative assistance from our J-1."<sup>28</sup> Yet, in response to question 3, fifteen percent said their organization trained them. Although slightly contradictory, I think the responses to questions 1 through 4 were very positive and reassuring.

Questions 5 and 6 concern the interaction between the rated officer and the rating official. Ninety percent agreed with question 5 and eighty percent with question 6. Clearly, these strong positive responses indicate good two way communication. A respondent stated "[a]t the O-4/O-5 [Maj/Ltc] level...I expect the officer to provide me with a comprehensive draft of their evaluation. I may 'fine tune' it, but by-and-large the evaluation reflects their inputs."<sup>29</sup>

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<sup>27</sup>Respondent #13, Rating Official Questionnaire, Army Colonel, OJCS.

<sup>28</sup>Respondent #1, Rating Official Questionnaire, Navy Captain, OJCS.

<sup>29</sup>Ibid.

As stated above, thirty-five percent of the respondents to question 7 have someone outside of the rating chain prepare draft comments for their consideration. While this may be perfectly legitimate, some could perceive it as an abrogation of the rating officials responsibilities. Or it could be viewed as an indication that we ask too much to expect rating officials to understand the evaluation systems and cultures of each Service.

Question 10 shows a strong preference for the current system as sixty-five percent of the responses were positive. A respondent noted "[t]he Service Evals easily accommodate comments on 'jointness'- a special joint evaluation system is not needed, and would no doubt hurt an individual when it comes time for promotion boards within his/her own Service."<sup>30</sup> Similarly, another respondent states "[t]o establish a single joint evaluation system would be counter to the service cultures and could do more harm than good to those officers who are being compared to officers from their own Services in Service conducted boards."<sup>31</sup> This view of the rating officials is supported by the responses to question 11. Fifty-five percent of the respondents

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<sup>30</sup>Ibid.

<sup>31</sup>Respondent #13.

disagreed with the need for a single joint evaluation system while only thirty percent agreed. One respondent argued:

It is important for all ratings to be done in the frame of reference in which they will be used. . . . We must be careful not to create a new form that will not be understood by service promotion or command selection boards. *Training on service cultures and OER systems is the key.*<sup>32</sup>

Finally, a respondent observes:

While a single joint evaluation system may produce a greater uniformity of comparison among those serving joint duty it would not increase the compatibility within the respective service. The analysis of individual performance trends across a career must have some degree of consistent format. Without consistency in report structure, I fear the Joint report could do more harm than good to the individuals. It is up to the Service selection processes to understand and assess the nuances invoked by a reporting senior from a different service.<sup>33</sup>

## CONCLUSIONS

### Are There Unique Joint Attributes?

I do not believe there are any skills, traits or characteristics that are unique and essential to successful joint duty performance. Clearly, officers who have been successful in their Service bring those skills and talents to the joint arena and continue to serve successfully.

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<sup>32</sup>Respondent #20, Rating Official Questionnaire, Army Brigadier General, OSD, italics added.

<sup>33</sup>Respondent #8, Rating Official Questionnaire, Navy Captain, OJCS.

Although adaptability, cooperation and communication skills are without question valuable to joint duty, none are singularly critical to successful joint duty performance. A respondent asks "[a]re the officer character traits the same to succeed in the Army where enlisted form the majority of the combatants as opposed to the Air Force where officers are the combatants for the most part?"<sup>34</sup> He answers his question by stating "[o]bvious traits of integrity, honor, decisiveness, respect for the dignity of individuals, etc. are the same. But, other personality trait requirements may have a different hierarchical order."<sup>35</sup> Therefore, in my opinion, there is no basis for the development of a joint evaluation system based on unique joint attributes.

#### Is The Current System Adequate?

The current system is adequate but I don't believe it is the optimal system. Each Service's system has its own strengths and are supported by its officers and Service cultures. Also, the surveys of rated officers and rating officials show support of the status quo in the joint arena.

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<sup>34</sup>Respondent #19.

<sup>35</sup>Ibid.

However, I believe the current system has three shortcomings:

1. NO STANDARD YARDSTICK. Officers are evaluated by different instruments which have different purposes and uses within their respective Services. There is no standard yardstick for measuring joint performance.
2. NO JOINT SERVICE DIFFERENTIATION. Since there is no standard yardstick, you cannot differentiate between the performance of an Army officer vice that of a Navy, Air Force or Marine officer. Each officer's performance is measured by his own Service's system.
3. NO INFLATION CONTROL. I believe multiple systems lead to inflated ratings. Unlike Service rating officials, joint rating officials are not systemically held accountable by anyone with authority over them. Therefore, in the absence of accountability, the tendency is to inflate ratings to benefit the individual officer.

#### **Are Rating Officials Overburdened?**

I believe rating officials are overburdened. Notwithstanding the survey responses to the contrary, I believe it is impossible, as well as impractical, for a rating official to learn each system to the necessary level

of detail. Studies show that "...in-group members not only use language in specific in-group ways but also that they read in-group documents in a more uniform manner than do out-group readers read the same document."<sup>36</sup> Understanding the culture, i.e., in-group, is essential to the evaluation process and the Services recognize this fact. For example, the Navy states "[r]eview of rough fitness reports by the Navy Personnel Evaluation Advisor is encouraged to ensure conformity to this instruction and to *accepted Navy practices*."<sup>37</sup> Formal training by the joint organizations could reduce the burden on rating officials and improve the rating process.

#### RECOMMENDATIONS

It seems to me that there are three possible courses of action:

1. Develop a single evaluation system for all of DOD.
2. Develop a joint evaluation system for use in joint organizations only.
3. Continue with the current systems.

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<sup>36</sup>Phillips, 267.

<sup>37</sup>US. Department Of The Navy. NAVMILPERSCOMINST 1611.1A, (Washington, D.C.,: Government Printing Office, 1990), 10. italics added

I see no utility in developing a single system at this time. Nothing in the survey responses or research literature showed any justification for a single system. The continued use of the Service evaluation systems within their cultures and in the joint arena has not hindered the successful move toward 'jointness'. I believe the diverse strengths, skills and talents, nurtured and developed in the Service cultures, that an officer brings to the joint arena are what have made 'jointness' work as well as it has.

The use of a single evaluation system while serving in a joint organization has some merit. It would provide for the differentiation between officers of all Services and would impose accountability on the rating officials. However, based on my survey results and the success of the present system, I don't think the Services would accept another system in addition to their own.

My recommendations are to continue with the current system; to implement formal evaluation training programs within joint organizations; and to conduct a study to determine the optimal system for measuring joint performance balanced against Service needs. My survey results show that a majority of rated officers and rating officials feel the current system works. Formalized training of rating officials within their joint organizations will improve the

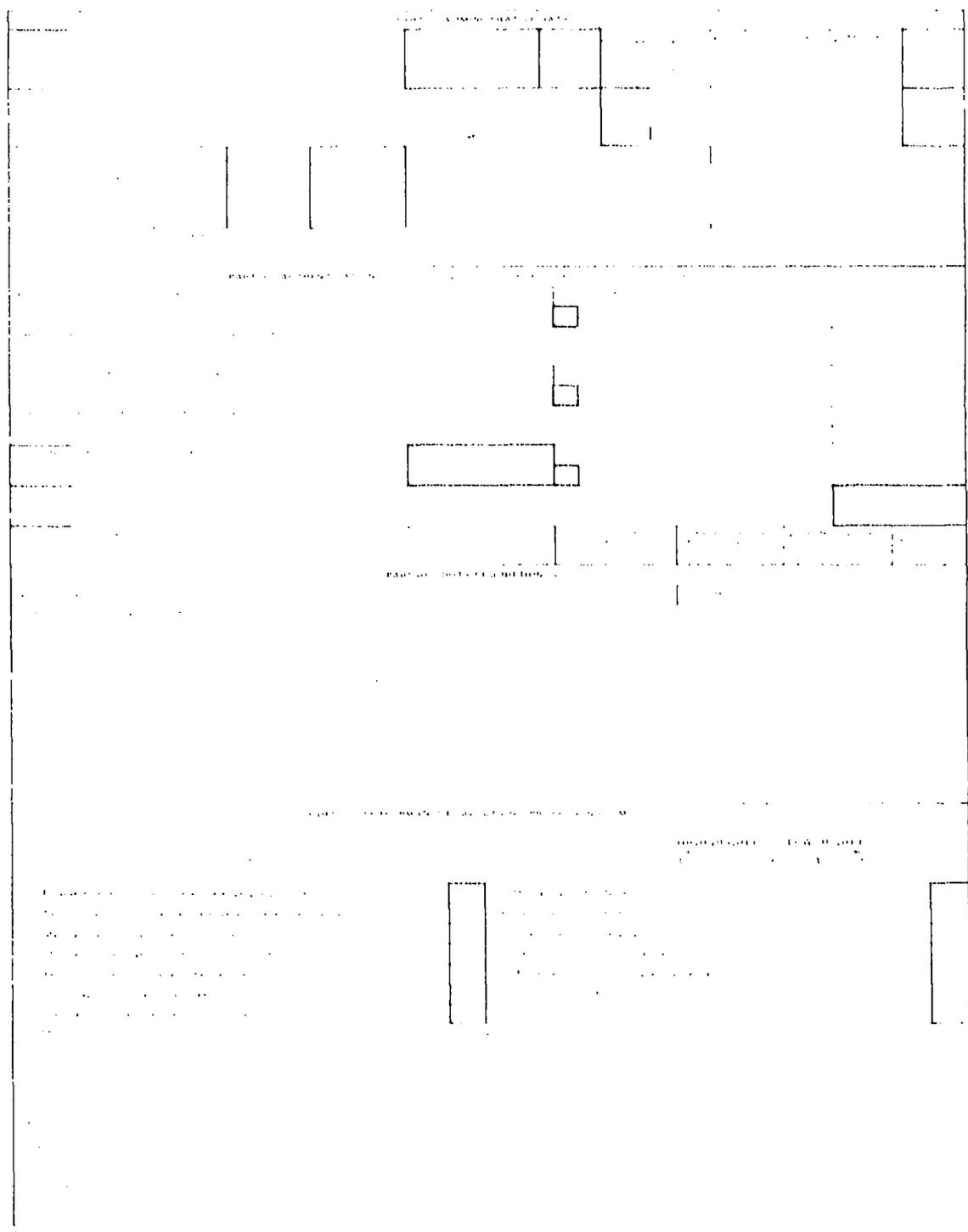
process. "Training of the rater in all aspects of a performance evaluation system will ensure the system is accurate, fair, and free of bias."<sup>38</sup> Finally, a study is needed to address all facets of performance evaluation to include purposes and organizational and cultural factors. If the study shows that a single system would optimize mission accomplishment, then and only then, should we change.

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<sup>38</sup>Major George H. Del Carlo, "The Analysis Of The Army Officer Evaluation System And The General Motors Appraisal System As Management Tools" (MBA thesis, Troy State University, 1988), 6, DTIC, AD-A219 949.

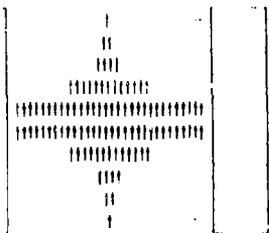
**APPENDIX A  
OER FORMS USED IN THE SERVICES**

U.S. Army	
DA Form 67-8, OER	A-1
DA Form 67-8-1, OER Support Form	A-2
DA Form 67-8-2, Senior Rater Profile	A-3
U.S. Air Force	
AF Form 707A, Field Grade Performance Report	A-4
AF Form 707B, Company Grade Performance Report	A-5
AF Form 724, Performance Feedback Worksheet	A-6
AF Form 709, Promotion Recommendation	A-7
U.S. Marine Corps	
USMC Fitness Report (1610)	A-8
U.S. Navy	
NAVPERS 1611/1, Officer Fitness Report	A-9



DA 67 8

11



OFFICE OF EVALUATION AND REFORM SUPPORT (OERS)

STATE OF TEXAS FEDERAL INVESTIGATION

STATE OF TEXAS FEDERAL INVESTIGATION

DATE

STATE OF TEXAS FEDERAL INVESTIGATION

STATE OF TEXAS FEDERAL INVESTIGATION

STATE OF TEXAS FEDERAL INVESTIGATION

TABLE OF CONTENTS

THE PROVISIONS OF THE PRIVACY ACT OF 1974

- 1. PURPOSE AND SCOPE
- 2. DEFINITIONS
- 3. RIGHTS OF INDIVIDUALS
- 4. OBLIGATIONS OF FEDERAL AGENCIES
- 5. ENFORCEMENT
- 6. EXEMPTIONS
- 7. RECORDS MANAGEMENT
- 8. MISCELLANEOUS PROVISIONS



I. RATE IDENTIFICATION DATA (Read AFR 36-10 carefully before filling in any item)			
1. NAME (Last, First, Middle Initial)	2. SSN	3. GRADE	4. DAFSC
5. PERIOD OF REPORT From: _____ Thru: _____		6. NO. DAYS SUPERVISION	7. REASON FOR REPORT
8. ORGANIZATION, COMMAND, LOCATION			9. PAR 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 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 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"/>



I. RATEE IDENTIFICATION DATA (Read AFR 36-10 carefully before filling in any item)			
1. NAME (Last, First, Middle Initial)		2. BSN	3. GRADE
4. DAFBC			
5. PERIOD OF REPORT		6. NO. DAYS SUPERVISION	7. REASON FOR REPORT
From:   Thru:			
8. ORGANIZATION, COMMAND, LOCATION			9. 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, A1JG 88

COMPANY GRADE OFFICER PERFORMANCE REPORT

A-5



NAME	GRADE	UNIT
Rogers, Jessie	CAPT	449 FTS
<b>DUTY PERFORMANCE</b>		
Instructor Navigator (T-43)	needs significant improvement	needs little improvement
Simulator Console Instructor (T-45)		X
Platform Instructor	X	
<b>JOB KNOWLEDGE</b>		
Has knowledge required to perform duties effectively		X
Strives to improve knowledge	X	
<b>LEADERSHIP SKILLS</b>		
Sets and enforces standards	X	
Works well with others		X
Poses problems	X	
Displays initiative		X
Confident in own ability	X	
<b>PROFESSIONAL QUALITIES</b>		
Exhibits loyalty, discipline, discretion, integrity, and honesty		X
Adheres to Air Force standards	X	
Accepts personal responsibility		X
Is fair and objective	X	
<b>ORGANIZATIONAL SKILLS</b>		
Demonstrates ability to plan		X
Coordinates actions		X
Rehearses effectively	X	
Uses resources effectively and efficiently		X
Meets deadlines	X	
<b>JUDGMENT AND DECISIONS</b>		
Makes timely and accurate decisions		X
Emphasizes logic in decision making		X
Resolves problems in stressful situations	X	
Recognizes opportunities		X
Requires minimal supervision		X
<b>COMMUNICATION SKILLS</b>		
Listening		X
Speaking		X
Writing		X
<b>COMMENTS</b>		
<p><u>Duty Performance</u></p> <ul style="list-style-type: none"> <li>- You quickly upgraded to TMC because of your T-43 systems knowledge. Now that you are a T-45 S&amp;I, you need to work on that system also (see job knowledge)</li> <li>- Platform instruction needs work (see judgment &amp; decisions and communications skills)</li> </ul> <p><u>Job Knowledge</u></p> <ul style="list-style-type: none"> <li>- ATC WEI Top performer for T-43 Flight Eval's</li> <li>-- You may have become complacent</li> <li>-- Need to work on T-45 system knowledge - get with sim personnel and review H&amp;N system</li> </ul> <p><u>Leadership Skills</u></p> <ul style="list-style-type: none"> <li>- You must enforce standards</li> <li>I had to tell two of your students to get haircuts!</li> <li>- The INASCOM Fly-in was a great idea - the students loved it</li> </ul> <p><u>Professional Qualities</u></p> <ul style="list-style-type: none"> <li>- Your students suffered when you didn't teach the required info</li> <li>-- You admitted it and that took guts</li> <li>-- But next time stick to the instructors guide</li> </ul> <p><u>Organizational Skills</u></p> <ul style="list-style-type: none"> <li>- The squadron lounge came out great due to your planning</li> <li>-- 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</li> </ul>		

AF Form 724, AUG 88

PERFORMANCE FEEDBACK WORKSHEET

Sample AF Form 724, Performance Feedback Worksheet (Front).

A-6

## STRENGTHS, SUGGESTED GOALS, AND ADDITIONAL COMMENTS:

ORGANIZATION SKILLS (Cont)

- Your student exams 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.

Judgment and Decisions

- As training mission commander, you make good decisions, continuing that integrated navigation scheme when 2 complex TACAN failed was just one example. There are more.
- You need to relax when students interrupt your planned presentation. Make sure their questions are answered satisfactorily before you go on.

Communication Skills

- Listen to student questions to see where the real problem lies
  - Does student understand the theory but not know how to use the equipment?
- 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.

Additional Comments

- 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).
- 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 must become equally comfortable in the classroom.
- 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 FTB & EWT. They don't always have a choice!

RATER SIGNATURE

Larry Colvane

DATE

17 Mar 89

AF Form 724, ALG 88 (Reverse)

A-6

<b>I. RATEE IDENTIFICATION DATA</b> (Read AFR 36-10 carefully before filling in any item)			
1. NAME (Last, First, Middle Initial)	2. SSAN	3. GRADE	4. DAFSC
5. ORGANIZATION, COMMAND, LOCATION			6. PAS CODE
II. UNIT MISSION DESCRIPTION			
III. JOB DESCRIPTION 1. DUTY TITLE: 2. KEY DUTIES, TASKS, AND RESPONSIBILITIES:			
IV. PROMOTION RECOMMENDATION			
V. PROMOTION ZONE BPZ <input type="checkbox"/> I/APZ <input type="checkbox"/>	VI. GROUP SIZE	VII. BOARD	VIII. SENIOR RATER ID
IX. OVERALL RECOMMENDATION  DEFINITELY PROMOTE <input type="checkbox"/>  PROMOTE <input type="checkbox"/>  DO NOT PROMOTE THIS BOARD <input type="checkbox"/>		X. SENIOR RATER NAME GRADE BR OF SVC. ORGN COMD LOCATION  DUTY TITLE  SSN: SIGNATURE	
<p><b>Instructions</b></p> <p>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.</p> <p>Provide an accurate, unbiased assessment free from consideration of race, sex, ethnic origin, age, religion, or marital status.</p> <p>Provide the officer a copy of this report approximately 30 days prior to the board for which this report is prepared.</p>			

000F 00-000 176 U1 PC 100

PROGRAM: **DFR** ORGANIZATION: **A** DESCRIPTIVE TITLE: **ABREVIATION OF GRADE**

1. MARINE REPORTED ON: **A. LAST NAME** **B. FIRST NAME** **C. GRADE** **D. BIRTH DATE** **E. BRANCH** **F. STATUS**

2. OCCASION AND PERIOD COVERED: **A. DATE** **B. PERIOD FROM TO** **C. TYPE** **D. PERIOD OF RESPONSIBILITY FOR** **E. REPORTING OFFICER'S GRADE** **F. EXTENSION**

3. DUTY ASSIGNMENT: **A. DESCRIPTIVE TITLE** **B. SYMBOL** **C. GRADE** **D. USE NO.** **E. DANCE** **F. SPECIAL INFORMATION** **G. QUOTE LABEL** **H. REVIEWING OFFICER'S ID NO.**

4. RESERVED FOR FUTURE USE: **A. RESERVED FOR FUTURE USE** **B. ORGANIZED RESERVE DRILL**

5. DEPENDENTS REQUIRING TRANSPORTATION: **A. NO.** **B. LOCATION** **C. ADDRESS**

6. DUTY PREFERENCE (Code): **10a** **10b** **10c** **10d** **10e** **10f** **10g** **10h** **10i** **10j**

7. REPORTING SENIOR: **A. SERVICE** **B. GRADE** **C. IDENTIFICATION NO.** **D. NAME AND DUTY ASSIGNMENT**

12. SPECIAL CASE (Mark if applicable):  NOT OBSERVED REPORT  EXTENDED REPORT

13. PERFORMANCE: **13a** REGULAR DUTIES **13b** ADDITIONAL DUTIES **13c** ADMINISTRATIVE DUTIES **13d** HANDLING OFFICERS (MARK NCO'S NO.) **13e** HANDLING ENLISTED PERSONNEL **13f** TRAINING PERSONNEL **13g** TACTICAL HANDLING OF TROOPS **13h** QUALITIES **13i** ENDURANCE **13j** PERSONAL APPEARANCE **13k** MILITARY PRESENCE

14. ATTENTION TO DUTY: **14a** COOPERATION **14b** INITIATIVE **14c** JUDGMENT **14d** PRESENCE OF MIND **14e** FORCE **14f** LEADERSHIP **14g** LOYALTY **14h** PERSONAL RELATIONS **14i** ECONOMY OF MANAGEMENT **14j** GROWTH POTENTIAL

15. YOUR ESTIMATE OF THIS MARINE'S GENERAL VALUE TO THE SERVICE: **15a** DISTRIBUTION OF MARKS FOR ALL MARINES OF THIS GRADE **15b** FILL BOXES SO THAT THE SUM OF EACH COLUMN CORRESPONDS TO ITEM 15b

16. CONSIDERING THE REQUIREMENTS OF SERVICE IN WAR, INDICATE YOUR ATTITUDE TOWARD HAVING THIS MARINE UNDER YOUR COMMAND:  NOT OBSERVED  PREFER NOT  BE WILLING  BE GLAD  PARTICULARLY DESIRE

17. HAS MARINE BEEN THE SUBJECT OF ANY OF THE FOLLOWING REPORTS? IF YES, REFERENCE IN SECTION C. **a** COMMENDATORY **b** ADVERSE **c** DISCIPLINARY ACTION

18. REPORT BASED ON OBSERVATION:  DAILY  FREQUENT  INFREQUENT  NOT APPLICABLE  YES  NO

19. QUALIFIED FOR PROMOTION:  YES  NO

20. RECOMMENDATION FOR NEXT DUTY CONCUR (ITEM 10): **RECOMMENDATION**

21. RESERVED FOR FUTURE USE

RECORD A CONCISE APPRAISAL OF THE PROFESSIONAL CHARACTER OF MARINE REPORTED ON THIS SPACE MUST NOT BE LEFT BLANK.

AND FILL THE BOX TO INDICATE YOUR ESTIMATE OF THIS MARINE'S PERFORMANCE IN EACH CATEGORY. USE THE FOLLOWING SCALE: **NC** (NOT OBSERVED), **UN** (UNSATISFACTORY), **BA** (BARELY ADEQUATE), **AV** (AVERAGE), **AA** (ABOVE AVERAGE), **EX** (EXCELLENT), **OS** (OUTSTANDING).

22. I CERTIFY the information in section A is correct to the best of my knowledge. (Signature of Marine reported on) (Date)

23. I CERTIFY that to the best of my knowledge and belief all entries made hereon are true and without prejudice or partiality. (Signature of Reporting Senior) (Date)

24. (Check one when required) I HAVE SEEN THIS COMPLETED REPORT AND  I HAVE NO STATEMENT TO MAKE  I HAVE ATTACHED A STATEMENT. (Signature of Marine reported on) (Date)

25. REVIEWING OFFICER (Name, Grade, Service Duty Assignment): **25a** INITIALS **25b** DATE

CONSIDER THE MARINE REPORTED ON IN COMPARISON WITH ALL OTHERS WHOSE PROFESSIONAL ABILITIES ARE KNOWN TO YOU PERSONALLY

0761797

A

EVALUATION  
SUMMARY

B

C

D

E

F

G

RATED OFFICER QUESTIONNAIRE

What is your service? Army Air Force Navy Marine

What is the service of your immediate rating official? Army Air Force Navy Marine Civilian

What is the service of the next official in your rating chain? Army Air Force Navy Marine Civilian

Where are you currently assigned? OSD OJCS NDU OTHER\_\_\_\_\_

Have you had any previous joint assignments? Yes No If so, how many\_\_\_\_\_

How many other officers, by grade and service, are rated by your rating officials?

Army MAJ. \_\_\_ Air Force MAJ. \_\_\_ Navy LCDR. \_\_\_ Marine MAJ. \_\_\_  
LTC. \_\_\_ LTC. \_\_\_ CDR. \_\_\_ LTC. \_\_\_  
COL. \_\_\_ COL. \_\_\_ CAPT. \_\_\_ COL. \_\_\_

The following questions should be answered on a scale of 1 - 5 with 1= Strongly Agree; 2= Agree; 3= Neutral; 4= Disagree; and 5= Strongly Disagree. Please circle your choice after each question.

1. I believe my rating officials understand my service's evaluation system. 1 2 3 4 5
2. I can discuss my service's evaluation system with my rating official. 1 2 3 4 5
3. I am confident that I will be rated fairly.  
1 2 3 4 5
4. I think an evaluation by a rating official from another service will:  
A. Hurt me with my own service. 1 2 3 4 5  
B. Be "discounted" by my own service. 1 2 3 4 5  
C. Carry the same weight of my own service evaluations.  
1 2 3 4 5
5. There is a process within my joint organization that ensures rating officials understand the services' evaluation systems and cultures. 1 2 3 4 5
6. Each rating official is "on his own" to learn the evaluation system of the rated officer.  
1 2 3 4 5
7. I have been asked to prepare draft rating official comments for my own efficiency report.  
1 2 3 4 5
8. I have been asked to prepare draft rating official comments for other members of my service even though I am not in the rating chain. 1 2 3 4 5
9. Rating officials routinely have someone else prepare draft comments for their portion of efficiency reports.  
1 2 3 4 5
10. I believe my service's evaluation system is adequate in a joint environment.  
1 2 3 4 5
11. I believe there is a need for a single joint evaluation system for officers in joint duty positions. 1 2 3 4 5

RATED OFFICER QUESTIONNAIRE

12. I believe there is a need for a single evaluation system to be used for all service specific positions and joint duty positions. 1 2 3 4 5

13. Comments:

THANK YOU FOR YOUR ASSISTANCE!

RATING OFFICIAL QUESTIONNAIRE

What is your service? Army Air force Navy Marine Civilian

What is your grade? \_\_\_\_\_

Where are you assigned? OSD OJCS NOU OTHER \_\_\_\_\_

What is your duty position? Branch Chief Division Chief Other \_\_\_\_\_

How many officers by grade and service do you evaluate?

Army MAJ. \_\_\_ Air Force MAJ. \_\_\_ Navy LCDR. \_\_\_ Marine MAJ. \_\_\_  
LTC. \_\_\_ LTC. \_\_\_ CDR. \_\_\_ LTC. \_\_\_  
COL. \_\_\_ COL. \_\_\_ CAPT. \_\_\_ COL. \_\_\_

The following questions should be answered on a scale of 1 - 5 with 1= Strongly Agree; 2= Agree; 3= neutral; 4= Disagree; and 5= Strongly Disagree. Please circle your choice after each question.

1. For the officers I evaluate, I understand their service's evaluation system. 1 2 3 4 5
2. I understand their service's culture. 1 2 3 4 5
3. My organization trains rating officials on the services' evaluation systems. 1 2 3 4 5
4. I learn the services' evaluation systems through my own efforts. 1 2 3 4 5
5. I discuss service evaluation systems/cultures with the rated officer. 1 2 3 4 5
6. I encourage the rated officer to submit draft comments that he would like to see included on his or her efficiency report. 1 2 3 4 5
7. I routinely have some one outside of the rating chain prepare draft comments for my consideration. 1 2 3 4 5
8. I would be able to give a fairer rating of officers of other services if I could rate them using my service's evaluation system. 1 2 3 4 5
9. I believe that within the context of the rated officer's evaluation system, my ratings have been fair. 1 2 3 4 5
10. I believe the services' evaluation systems are adequate for the joint environment. 1 2 3 4 5
11. I believe there is a need for a single joint evaluation system. 1 2 3 4 5
12. Comments:

Thanks for your assistance!

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