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PROPOSED REVISION TO THE ENLISTED PERFORMANCE EVALUATION REPORT NAVPERS 792

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and
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PROPOSED REVISION TO THE ENLISTED PERFORMANCE EVALUATION REPORT -- NAVPERS 792

by

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Submitted to meet the requirements of the
OPERATIONS ANALYSIS CURRICULUM

of the

NAVAL POSTGRADUATE SCHOOL
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ABSTRACT

The ability of the Navy to measure the performance of its enlisted personnel is analyzed. Specifically, the objectives of the Enlisted Performance Evaluation System and the means of attaining those objectives, the NAVPERS 792 Form, are examined. A revision of the NAVPERS 792 is proposed for technical ratings and complete instructions for use of the revised form are presented. Areas for future improvement and refinement are detailed.

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INTRODUCTION

"A good job of employee merit rating is worth whatever it costs."(1) This thesis attempts to solve a problem that is of vital importance to the Navy---the proper evaluation of its enlisted personnel. Its importance was attested to by the Secretary of the Navy's Task Force on Navy/Marine Corps Personnel Retention. They made clear the need for further study "to determine if it (performance evaluation) can be made a more effective measure of performance and also of capability and qualification for advancement."(2)

In order to solve the problem the analysis was divided into three chapters. The first is a presentation of a survey of present day ideas on performance evaluation in general as discussed in the current literature. In the second chapter the present Enlisted Performance Evaluation System is analysed to see if possible changes might be made in light of what was learned from the preceeding chapter. In the final chapter a proposed solution to the problem is suggested.

CHAPTER I

PERFORMANCE EVALUATION IN GENERAL

1. Benefits and uses of Performance Evaluation.

Formal performance evaluation is a relatively new management tool. It got its start shortly before World War I and has been used by business, industry and government in various forms ever since. Many terms are used to describe performance evaluation including merit rating, performance report, employee appraisal, service rating, efficiency rating and several others. This paper will use the term performance evaluation since this is the term currently used by the Navy to describe enlisted personnel performance.

There is only one purpose of a performance evaluation and that is to measure a person's ability to accomplish the tasks assigned to him. The uses and benefits of a performance evaluation program, however, are many and varied and should be tailored to the needs of the organization that uses them. There are several uses and benefits which, because of their generality and wide acceptance, should be listed if a critical analysis is to be made of any particular organizations performance evaluation system. These are:

Benefits and Uses of a Performance Evaluation Program

(1) Assist in determining promotions as well as demotions and terminations. This includes recognizing the outstanding individual for internal hiring.

(2) Assist in determining transfers and layoffs. Trans-

fers and layoffs. Transfers can be used to reward individuals for past performances, give them positions of more or less responsibility, or to strengthen the organizational framework.

(3) Assist in pinpointing weaknesses in the individual and the organization, which when recognized can aid in employee guidance to improve weaknesses.

(4) Assist recruiters in determining who to recruit.

(5) Stimulate people to improve.

(6) Improve morale by instilling confidence in management's fairness.

It should be noted that not every organization will be able to derive all of the benefits or be able to employ all of the uses listed above. For instance, labor unions prevent many organizations from using the performance evaluation for making promotions and insist on senority as the prime determinant for promotion. Then, too, the type of program and the factors being graded may prevent an organization from reaping some of the benefits and employing some of the uses listed.

While there is no single method of performance evaluation which has been judged best for all purposes, nor for that matter even two or three, most authors on the subject will agree that for a performance evaluation program to be effective it must adhere to several time tested principles. These include:

(1) Having those using the program understand it, including top management, supervisors, and those being evaluated as well.

(2) Utilizing rating forms which have been carefully

thought out and designed.

(3) Making the grading as objective as possible by:
   a. Training the evaluators in their task.
   b. Setting realistic standards to assist raters in forming judgements.
   c. Issuing clear, specific and detailed instructions concerning how the evaluating is to be done.
   d. Choosing traits which are easily observable on a day to day basis and where possible are measureable.

(4) Tailoring the program to the organizations goals for it.

2. Methods and Forms Currently in Use.

Just how many methods are available? Basically there are five and these are:

(1) Man-to-Man or Paired Comparison

(2) Ranking

(3) Checklist

(4) Scales

(5) Critical Incidents

For each of these basic methods there are infinitely many techniques and factors that can be used to give as wide a variety of methods as one could hope for. Look, for instance, at the type of factors available. These can be broken into:

(1) Personal Quality Factors, such as honesty, loyalty, integrity, and many, many, others.

(2) Job Performance Factors, such as quality of work, quantity of work, salesmanship, attendance, etc.

(3) Combinations of 1. and 2. on the same form.

As to the number of factors or descriptive term available,

there are more than 17,000 according to R.W. Adams, author of a handy phamplet entitled "The Complete Employee-Handbook for Personnel Appraisal." Mr. Adams has listed some 2,000 of these factors in his work and has further broken them into four major headings of (1) Mental Capacity, (2) Work Habits and Attitudes, (3) Stability, and (4) Get-along-Ability.

In addition to types and numbers of factors, one can also select from a wide variety of form arrangements, several of which are shown in this chapter.

In order to assist the reader in understanding the five basic methods and to present a few of the techniques of form arrangement and factor choices available, we will describe briefly each method, list their advantages and disadvantages, and show examples of specific forms.

The Man-to-Man or Paired Comparison Method.

This is perhaps the oldest of the formal methods currently in use. It was first used to evaluate salesmen for private companies and was later adapted for use during World War I to evaluate prospective Officer Candidates and even later, all Army Officers as well. There were five characteristics or factors, which each officer was to be evaluated on. These were: (1) Physical Qualities, (2) Intelligence, (3) Leadership, (4) Personal Qualities, and (5) General Value to the Service. Each factor was described by a paragraph, and the instruction

which came with the form called for each factor to be broken into five degrees, with each degree being assigned a score based on the degree chosen. As an illustration that portion dealing with Intelligence is shown.

II Intelligence
Accuracy, ease in learning, ability to grasp quickly the point of view of commanding officer, to issue clear and intelligent orders, to estimate a new situation, and to arrive at a sensible decision in a crisis.

Highest.....15
High.....12
Middle 9
Low..... 6
Lowest..... 3(3)

Instructions for using the scale called for the marker to evaluate his personnel as follows:

1. Selecting an officer of his acquaintance who exemplified each of the degrees of each factor.
2. Assigning to each officer subject to rating the numerical value of the officer on the scale most closely resembling him in the characteristic under consideration.
3. Adding the numerical values assigned each officer to arrive at the composite score for the individual officer.
4. Using each score as a basis of comparison for use in rating all officers considered.(4)

Advantages. Perhaps the only advantage this method enjoyed was the fact that it did offer improvement over previous methods which were purely subjective.

Disadvantages. Because of the large number of disadvantages this method has almost totally disappeared from use. Some of these are:

1. Officers doing the marking sometimes had such a small acquaintance-ship and were so inexperienced that they had

difficulty selecting officers as examples for each degree of each of the factors.

2. The plan proved cumbersome when a large number of officers was to be graded by one evaluator.

3. The definitions of each of the factors were too general to be applied as standards, making it even more difficult to select an example for each degree.

4. Specific weaknesses were lost in the end because of the use of an overall grade.

The Ranking Method.

There are many variations of this method but perhaps the simpliest is the type which asks for a listing of employees according to their general merit. Most lists are subdivided into three or four groups on the form with only a brief description of which employees to place within a group. In the simplest case no standards are given for any particular factor, nor are there any particular factors given for that matter. An example of such a form is shown in figure 1. Note that this particular form asks for three divisions, each determined only by a percentage. It should also be noted that this method should be used only for workers doing the same type tasks.

A further refinement is to ask for a ranking based on specific factors, both personal quality and job performance types. Still another type is to subdivide the list into grades and assign workers to the most appropriate grade according to their merit. If this is done, each grade should be adequately

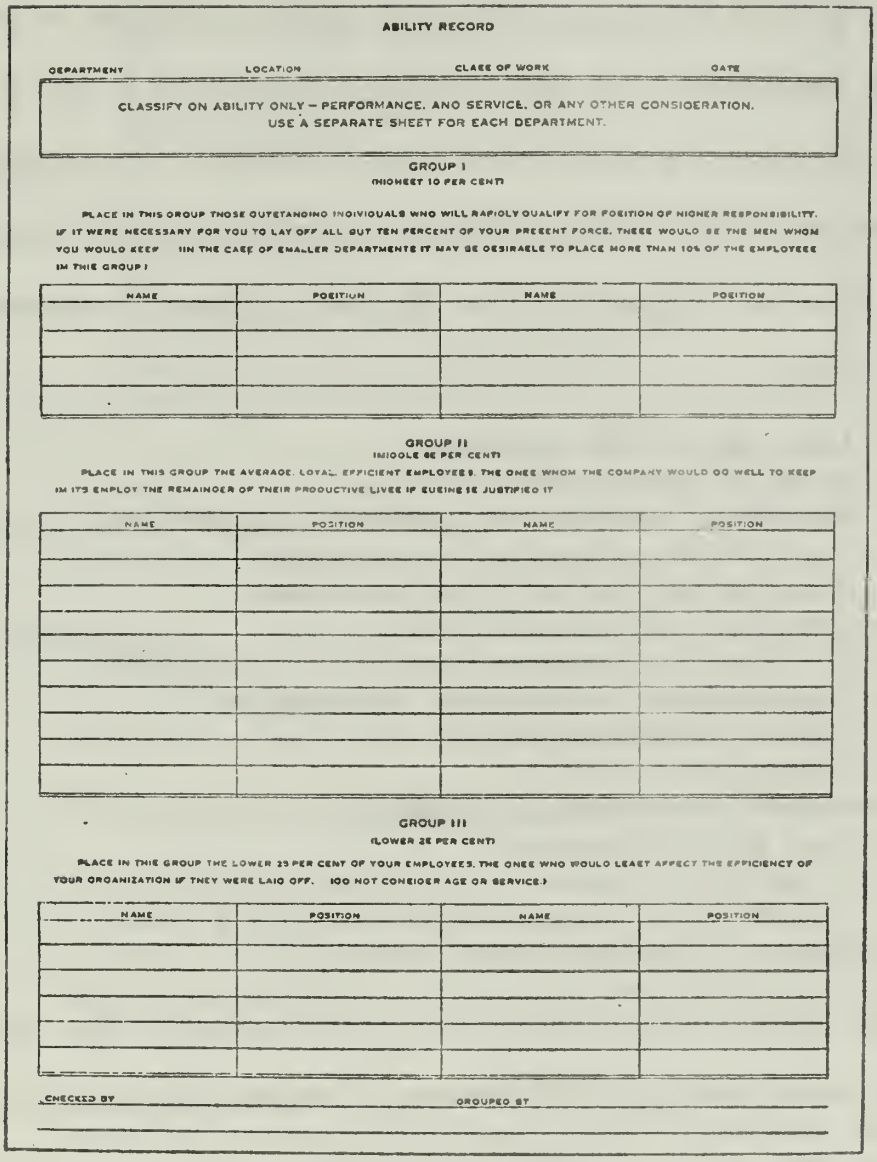
described by a standard for each grade, and employees doing the same work should be subdivided into experience and pay levels so that those who are in the same levels are ranked against each other. It is this method which has long been used to force a normal distribution, which results in the famous bell shaped curve.

Advantages. The advantages of the Ranking method are:

1. Simple to understand.
2. Simple to use and therefore relatively less time consuming.
3. It is natural for raters to rank subordinates.

Disadvantages.

1. Hard to rank a large number of employees with any degree of certainty.
2. The degree of difference between employees on the list is not clear.
3. It is difficulty to justify rankings when questioned about them especially for the simple type method.



ABILITY RECORD

DEPARTMENT | LOCATION | CLASS OF WORK | DATE

CLASSIFY ON ABILITY ONLY – PERFORMANCE, AND SERVICE, OR ANY OTHER CONSIDERATION.
USE A SEPARATE SHEET FOR EACH DEPARTMENT.

GROUP I
(HIGHEST 10 PER CENT)

PLACE IN THIS GROUP THOSE OUTSTANDING INDIVIDUALS WHO WILL RAPIDLY QUALIFY FOR POSITION OF HIGHER RESPONSIBILITY. IF IT WERE NECESSARY FOR YOU TO LAY OFF ALL BUT TEN PERCENT OF YOUR PRESENT FORCE, THESE WOULD BE THE MEN WHOM YOU WOULD KEEP (IN THE CASE OF SMALLER DEPARTMENTS IT MAY BE DESIRABLE TO PLACE MORE THAN 10% OF THE EMPLOYEES IN THIS GROUP.)

NAME	POSITION	NAME	POSITION

GROUP II
(MIDDLE 80 PER CENT)

PLACE IN THIS GROUP THE AVERAGE, LOYAL, EFFICIENT EMPLOYEES, THE ONES WHOM THE COMPANY WOULD DO WELL TO KEEP IN ITS EMPLOY THE REMAINDER OF THEIR PRODUCTIVE LIVES IF DOING SO JUSTIFIED IT

NAME	POSITION	NAME	POSITION

GROUP III
(LOWER 20 PER CENT)

PLACE IN THIS GROUP THE LOWER 20 PER CENT OF YOUR EMPLOYEES, THE ONES WHO WOULD LEAST AFFECT THE EFFICIENCY OF YOUR ORGANIZATION IF THEY WERE LAID OFF. (DO NOT CONSIDER AGE OR SERVICE.)

NAME	POSITION	NAME	POSITION

CHECKED BY _____ GROUPED BY _____

Figure 1

A Ranking Type of Rating Form
Source: "Handbook of Personnel Management"
George D. Halsey, Harper and Brothers, 1953

The Check List Method.

This method is characterized, as its name implies, by a list of factors or characteristics, each of which is supposed to be a description of the worker's capability to do a part of his job,or describe some personal attribute. To evaluate an employee the rater simply checks the factors that apply. A partial list, once used by the Kimberly-Clark Corporation is shown below:

1. Uses good self control.
2. Must be supervised closely.
3. Careless in dress or personal cleanliness.
4. Reacts favorably to corrections.
5. Always carries out his promises.
6. Grasps new ideas slowly.
7. Is quick to observe defects or mistakes.
8. Understands own work thoroughly.
9. Takes criticism well.
10. Plans work well.
11. Shows outstanding initiative.
12. Has good judgement.
13. Is safety minded.
14. Turns out a large amount of work easily.
15. Gets help when in difficulty.(5)

Originally there were sixty-four such items on the check list and each was weighted differently, depending on the desirability of the trait. This is yet another technique which can be used for all methods in order to increase variety and adaptability to an organization's performance evaluation program.

Another variation of this method is simply to put two check boxes by each characteristic marked yes or no. While this will force a positive answer it may frequently be inaccurate if the form is not properly designed. A partial example is

shown in figure 2.

TRAIT		YES	NO
QUALITY	ARE QUALITY STANDARDS REGULARLY MAINTAINED?	☐	☐
	ARE HIS WORK HABITS ORDERLY?	☐	☐
	DOES HE HANDLE MATERIALS ECONOMICALLY?	☐	☐
	DOES HIS WORK REQUIRE EXCESSIVE CHECKING?	☐	☐

FIGURE 2
Example of Check List Type of Rating Form
Source: "Job Evaluation Text and Cases" John A. Patton and C.L. Littlefield, Richard D. Irwin Inc. 1955.

Advantages. The primary advantages of this method are:

1. The "Halo Effect" (rating an employee based on a general overall impression) is lessened.
2. The check list is easy to understand and use.
3. Factors are specific.
4. If the factors are chosen properly, employees in different divisions and branches of the organization can be compared.
5. Specific weaknesses can be pointed out to employees and the rating can be used as a starting point of a training program.

Disadvantages. Disadvantages include:

1. Lists which give valid scores are difficult to draw up.
2. Good lists are expensive.

A rather new and separate type of check list method is the Forced Choice Check List. This method usually requires

the skill of a psychologist who is familiar with the firm's methods as well as the personnel who work for it. Here, as in the ordinary check list method, the rater must choose from a list of descriptive statements. This list, however, requires that the rater choose from a list of several apparently unrelated statements the one most descriptive and the one least descriptive of the ratee. An example of such a form used is shown in figure 3.

The principle advantage of this type of check list is that it almost entirely eliminates any bias on the markers part since he is not allowed to have the scoring key. This virtually eliminates the "Halo Effect." The disadvantages are: (1) expense and effort in drawing up the form, (2) markers mistrust and acceptance of the form, due to inability to control the scoring and (3) very limited use in efforts to correct deficiencies by use of training programs. One other serious drawback is the inability of the marker to justify the final grade to an employee since he doesn't know how it was arrived at either.

The Scales Method.

This method appears to offer the widest variety of forms of any of the five basic methods. The rater is asked to mark the degree of a factor an employee possesses along a scale, hence its name, which can either be numerical, lettered, or described by a phrase. In the case of the latter, the grade

1. Read each block carefully.
2. Indicate how descriptive each statement is by filling in one space on its 10 space scale. The spaces farthest to the *left* are *least* descriptive, the spaces farthest to the *right* are *most* descriptive. If you have any comments about your choice, write them on the line provided in each block.
3. Do not make a mark directly above or below another mark in the same block. (see examples at right.)
4. Answer each statement in every block.

Examples:

WRONG		RIGHT	
LEAST	MOST	LEAST	MOST

LEAST MOST

- Familiar with all phases of the business.
- Progressing slowly but surely.
- Capable of doing more important work.
- Needs close supervision.
- Inclined to make hasty decisions.

- Should be more business-like.
- Has outstanding ability.
- A natural leader.
- Some question about his health.
- Uses written reports skilfully to help in solving problems.

- Has a mechanical sense.
- Very serious-minded person.
- Has capacity for better work.
- Looks like a "loser".
- His profanity creates a very unfavorable impression.

- Doing everything possible to keep costs down.
- Knows when to exercise his authority and when not to.
- Unable to relax after a hard day's work.
- People do not like to work for him.
- Cannot handle several details of his job at the same time.

- Not willing to make decisions unless he has very complete information.
- Makes snap judgments about people.
- Has not demonstrated up to now that he has the ability to progress further.
- Very valuable in a new operation.
- Good for routine supervisory job.

- Would be very difficult to replace.
- Lets difficulties get him down.
- Alert to new opportunities for the Company.
- Tries to run things his own way.
- Tends to delegate things which will not reflect credit on him.

LEAST MOST

- Insists on having more facts than needed in order to reach a sensible decision.
- His personal life has begun to affect his work.
- Can always be depended on to turn in a good job.
- Calmly discusses problems with his people.
- Can make a successful career for himself in U.P.S.

- Avoids crises by anticipating the conditions which might produce them and planning for them well in advance.
- Inclined to "pop off" on occasion.
- An original thinker.
- No one ever doubts his ability.
- Lacks tolerance for weakness in other people.

- Sometimes says the right thing at the wrong time.
- Studies work closely for possible improvements.
- Confidently relies on his memory which is not always accurate.
- Gets good results from his people.
- Quick to grasp information passed on to him.

- Does not get the facts necessary for making decisions
- Receives constructive criticism well.
- Can definitely be promoted whenever the opportunity affords itself.
- Makes too many personnel changes.
- He is ready to give credit to others for good work done.

- Leans over backwards in accepting points of view of his men.
- Quick to size up a situation.
- Coordinates the activities of all the various parts of the work.
- Has little knowledge of the work of other departments.
- Will take some time for him to prove his worth.

Figure 3

A "Forced-Choice" Type of Rating Form Reproduced in part from: "Handbook Of Personnel Management" George D. Halsey, Harper and Brothers, 1953.

can either be made known to the evaluator, or left unknown. The scale used can be continuous, with a minimum grade at one end and a maximum at the other, or it can be broken up into discrete parts. As usual, various types of factors can be used. Sample forms are shown in figures 4, 5, 6, 7, and 8.

Advantages.

1. Valuable for reporting purposes, both to top management and for discussion with the ratee.

2. Sound basis for starting a training program if properly designed since it measures individual traits.

3. Easy to use which makes it the most common of the five basic methods.

Disadvantages.

1. Very susceptible to the "Halo Effect."

2. Traits are usually assumed to be of equal value, which they may not be.

3. Different forms should be employed for different classes of employees.

The Critical Incidents Method.

This is one of the newest methods of performance evaluation currently in use. Its use consists of identifying, classifying and recording critical incidents in the employees performance which can best be explained as follows:

> Briefly, an incident is "critical" when it illustrates that the employee has done, or failed to do, something that results in unusual success or unusual failure on some part of his job.
>
> Critical incidents are facts (not opinions or generalizations), but not all facts are critical. Suppose you are supervisor of a highly efficient group of sales correspondents. On a certain day, Mary Jones, one of your best

INSTRUCTIONS TO SUPERVISION

Make your rating an honest, accurate description of the employee being rated, basing opinions on job requirements and on performance of others in the same classification.

REMEMBER THAT YOUR OPINIONS ARE ALSO USED AS A MEASURE OF YOUR JUDGEMENT

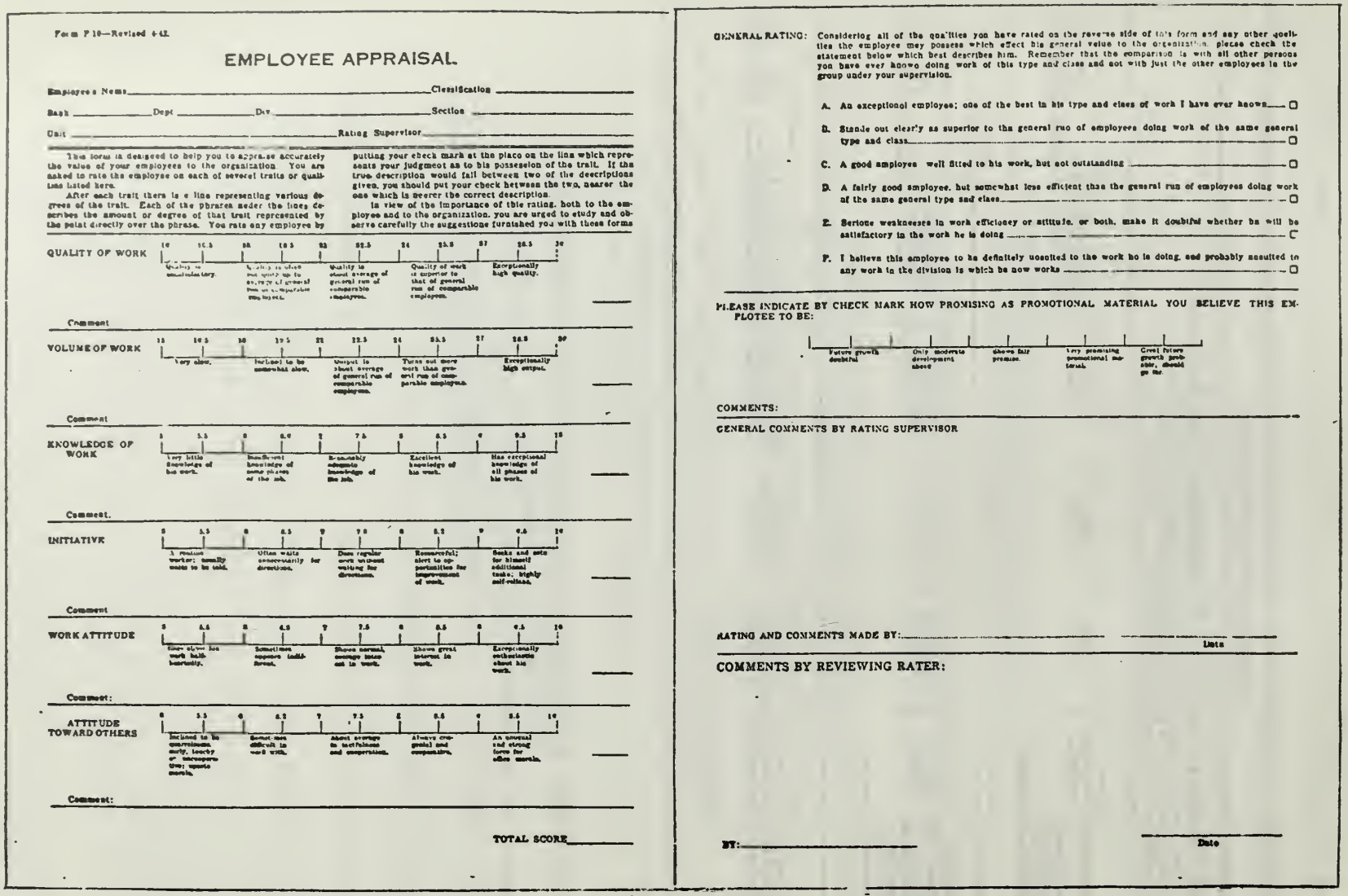
1. Place a check (✓) in the space which expresses YOUR OPINION on each factor being rated
2. Place a check (✓) in the space at right of sheet to indicate change in each rating factor.
3. Comment in space provided to clarify or substantiate your rating.

QUALITY OF WORK: Consider neatness and accuracy of work regardless of volume. Before checking, consult any production records maintained and compare the amount of his good work with that of others on the same job, and compare with standards which reasonably should be expected.	Work Almost Worthless	Frequent Errors	Normal Accuracy	Very Few Errors	Exceptionally Accurate, Practically No Mistakes	Has Improved	Little or No Change	Has Gone Back
Comment _____								
QUANTITY OF PRODUCTION: Consider the volume of work produced under normal conditions. Disregard errors. Before checking, consult any production records maintained, compare his output with that of others on the same work and compare with standards which reasonably should be expected.	Very Slow Worker	Volume Below Average	Average	Turns Out Good Volume	Rapid Worker, Unusually Big Producer	Has Improved	Little or No Change	Has Gone Back
Comment _____								
DEPENDABILITY: Consider the manner in which he applies himself to his work, whether he does jobs on time, etc., and the amount of supervision he requires. Does he carry out instructions?	Cannot Be Relied Upon. Needs Constant Supervision	Conscientious But Needs Considerable Supervision	Fairly Reliable. Average Supervision Required	Applies Himself Well. Occasional Supervision Required	Justifies Utmost Confidence. Minimum Supervision Req'd.	Has Improved	Little or No Change	Has Gone Back
Comment _____								

Figure 4

Scales Type of Rating Form With Improvement and Comment Section

Source: "Job Evaluation Text and Cases", J.A. Patton and C.L. Littlefield, Richard D. Irwin Inc., 1957



Form P 10—Revised 6-42.

EMPLOYEE APPRAISAL

Employee's Name _____ Classification _____

Bank _____ Dept _____ Div _____ Section _____

Unit _____ Rating Supervisor _____

This form is designed to help you to appraise accurately the value of your employees to the organization. You are asked to rate the employee on each of several traits or qualities listed here.

After each trait there is a line representing various degrees of the trait. Each of the phrases under the lines describes the amount or degree of that trait represented by the point directly over the phrase. You rate any employee by putting your check mark at the place on the line which represents your judgment as to his possession of the trait. If the true description would fall between two of the descriptions given, you should put your check between the two, nearer the one which is nearer the correct description.

In view of the importance of this rating, both to the employee and to the organization, you are urged to study and observe carefully the suggestions furnished you with these forms

QUALITY OF WORK

10 | 10.5 | 11 | 11.5 | 12 | 12.5 | 13 | 13.5 | 14 | 14.5 | 15

Quality is about average of general run of comparable employees.

Quality of work is superior to that of general run of comparable employees.

Exceptionally high quality.

Comment

VOLUME OF WORK

13 | 13.5 | 14 | 14.5 | 15 | 15.5 | 16 | 16.5 | 17 | 17.5 | 18

Output is about average of general run of comparable employees.

Turns out more work than general run of comparable employees.

Exceptionally high output.

Comment

KNOWLEDGE OF WORK

5 | 5.5 | 6 | 6.5 | 7 | 7.5 | 8 | 8.5 | 9 | 9.5 | 10

Very little knowledge of his work.

Insufficient knowledge of some phases of the job.

Reasonably adequate knowledge of the job.

Excellent knowledge of his work.

Has exceptional knowledge of all phases of his work.

Comment.

INITIATIVE

5 | 5.5 | 6 | 6.5 | 7 | 7.5 | 8 | 8.5 | 9 | 9.5 | 10

A routine worker; usually needs to be told.

Often waits unnecessarily for directions.

Does regular work without waiting for directions.

Resourceful; alert to opportunities for improvement of work.

Seeks and asks for himself additional tasks; highly self-reliant.

Comment

WORK ATTITUDE

5 | 5.5 | 6 | 6.5 | 7 | 7.5 | 8 | 8.5 | 9 | 9.5 | 10

Sometimes appears indifferent.

Shows normal, average interest in work.

Shows great interest in work.

Exceptionally enthusiastic about his work.

Comment:

ATTITUDE TOWARD OTHERS

5 | 5.5 | 6 | 6.5 | 7 | 7.5 | 8 | 8.5 | 9 | 9.5 | 10

Sometimes difficult to work with.

About average in tactfulness and cooperation.

Always considerate and cooperative.

Comment:

TOTAL SCORE _____

GENERAL RATING: Considering all of the qualities you have rated on the reverse side of this form and any other qualities the employee may possess which affect his general value to the organization, please check the statement below which best describes him. Remember that the comparison is with all other persons you have ever known doing work of this type and class and not with just the other employees in the group under your supervision.

A. An exceptional employee; one of the best in his type and class of work I have ever known ☐

B. Stands out clearly as superior to the general run of employees doing work of the same general type and class ☐

C. A good employee well fitted to his work, but not outstanding ☐

D. A fairly good employee, but somewhat less efficient than the general run of employees doing work of the same general type and class ☐

E. Serious weaknesses in work efficiency or attitude, or both, make it doubtful whether he will be satisfactory in the work he is doing ☐

F. I believe this employee to be definitely unsuited to the work he is doing, and probably unsuited to any work in the division in which he now works ☐

PLEASE INDICATE BY CHECK MARK HOW PROMISING AS PROMOTIONAL MATERIAL YOU BELIEVE THIS EMPLOYEE TO BE:

Future growth doubtful | Only moderate development seems | Shows fair promise | Very promising promotional material | Great future growth probable, should go far.

COMMENTS:

GENERAL COMMENTS BY RATING SUPERVISOR

RATING AND COMMENTS MADE BY: _____ Date _____

COMMENTS BY REVIEWING RATER:

BY: _____ Date _____

Figure 5

Scales and General Type of Rating Form
Source: "Handbook Of Personnel Management" George D. Halsey, Harper and Brothers, 1953

A Graphic Rating Scale

PERFORMANCE REVIEW FOR SERVICEMEN

1. Rate the employee by placing an X in the space above the description which most nearly expresses your judgment on each quality.
2. Consider only one trait or quality at a time.
3. Consider the individual's entire work performance on each trait. Don't base your judgment on only one or two occurrences.
4. Use the space provided on the back page for comments and explanations.
5. Make your rating an accurate description of the one rated.

	1	2	3 4	5 6 7	8 9 10
I-QUALITY Consider the thoroughness of his work and ability to perform work of high grade consistently.	Work almost worthless.	Rather careless. Below standard	Just satisfactory.	Good quality.	Highest quality.
II-DEPENDABILITY Consider reliability in execution of assigned tasks; dependability in following instructions; does he stick to his job and do good work without constant supervision?	Unreliable and irregular	Slightly neglectful.	Fairly dependable.	Trustworthy	Extremely dependable.
III-CUSTOMER CONTACTS Consider tact and other qualities in dealing with customers; ability in maintaining favorable customer relations and company good will.	Displays little or no ability to handle customers.	Lacks qualities to do and say the right thing.	Average ability to get along with customers.	Makes favorable impressions with customers.	Builds excellent relations with customers.
IV-QUANTITY Consider the volume of work accomplished under normal conditions and the promptness with which it is completed.	Very slow worker. Little output.	Barely meets requirements.	Average	Turns out good volume.	Rapid worker. Unusually big producer.
V-MECHANICAL SKILL Has he consistently demonstrated the ability to cope with varied mechanical problems?	Requires continuous and repeated instructions.	Requires repeated instructions. Has some difficulty solving new problems.	Satisfactory on routine work; meets requirements on new problems.	Good ability in coping with mechanical problems	Exceptional ability in analyzing and solving mechanical problems.
VI-COOPERATION Consider his attitude toward his work, company and his associates, and his willingness to work with and for others.	Dislikes to cooperate.	Has some difficulty getting along with others.	Acceptable	Willing worker. Cooperates readily.	Goes out of his way to cooperate.
VII-PERSONALITY-DISPOSITION Consider behavior; effect of disposition on others.	Definitely unfavorable.	Behavior and attitudes disturb harmony occasionally.	Gets along well generally. Not good and not bad.	Gets along well with majority of associates.	Excellent behavior. Well liked by all associates.
VIII-ATTENDANCE What attitude does he have toward attendance. Is he on the job?	Indifferent attendance.	Frequent absences.	Occasionally absent. Usually with good reason.	Very regular. Seldom absent	Excellent record.
IX-APPEARANCE How is he in dress and personal appearance. Does he make a good impression?	Indifferent	Slightly indifferent.	Acceptable	Makes good impression.	Extremely impressive.

Figure 6

Scales Type of Rating Form (Discrete Scale)
Source: "Personnel Management" H.J. Chruden, A.W. Sherman Jr., South-Western Publishing Company, 1963

DISTRIBUTION-PLANT

EMPLOYEE PROGRESS REPORT

Code No. _____
Date 1-1-45

Name of Employee John Doe Position Title Serviceman-A Report by Frank Doe

INSTRUCTIONS FOR RATING

Column No. 1 POST OPPOSITE each item, applicable weights determined on basis of following classification.

FOR ITEMS OF:

PRIMARY	importance to this position	3
SECONDARY	" " " "	2
MINOR	" " " "	1

Column No. 2 After weights have been posted in column No. 1, use scale "A" to determine how employee rates with respect to each item in Part I and post in column 2. Use scale "B" on reverse side for rating Work Performed by the employee in Part II after consideration to aids and handicaps to performance.

Column No. 3 Multiply weights in column No. 1 by scale ratings in column No. 2 and post resultant point ratings in column No. 3.
(Show totals of items "1" to "4", "5" to "8" and "9" "13" in spaces indicated)

PART I — PERSONAL QUALIFICATIONS

	SCALE "A"					RATING COLUMNS		
	1	2	3	4	5	1	2	3
	Does not meet requirements of this position	Partially meets requirements of this position	Meets requirements of this position	Exceeds requirements of this position	Far exceeds requirements of this position	Weight this position	Scale A rating	Point rating (Weight X Scale rating)
1. APPEARANCE	Consider Physical Appearance, Carriage, Dress.					3	3	9
2. MANNERS & DISPOSITION	Consider Courtesy; Tact; Adherence to Business and Social Customs; Poise; Self Control; Temperament (Pleasant, Even, Surly).					3	4	12
3. CHARACTER	Consider Dependability; Sense of Social and Moral Responsibility; Sincerity; Courage of Conviction.					3	3	9
4. INFLUENCE ON OTHERS	Consider Degree of Animation; Enthusiasm; Power of Expression (Speech-Writing); Sales Ability.					3	3	9
I-A PERSONALITY (Total of items 1 to 4)						12		39
5. IMAGINATION	Consider Powers of Mental Visualization; Inventiveness.					2	3	6
6. CONCENTRATION	Consider Thinking Power; Ability to Focus and Apply Full Mental Power Effectively.					3	3	9
7. COMPREHENSION AND JUDGEMENT	Consider Ability to Grasp and Understand Principles, Ideas, Facts; Consider Mental Alertness, Speed of Reactions; Power of Analysis; Ability to Reason and Reach Logical Conclusions.					3	3	9
8. MENTAL FLEXIBILITY	Consider Adaptability to Changes, New Problems, New Ideas; Open Mindedness; Receptivity to Suggestions and Ideas.					3	2	6
I-B INTELLIGENCE (Total of items 5 to 8)						11		30
9. INITIATIVE AND ORGANIZING ABILITY	Consider Self Starting Energy; Ability to Plan and Carry Out Work Systematically.					3	3	9
10. COORDINATIVE ABILITY	Consider Ability to Understand, Analyse and Define Objectives; To Work Towards a Common End in Harmony with Others. Attitude Toward Other Employees, Work and Company Policies.					3	3	9
11. ACCEPTANCE OF RESPONSIBILITY	Consider Ability to Understand Assignments Clearly and Perform Them At Once.					3	3	9
12. QUALITY OF WORK	Consider Quality of Work Performed.					3	3	9
13. QUANTITY OF WORK	Consider Quantity of Work Performed.					3	3	9
APPLICATION ON JOB (Total of items 9 to 13)						15		45

Figure 7

Scales Type of Rating Form with Subdivision of Traits
Source: "Personnel Management", M.J. Jucius, Richard D. Irwin Inc., 1955.

A Graphic Rating Scale with Provision for Rater Comments

Appraise employee's performance in PRESENT ASSIGNMENT. Check (✓) most appropriate square. Appraisers are *urged to use freely* the "REMARKS" sections for significant comments descriptive of the individual.

1. KNOWLEDGE OF WORK: Understanding of all phases of his work and related matters.	Needs instruction or guidance. ☐	Has required knowledge of own and related work. ☐	Has exceptional knowledge of own and related work. ☒
	Remarks: *Is particularly good on gas engines.*		
2. INITIATIVE: Ability to originate or develop ideas and to get things started.	Lacks imagination. ☐	Meets necessary requirements. ☒	Unusually resourceful. ☐
	Remarks: *Has good ideas when asked for an opinion, but otherwise will not offer them. Somewhat lacking in self-confidence.*		
3. APPLICATION: Attention, and application to his work.	Wastes time. Needs close ☐ supervision.	Steady and willing worker. ☒	Exceptionally industrious. ☐
	Remarks:		
4. QUALITY OF WORK: Thoroughness, neatness, and accuracy of work.	Needs improvement. ☐	Regularly meets recognized ☐ standards.	Consistently maintains highest ☒ quality.
	Remarks: *The work he turns out is always of the highest possible quality.*		
5. VOLUME OF WORK: Quantity of acceptable work.	Should be increased. ☐	Regularly meets recognized ☒ standards.	Unusually high output. ☐
	Remarks: *Would be higher if he did not spend so much time checking and rechecking his work.*		

Figure 8

A Scales Type Rating Form with Provision for Rater Comment

Source: "Personnel Management" H.J. Chruden, and A.W. Sherman Jr., South-Western Publishing Company, 1963.

people, turns out 40 letters, a typical daily output. This is a fact and could be so recorded on your department's productivity records if you keep such records, but it is not a critical incident...if Mary is expected to average about 40 letters per day.

However, if Mary turned out 40 letters on one of those "bad" days when her dictaphone needed minor repairs, and when there were an unusual number of complicated customer inquiries and telephone interruptions, then you would record an incident of effective performance--a "blue" incident for Mary's Performance Record. This is a critical incident because Mary worked rapidly, keeping an unusual number of things going at the same time, and still turned out the usual number of letters.

Critical behavior like this is the thing to look for--not merely good performance or bad performance in itself, but the employee actions that really make performance outstandingly effective or ineffective.(6)

This method was orginally developed by the Delco-Remy Division of General Motors and their experience with it has shown that it takes only a few minutes per day to make a listing of the critical incidents for each employee. Once recorded, the incidents become a matter of record which can be reviewed when a quarterly, semi-annual, or other periodic performance evaluation is called for. An example of the type of form used with this method is to be found in figure 9.

It will be noted that this example shows only one trait, alertness to problem situations, and is subdivided into red (unfavorable) and blue (favorable) incidents.

Advantages. The primary advantage of this method is that it offers an evaluation based on concrete information.

Disadvantages. The primary disadvantage is that, if not properly supervised and kept, the records can generate a

"little black book" approach which makes employees extremely uncomfortable.

EXAMPLE OF RECORDED CRITICAL INCIDENTS

4. ALERTNESS TO PROBLEM SITUATIONS

A. Did not see problem;
B. Overlooked cause of problem;
C. Failed to see special situation.

A. Saw problem as soon as it arose;
B. Recognized cause of problem;
C. Recognized situation that might produce problems.

Date	Item	What Happened
2/1/67	C	Special Delivery letter mishandled

RED

A special delivery letter came in about the same time as the regular mail delivery. Instead of delivering the special letter at once, this employee put it in with the regular mail.

Date	Item	What Happened
2/8/67	C	Save expensive boiler repairs

BLUE

This fellow was working late one Friday. He discovered an electric furnace had been accidentally shut off. He phoned his supervisor at home. This prompt action prevented the furnace from freezing up over the weekend.

This example shows only one trait, Alertness to Problem Situations, and is subdivided into Red (unfavorable) and blue (favorable) incidents.

FIGURE 9

Source: "Personnel Management", M.J. Jucius, Richard D. Irwin Inc., 1955.

3. Some Fine Points of Form Design.

Now that the five basic methods have been discussed let us turn our attention to some of the finer points of form design. It should be fairly obvious that regardless of the method used we are going to have to select a certain number of factors, describe them in some manner, ask the grader to evaluate the

ratee's level of merit in each of the factors chosen, and report the marks assigned to a higher level of management for further action.

Factors. How many factors should be included on any one form? Most authors on the subject of performance evaluation appear to agree on a number between 4-10, although there have certainly been successful ones with less. What types of factors should be chosen? The answer to this question will be answered when the uses of the program have been decided on. In any case the form designer should strive to select traits and factors which are as distinct and specific as possible as well as being concrete and readily observable. If a weighting of traits is deemed necessary, it should be arrived at by a consensus of those who are going to do the grading, top management and possibly those being evaluated. Subdivision of factors into components is surely permissible and even to be recommended. See figure 7 for such a subdivision.

Division of Grading Scales. The decision as to what type of scale to be used is an arbitrary one on the part of the designer, and he can use either the continuous or discrete type. The main criteria for selection would seem to be, choose that scale which is least confusing to the grader (i.e., 0 to 4.0 for Navy use) and which is most amenable to description and standardization.

Arrangement of the Form. Simplicity is the key. We

have shown complete examples of forms in figures 5 and 6 and parts of each seem appropriate from this point of view. The comment section under each factor shown in figures 4 and 8 is a worthwhile innovation, as is the section which asks for progress, retardation, or stability in figure 4.

Standards. Standards are the descriptions of the grade divisions which allow the evaluator to place the personnel being graded into the proper division or allow assignment of the proper grade. If the standards are poor or non-existent, if they do not mean the same to each evaluator, or if different ones are not applied to different skill levels, then the whole evaluation program will fail before it gets started. Consider for a moment two sets of standards---call them set I and set II. They will both be applied to the same factor, "Quality of Work" as shown in figure 10. While neither set may seem ideal, set II is a little more descriptive and should allow a grader to mark his personnel more accurately when using it. In this way a company's management can control the standards rather than leaving it to the individual evaluators.

4. Methods to Eliminate Bias, Force Objectivity and Test Validity of Performance Evaluations.

To obtain an optimum performance evaluation program there are several techniques which can be used. Seven of these will be discussed here.

(1) Scale Alteration.

Set I: Here the standards are Excellent, Good, Fair, and Poor.

QUALITY OF WORK	EXCELLENT	GOOD	FAIR	POOR
Consider the finess of the finished product, degree of supervision required to achieve that product. Ability to maintain a high level of consistency.				

Set II: Here the standards are written phrases under each division of the scale.

QUALITY OF WORK	EXCELLENT	GOOD	FAIR	POOR
Consider the finess of the finished product, degree of supervision required to achieve that product. Ability to maintain a high level of consistency.	Always turns out a finished product that is nearly perfect. Only minor flaws in 1 out of 100 items produced.	Fewer than 1 defect in 50 articles. Defects found easily correctable.	1 defect in 25 articles. Most defects not serious enough to cause more than minor delays in production.	Unreliable finished product. Supervision required is excessive.

Figure 10

Illustration of Two Different Sets of Standards

(2) Multiple Graders and Profiles.
(3) Choice of factors and their definitions.
(4) Correlation between factors.
(5) Comparison of evaluation with other sources.
(6) Adjustments for known high or low markers.
(7) Separating marking periods.

Scale Alteration. This is a simple technique aimed at eliminating the "halo effect" in the scales method by insuring that the marker reads the standard carefully before he marks the form. An example is shown in figure 11 below.

TRAIT	SCALES			
Quality of Work	1.0	2.0	3.0	4.0
Quantity of Work	4.0	3.0	2.0	1.0
Attendance	4.0	3.0	2.0	1.0
Leadership	1.0	2.0	3.0	4.0

Figure 11

Alteration of Scales

For the sake of simplicity, the standards for the grades (1.0 - 4.0) have not been given. The example shows only how one might arrange the scales. Admittedly this method can easily be overcome by a biased evaluator, but it will at least cause him to look at the form a little more closely.

Multiple Graders and Profiles. This technique is based on the premise that two or more graders are better than one. If it is desired that only one final evaluation for a marking period be placed in the man's or company's records perhaps

the grades could be averaged, or if that is not satisfactory perhaps all of the grades could be combined on one sheet by the personnel department, using a color or symbol code. Perhaps the evaluator's marks could be weighted, say with the immediate supervisor's marks counting 3/4 and the next higher supervisors counting 1/4, or vice versa.

In any case, two or more grades provide a comparison, which might prevent a biased report by having the evaluators discuss the marks when differences occur. It will also prevent a habitually low or high grader from controlling the marking.

Suppose a program is set up which calls for two markers, and the decision is made to place both marker's scores on one final sheet. This might lead to a performance evaluation sheet (again simplified to the extreme) which looks like figure 12.

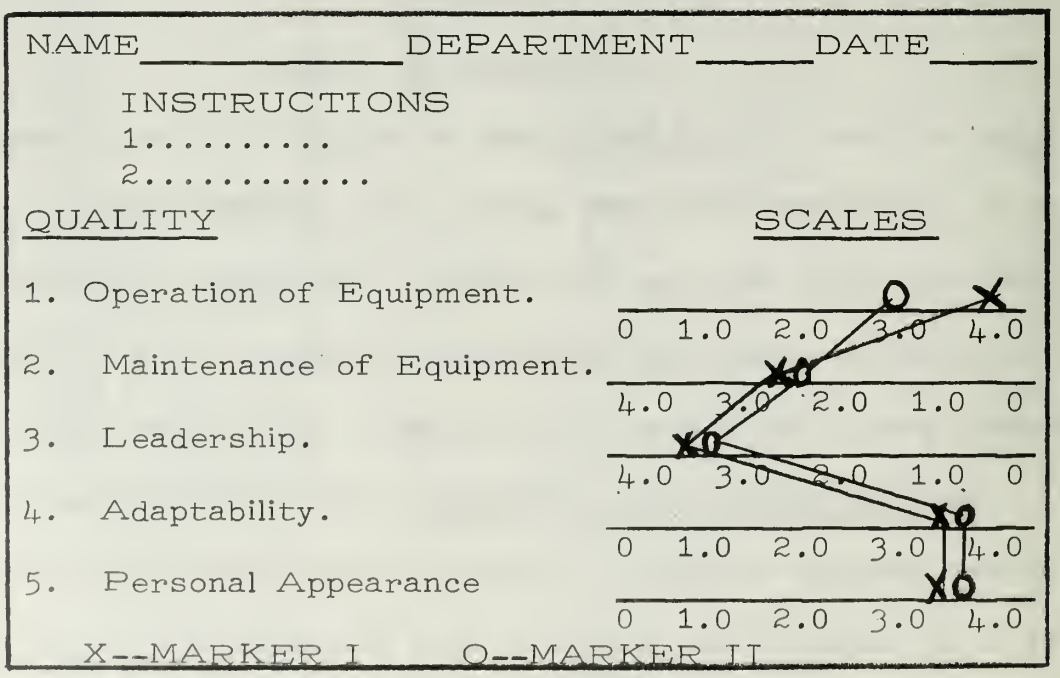


Figure 12
Example of Profiles

The heavy drawn in lines are called profiles and can be used for quick visual comparisons. These two lines show that both markers rate the man about equally well. If the profiles differed radically it might be necessary for top management to ask for a review of the marks by the two evaluators or perhaps meet with them to discuss the differences. If the profiles are satisfactory to the final reviewers, then the marks might well be entered with no discussion between the graders at all.

Choice of Factors and their Definitions. It has already been stated that factors should be as objective as possible and that the scales should be subdivided with various descriptive standards for each division. How does one go about selecting an objective factor? First of all one selects those factors that can be measured. These include factors such as: (1) Quality of Work; (2) Quantity of Work, and; (3) Attendance. If it is desired to measure a personal quality factor such as loyalty or cooperation, then what loyalty or cooperation consists of should be clearly defined on the form and their standards should be clearly defined with phrases or sentences, not by words like outstanding, excellent, good, or poor. This also holds for the measurable factors, too, but it is more difficult to set standards for factors such as loyalty, conduct, and the like, than for the measurable ones.

Correlation Between Factors. To use this technique one

simply compares grades assigned to the different factors. For instance, one might compare the grade an individual receives in "Attitude Toward Job" with the one he receives in say, "Work Performance." If his "Attitude Toward Job" grade is high, but his "Work Performance" is low, one might wonder why? Does he need more training, experience, or what? It could be that the man might be unsuited for the particular task he is currently doing but could do well in another. In any case it leads to questions, which might eventually lead to improved job performance.

Comparison of Evaluations with Other Sources. Use of this technique implies that other sources are available, which have or can, measure a man's performance or potential. Such sources might well include:

(1) Educational Records.
(2) Psychological Tests.
(3) Aptitude Tests.
(4) Past Vocational Training or Jobs Held.

Adjustment for High or Low Markers. Once it has been established that an individual consistently marks higher or lower than other markers, then the organization might well apply a correction to the marks in order to protect the workers. This technique can only be used if records are kept long enough to establish trends and might well prove difficult to implement if the number of markers is large or constantly changing over time. If possible it might well be tried.

Separating Marking Periods. Separating the marking periods can eliminate bias in the following ways:

(1) Spreads the evaluations over a longer period and allows the marker to devote more time to each group.

(2) If the groups are separated by skill levels, then inexperienced and less highly trained workers are not compared to the workers above them. As an example for the Navy, PO 3's would not be compared with PO 2's by using different marking periods. (This is currently being done.)

In the final analysis a performance evaluation program's validity and objectiveness depend on the evaluators and the attitude they have toward it. These techniques might help, but for the program to work one must have a group of conscientious, well trained evaluators who believe in what they are doing.

This concludes the discussion of the generalities of performance evaluation. We turn next to an analysis of the Navy's performance evaluation program in the light of the principles discussed thus far.

CHAPTER II

ANALYSIS OF THE U. S. NAVY ENLISTED PERFORMANCE EVALUATION SYSTEM

1. Analysis of the System Objectives.

We begin our analysis of the Navy's Enlisted Performance Evaluation System by examining the objectives or uses of the system. These are stated in paragraph C-7821 of the Bureau of Naval Personnel Manual, Change 12, as shown below:

> (1) The Enlisted Performance Evaluation System is used:
> (a) To determine eligibility of an individual for re-enlistment, for honorable discharge, and for award of Good Conduct Medals.
> (b) To permit the Commanding Officer to influence positively the advancement opportunities of outstanding individuals.
> (c) By various selection boards which review enlisted service records in order to select personnel for advancement, appointment to commissioned status, assignment to special duties, and for special educational programs.(7)

In order to facilitate discussion of the above uses we would like to break them down further as follows:

The Enlisted Performance Evaluation System is used:

1. To determine eligibility of an individual for reenlistment.
2. To determine eligibility of an individual for honorable discharge.
3. To determine eligibility of an individual for Good Conduct Medals.
4. To permit the Commanding Officer to influence positively the advancement opportunities of outstanding individuals.
5. Allow various selection boards to select personnel for advancement.
6. Allow various selection boards to select personnel for appointment to commissioned service.
7. Allow various selection boards to select personnel for special duties.
8. Allow various selection boards to select personnel for

special educational programs.

In order for the reader to keep track of which uses are being referred to, we shall use items 1 through 8 as we have broken them down. Note that our items 1, 2, and 3 were originally included in item (a), 4 was item (b), and 5, 6, 7, and 8, were in item (c) of the BUPERS Manual uses listed in the footnote. Shown in figure 13 are the generally accepted uses and benefits first listed in Section II. Beside each of these uses and benefits are shown the Navy uses that analysis shows come under the broad general use.

General Use and Benefit	Navy Use (Item#)
1. Assist in determining promotion as well as demotions and terminations.	1, 2, 3, 4, 5, 6
2. Assist in determining transfers and layoffs.	7
3. Assist in pinpointing weak points in individuals and the organization, which when recognized can aid in employee guidance to improve the weakness.	8
4. Assist recruiters.	1
5. Stimulate people to improve	3
6. Improve morale.	3

Figure 13

Classification of Navy Objectives

Validity and Completeness of Stated Objectives.

It would appear on the surface that most Navy uses are slanted toward insuring the promotion and re-enlistment of the "right" people. But let us look at the current uses a

little closer, item by item, to see if they have been categorized correctly and if they are used broadly enough.

ITEM 1.

Item 1 says that the Performance Evaluation System is to be used to determine eligibility for re-enlistment and there are, to be sure, explicit instructions in BUPERS Manual as to how grades assigned on the NAVPERS 792 are to be utilized to insure that this objective is met. Since we are not, in this thesis, questioning the standards for re-enlistment it must be said that this objective is attained by the present Performance Evaluation System and it is valid to require that this be one of the uses or objectives of the system. We are concerned with whether the system furnishes all of the information it could to assist in determining eligibility for re-enlistment and some recommendations for change will be made when the means of attaining this objective, the NAVPERS 792 is discussed. The reason changes will be recommended is due to the fact that there are a few individuals who meet the minimum standards for re-enlistment as far as performance grades are concerned, but because they are administrative liabilities should not be re-enlisted. If a man is not recommended for re-enlistment then by paragraph C-10103 C of the BUPERS Manual a full explanation on the administrative remarks page of the service record is required to explain why he was not recommended. Certainly if a man is considered an administrative

liability this information should be recorded in his service record at the earliest possible date, so that he and the command are aware of it. Because a man becomes an administrative liability only by acts of misconduct or negligence it should be recorded on his performance evaluation. This will make it a part of his official record and will go with him in the event of transfer.

ITEM 2. (Honorable Discharge)

This is a valid use if for no other reason than the Navy desires it as an objective. Certainly all naval personnel are aware of, or have ready access to information concerning the requirements for attaining an honorable discharge. Since the honorable discharge requirements are based solely on personal merit over an entire enlistment there is no reason as to why the requirements should be based on factors other than a man's performance evaluation and service of the required time.

ITEM 3. (Good Conduct Medal)

This item requires that the Enlisted Performance Evaluation System be used to determine eligibility for a Good Conduct Medal. Again, this appears to be a valid objective. As was the case with the honorable discharge, the requirements for a Good Conduct Medal are spelled out in the Navy and Marine Corps Awards Manual and are readily accessible to all naval personnel. There is one danger which the requirements for the medal can lead to, however, and this is the "halo effect"

in a slightly modified form. The specific requirement which leads to the danger is that which calls for no mark below 3.0 in any factor during the time required to earn the medal. This is in keeping with the intent behind the Good Conduct Medal, "to recognize service which is above average in conduct and proficiency." Let us look at an example, hypothetical but possible, of a man whose military conduct and appearance are above reproach and whom everyone agrees is one of the finest military men they have ever seen, yet whose performance in his job specialty (rate) is only slightly below average during one marking period. This would prevent him from earning a Good Conduct Medal, and justifiably so. We submit however, that there are cases where rather than knowingly jeopardize the otherwise outstanding individual's chances for a Good Conduct Medal, a rater would assign a mark in performance to insure that those chances were not jeopardized. If the requirement is to remain the same, then markers should be reminded not to bias the report by grading one factor based on the others, or in other words they should watch out for the "halo effect."

ITEM 4. -- ITEM 5. -- ITEM 6.

These three uses will be discussed as a group since they all deal with advancement in one form or another. Item 4 deals with advancement of outstanding individuals, Item 5 deals with advancement to paygrades E-8 and E-9, and Item 6 deals with appointment to commissioned status. Certainly use of the

Evaluation Program to assist in determining promotions or advancement is valid. However, it is noted that the Navy's uses are restricted to three specific types of advancement, or at least this is what the BUPERS Manual states. In actuality the system is used to assist in determining the advancement of everyone from paygrades E-3 to E-9 by use of the advancement multiple, of which the performance evaluation mark is one of five factors. Because the system is used to assist in determining advancement for everyone, then the uses dealing with advancement, as described in BUPERS Manual, should be re-written to encompass those personnel who have been left out. This will be done in Chapter III.

ITEM 7.

This is the use which deals with selecting personnel for special duties, which in a sense also selects them for special transfers. Again this is a valid use but one wonders if perhaps the performance evaluation marks might not also be used to assist detailers in assigning personnel to regular duties as well. As defined by the Transfer Manual, NAVPERS 15909, special duties are Recruiting duty, Instructor duty and Overseas shore duty. There are also several special categories of personnel for which the Bureau of Naval Personnel retains assignment control. These are listed in paragraph 24.43 of the TRANSMAN.

While assignment to special duty or assignment of special

categories of personnel is important, it is also true that there are many fleet billets which should be assigned with special regard to the performance evaluation report as well. This is not being done. At the present time the detailers who are responsible for intra ship transfers do not normally have a man's evaluation marks available when they are considering him to fill a requirement. In particular they do not know how well qualified a man is in each of the many subspecialties which may be required of his rate (Gunners Mate for example). In addition, the detailer does not normally know how proficient a man is in a subspecialty for which he may have been assigned a Navy Enlisted Classification (NEC) Code at some previous time. The result of this lack of information is that inefficient transfers are sometimes made which are unsatisfactory to all personnel and commands concerned. Interviews with detailers assigned to EPDOPAC and with a fairly broad cross section of Naval Officers at the Naval Postgraduate School, plus personal experiences of the authors indicate that while the percentage of transfers which fall into the categories being considered is not large, it is almost always true that these transfers involve key men. We have discussed the idea of providing the evaluation information to detailers with personnel at PAMIPACFLT. We are aware that Pers N-942 Field Data Section is working on NIMIS II which is scheduled to go into effect sometime in 1968. This new system will have the

capability of providing to the detailer, on request, an Enlisted Assignment Document (EAD) which can provide all the pertinent data in a man's service record, including performance evaluations. The above facts point out that the use of performance evaluation by enlisted detailers is sufficiently important to justify its being included as one of the stated objectives of the system.

The question is whether or not assignments are currently being made efficiently without the utilization of performance evaluation. As evidence that problems do exist the following is offered from the "Report of the Secretary of the Navy's Task Force on Navy/Marine Corps Personnel Retention (Vol 1)."

"About 90 percent of the personnel in the Surface Missile System (SMS) Program are assigned correctly to billets requiring their skills....However in other areas of AAW and based on information provided by the Bureau of Naval Personnel, about 61% of the FTG/GMG personnel are correctly assigned to billets requiring special skills, and only about 50% of the ET's with search radar qualification are correctly assigned to billets requiring their skills...."(8)

The Task Force used the above figures to show how the management technique of Rating Control (used in the SMS Program) could increase the percentage of correct assignments. A better enlisted performance evaluation system could also improve them. Therefore possible changes will be recommended

in Chapter III to include use of the performance evaluation as a consideration when transferring almost all personnel. (Perhaps we can exclude SR's, SN's, etc.)

ITEM 8.

This item deals with the use of selecting personnel for special educational programs, such as Navy Enlisted Scientific Education Program. Since one of the generally accepted uses of a performance evaluation system is to aid in personnel training, and because common sense tells us it is a good aid in finding weak points, this is considered a valid objective. Once again we must ask the question, however, of whether the system could not in some way be broadened to include assistance to other commands in running their training programs, instead of limiting the use to assisting boards in selecting personnel for special educational programs. We feel that it should be broadened, and will attempt to do so, or at least show how it could be done, in Chapter III.

This completes the discussion on the validity and completeness of the Navy's current uses of its Enlisted Performance Evaluation System. While all uses were valid many are not complete or broad enough in scope. We hope to assist in rectifying this situation in Chapter III.

2. Analysis of NAVPERS 792 Form.

After having examined the current uses or objectives of the Enlisted Performance Evaluation System we now desire

to analyze the current means of attaining those objectives, the NAVPERS 792 Form (Figures 14 & 15). Specifically, we desire answers to the following questions:

1. Is the format of the form acceptable in the light of such a wide and varied number of uses?
2. Does the form provide traits or factors which measure the qualities necessary for the achievement of each use?
3. Does the form aid in controlling bias on the part of the rater?
4. Are the standards of each of the form traits or factors clear to all users and do they mean the same to all raters?
5. Are the standards valid for all groups being graded?

Question 1.

The format of the form used by a system is arbitrary to a degree because of the wide variety of arrangements that are available. The format used, however, must be based on attainment of the system objectives. The present Navy form is the Scales Method Type discussed in Chapter II. It has the same general advantages and disadvantages of any other scales method form, and there is no reason, as long as these advantages and disadvantages are known, why this form is not valid for use in reaching the objectives which the Navy has set, Items 1-8 above. This statement is made with reservation because some of the objectives require evaluations on a form other than that of the regular performance evaluation form, NAVPERS 792. This leads us to believe that:

1. The format is not of the type which can readily be used in the system for all objectives or,

REPORT OF ENLISTED PERFORMANCE EVALUATION
NAVPERS 792 (Rev. 6-65)
0105-403-8001

PERIOD OF REPORT
_____ To _____

NAME (Last, First, Middle)	SERVICE NO	RATE ABB.	PRESENT SHIP OR STATION

INSTRUCTIONS

1. For each trait, evaluate the man on his actual observed performance. If performance was not observed, check the 'Not Observed' box.
2. Compare him with others of the same rate.
3. If the major portion of his work has been outside his rate or pay grade during this reporting period, evaluate him on what he did. Describe what he did in the "Comments" section.
4. Pick the phrase which best fits the man in each trait and check left or right box under it. (Left box is more favorable.)

1. PROFESSIONAL PERFORMANCE: His skill and efficiency in performing assigned duties (except SUPERVISORY)

NOT OBSERVED	Extremely effective and reliable. Works well on his own.		Highly effective and reliable. Needs only limited supervision.		Effective and reliable. Needs occasional supervision.		Adequate, but needs routine supervision.		Inadequate. Needs constant supervision.	
☐	*								*	*

2. MILITARY BEHAVIOR. How well he accepts authority and conforms to standards of military behavior.

NOT OBSERVED	Always acts in the highest traditions of the Navy.		Willingly follows commands and regulations.		Conforms to Navy standards.		Usually obeys commands and regulations. Occasionally lax.		Dislikes and flouts authority. Unseamanlike.	
☐	*								*	*

3. LEADERSHIP AND SUPERVISORY ABILITY: His ability to plan and assign work to others and effectively direct their activities.

NOT OBSERVED	Gets the most out of his men		Handles men very effectively.		Gets good results from his men.		Usually gets adequate results.		Poor supervisor.	
☐	*								*	*

4. MILITARY APPEARANCE: His military appearance and neatness in person and dress.

NOT OBSERVED	Impressive. Wears Naval uniform with great pride.		Smart. Neat and correct in appearance.		Conforms to Navy standards of appearance.		Passable. Sometimes careless in appearance.		No credit to the Naval Service.	
☐	*								*	*

5. ADAPTABILITY: How well he gets along and works with others.

NOT OBSERVED	Gets along exceptionally well. Promotes good morale.		Gets along very well with others. Contributes to good morale.		A good shipmate. Helps morale.		Gets along adequately with others.		A misfit.	
☐	*								*	*

6. DESCRIPTION OF ASSIGNED TASKS

7. EVALUATION OF PERFORMANCE (E-5 and above include comment on ability in self expression and command, orally and in writing, of the English language)

* 8. THESE ITEMS MUST BE JUSTIFIED BY COMMENTS IN ADDITION TO THOSE IN ITEM 7 ABOVE

9. REASON FOR REPORT (X)	10. DATE	11. SIGNATURE OF REPORTING SUPERIOR
☐ SEMIANNUAL ☐ TRANSFER ☐ OTHER _____		

Figure 14
(Front)

Current Report of Enlisted Performance Evaluation, NAVPERS 792

NAVPERS 792 (Rev. 6-65) BACK

12 [illegible] SCHOOL(S) ATTENDED DURING PERIOD OF THIS REPORT

INCLUSIVE DATES	SCHOOL	GRADUATED (YES-NO)	CLASS STANDING

13 SPECIAL QUALIFICATIONS NOT INDICATED BY RATING OR PRIMARY NEC ATTAINED DURING PERIOD OF THIS REPORT

14 OFF-DUTY EDUCATIONAL ACHIEVEMENTS *(USAFI, college courses, correspondence courses, etc.)* COMPLETED DURING PERIOD OF THIS REPORT.

Figure 15
(Reverse)

Current Report of Enlisted Performance
Evaluation, NAVPERS 792

2. It is incomplete in content or,
3. Both 1 and 2.

Consider, as an example, the objective which calls for the use of the system to assist special boards in selecting personnel for special duties (Item 7). While the present form is adequate for an initial screening of personnel requesting such duties, (i.e., Recruiting Duty, Instructor Duty, and overseas shore duty) in every case a special evaluation or endorsement is required before actual assignment to the special duty is made. For instance when a person requests Recruiting Duty he must be evaluated by his commanding officer in accordance with the following personal characteristic requirements:

"a. Are the individual's character traits, sense of humor and forcefulness as evidenced by his habits and daily life on board ship considered above average?
b. Does the individual give positive evidence of being completely convinced of the advantages of a Navy career?
c. Does the individual appear to have the ability to meet the public and have the personal qualifications for independent duty?
d. Is the individual persuasive in conveying ideas and information whether in personal contact or in writing?
e. Does the individual have a cooperative attitude as indicated by helping others?
f. Does the individual have initiative and ability to successfully present to and convince others to accept his ideas?
g. Has the individual the ability to converse intelligently on Navy and general subjects and current events?
h. Has the individual demonstrated his ability to deal successfully with problems involving ideas and people utilizing his own initiative?
i. Is the individual without a speech defect, or a marked foreign accent and does he make a presentable appearance?
j. Does he have a clear record and give evidence of financial stability and sobriety insofar as the command-

ing officer can determine by inspection of current service record and interrogation of the individual. (A clear record is interpreted as one which does not contain official entries indicating a conviction by court-martial or nonjudicial punishment awarded at Captain's Mast during the past 24 months.)

k. Does the individual hold a valid state vehicle operator's license?

l. Is his GCT score 50 or above? Personnel qualified in all other respects but who do not meet the GCT requirements should be encouraged to request basic battery retest. GCT score must appear in block 11 of the rotation data card."(9)

Each of the above questions must be answered by a yes or no answer. A negative reply is considered disqualifying. Here then is one example of an evaluation, albeit a special one, which is not adaptable to the scales method type form, and yet it is in current use by the Navy. To be sure these characteristics could be included as a part of a revised NAVPERS 792 form, perhaps of the check list type, and there would be no need for a special evaluation. That they should be a part of the regular evaluation is attested to by the fact that the Commanding Officer should have as much recorded data as possible, preferably over a reasonable length of service, to assist in his special evaluation if it were still required after the above questions had been recorded by a regular evaluation. There are also examples of special evaluations being required by some of the other objectives, namely the uses listed in items 5 and 6. While it is agreed that special evaluations will probably always be necessary, much of the information required by these special evaluations could be

recorded on a revised NAVPERS 792 form, and pertinent data could be collected over a man's entire career which could show character trends that would not otherwise be available from a spot evaluation, or from just one or two.

Careful examination of the NAVPERS 792 form also reveals that the scales have all been arranged in a descending order (4.0 to 1.0) from left to right. This permits the "halo effect" to creep in and perhaps alteration of the scales might help. Use of this technique has already been discussed in Chapter I.

Question 2.

Does the form provide traits or factors which measure the qualities necessary for the achievement of each use? Analysis done thus far indicates that the NAVPERS 792 does not provide the correct traits for all uses. The reasons as to why not will be analyzed on a use by use basis.

Let us consider first the traits necessary to attain the first objective, use of the system in determining who to reenlist (Item 1). Since there are so many qualifications and requirements which bear on reenlistment we have summarized them in Appendix A. Many of the qualifications and requirements depend on factors which are not on the NAVPERS 792 and correctly so, since information regarding them is contained elsewhere in an individual's service record and would only be redundant on the NAVPERS 792 if placed there.

There are however, two requirements for re-enlistment which could and should be included for measurement on the NAVPERS 792 and these are:

1. Ability of the man to handle his personal affairs.
2. Ability of the man to handle his financial affairs. (i.e., to control his indebtedness)

There are several reasons as to why these factors should be subjected to measurement and they can be summarized as follows:

1. Both factors concern military behavior, which is already on the form.
2. Both factors affect the opinion that people outside of the Navy have of the Navy in general.
3. Personnel who have problems with these characteristics are an administrative burden to no small degree.
4. Standards need to be set for these traits to insure that it is abundantly clear to everyone concerned what the consequences are of mismanagement in these areas.

We have already mentioned that there are cases where men meet the minimum qualifications grade wise for re-enlistment but are not necessarily desired for re-enlistment. The Navy recognizes this fact and provides for administrative action outlined in BUPERS Manual, para. 1403, to take care of this contingency. While the number of such cases is probably small, they do serve to point out that there are some factors or characteristics we desire to measure that have not been measured in the past. Look for example at the minimum performance evaluation grades required for first re-enlistment--a final average of 2.7 and a minimum average of 3.0 in Military

Behavior for the last 12 months. One can imagine the case of a man with a final average of 2.7 overall whose series of marking period averages were:

2.6)	
2.8)	First Year of Service
3.0)	
3.0)	Second Year of Service
2.8)	
2.6)	Third Year of Service
2.52)	
2.28)	Fourth Year of Service
2.70	Final Average

The Fourth Year Grades and averages could have come from marks as follows: (two marking periods)

Factor	First Evaluation Grade	Second Evaluation Grade
Professional Performance	2.6	2.0
Military Behavior	3.2	2.8 *
Leadership & Supervisory Ability	2.0	2.0
Military Appearance	2.0	2.0
Adaptability	2.8	2.6
Average	2.52	2.28

* 3.0 average for last 12 months.

Here is a case of a man who peaked in his overall performance during his second year and has been going downhill for the past two years. He still meets the minimum requirements for re-enlistment as far as the performance evaluation is concerned, and if we assume that he meets all the other requirements then he can request re-enlistment with no reason, in his mind, as to why he shouldn't be re-enlisted. The reason he meets the requirements for re-enlistment is due to the use of

averages--the relatively good marking periods kept him above or at the minimum. If there were a requirement that a man be evaluated or marked as to whether he had improved or regressed in his performance then perhaps this could be made a part of the requirement for re-enlistment and prevent such cases from meeting the requirements. Incorporation of this technique on the form is no problem, but changing the requirement for re-enlistment may be. The problem bears looking into and it will be considered in Chapter III.

How about the other uses of the system? Are the correct traits necessary to implement them on the form? We believe that for Items 5, 6, 7, and 8 all of the traits are not on the form and apparently neither does the Navy in light of all the special evaluations that are required for these uses. An example of a special evaluation being required for Item 7 has already been shown. Each of the other uses also requires a special evaluation which can be found in various Navy publications and instructions. The fact that a special evaluation is required indicates that assessment of qualities other than those presently on the form are needed. But is it fair to base a man's chances for promotion to commissioned service, assignment to special duty, or selection for a special educational program on a special evaluation of certain additional traits? Why not record evaluations of these traits over the man's entire career? This will prevent the man's commanding officer, who may have known him

for only a short time under special circumstances, from having to evaluate the man on only a limited amount of information and observation.

Question 3.

Does the form aid in controlling bias on the part of the rater? Bias means giving advantage to certain ratings or paygrades within ratings. It also means that it is easy for one factor, in which an individual scores highly or poorly, to influence his scores on other factors.

It has been shown that the form arrangement is susceptible to the "halo effect" by permitting the evaluator to go straight down the list of factors, marking each about the same with little attention paid to the different standards above each block checked. This is the second form of bias mentioned above.

To check the first form of bias one need only inspect Figures 16, 17, 18, 19, and 20 which were published in the "Report of the Secretary of the Navy's Task Force on Navy/Marine Corps Personnel Retention." Notice that in every case when the YN distributions are compared with the BT distributions the YN distribution means are always higher. We cannot accept the premise that rate for rate YN's are better than BT's on the average, and we will look for a logical answer elsewhere, as to why this bias in favor of YN's exists. Notice that within a rating (use the BT rating as an example) the distribution of BTC grades has a higher mean than the BT1

distribution and so on down the line. Again this indicates a bias in favor of the higher paygrades in a rating. Why do these bias' exist? There are probably many reasons but perhaps the most logical reason is that the standards for all ratings are the same and that all rates within a rating have the same standards. Whether this is a valid technique to use will be discussed further when we discuss Questions 4 and 5 which follow. At the moment we desire to point out that a bias does exist and ought to be eliminated.

Question 4.

Are the standards of each of the form traits clear to all users and do they mean the same for all raters? We submit that unless the reader knew beforehand what the numerical score was for the categories of standards listed below, all taken from the present NAVPERS 792 form, he would be unable to distinguish between the relative merit of each of them.

Factor	Standards
Military Behavior	1. Willingly follows commands and regulations. 2. Conforms to Navy standards.
Questions - Which should carry the highest grade? What does Navy standards mean? Where are they published?	
Leadership and Supervisory Ability	1. Handles men very effectively. 2. Gets the most out of his men. 3. Gets good results from his men.
Question - Which should carry the highest grade?	

Military Appearance

1. Smart. Neat and correct in appearance.
2. Impressive. Wears the Naval uniform with great pride.
3. Conforms to Navy standards of appearance.

Question - Which carries the highest grade? Should 3 not include 1 and 2, or shouldn't the Navy standard be a smart or impressive wearer of the uniform?

Even if a person is able to say what each of the above standards means and can rank them in the order shown on the NAVPERS 792 form, is it logical to believe that they mean the same to everyone? The quickest solution to this problem is to revise the standards and state them in more precise terms and perhaps provide standards which can be measured, or at least some which can be measured. This will be another of our objectives in Chapter III.

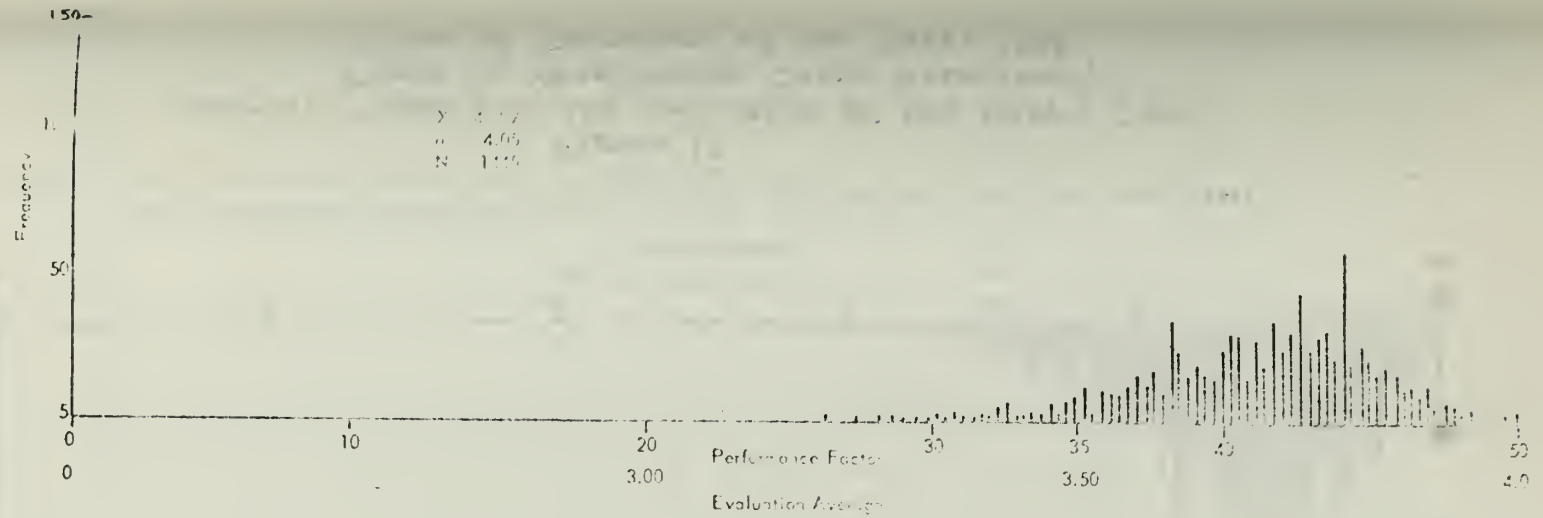
Question 5.

Are the standards valid for all groups being graded? Analysis has shown how the form is biased and it was suggested that one of the reasons might be the standards. Regardless of what the instructions say about comparing only men of equal rate within a rating, when one considers a standard such as "Gets the most out of his men" he tends to recall how he evaluated men of higher rates, say CPO's, PO1's and PO2's, when he evaluates his PO3's, and it becomes difficult to justify a 4.0 grade for a PO3 when some of the other rates received

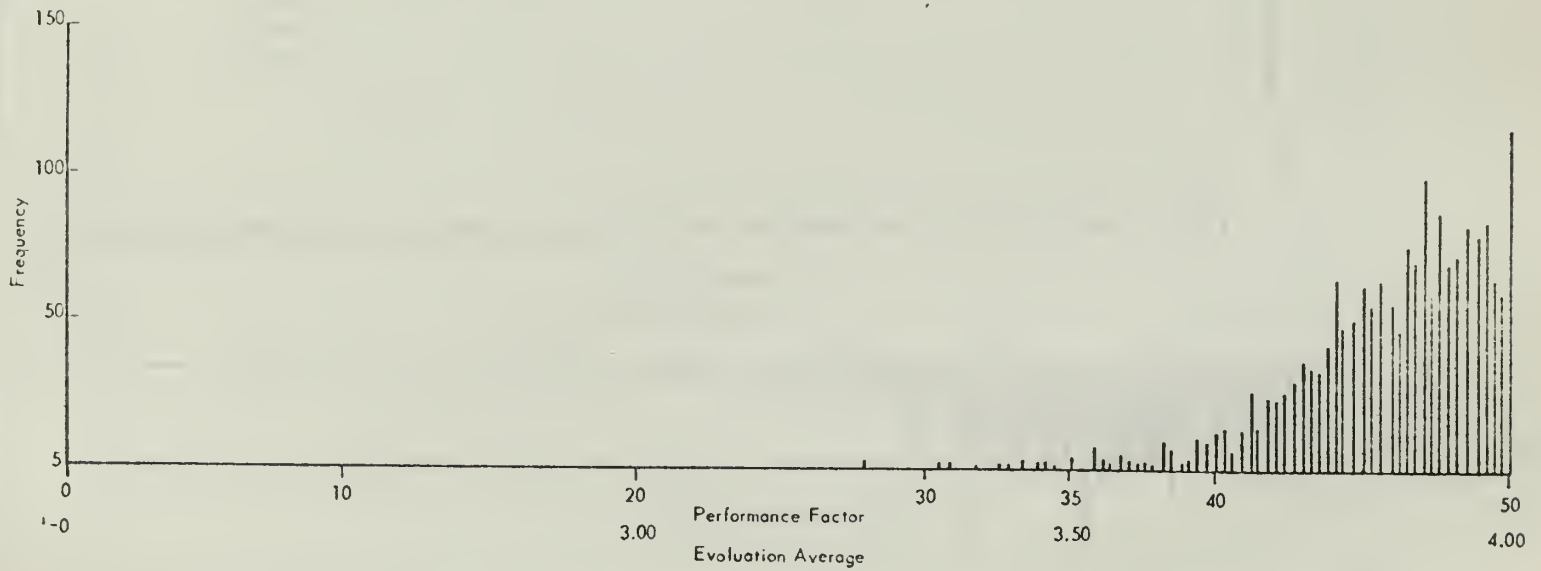
grades of 3.4. One of the reasons this is so is that the evaluator allows himself to think in terms of the numerical as well as descriptive standards. While a PO3 may well "Get the most out of his men" in comparison to other PO3's in his rating it remains difficult to assign a 4.0 to the PO3 when that is what the CPO or PO1 received. Lest the reader believe this is not so we ask him to look again at Figures 16, 17, 18, 19, and 20, and compare the number of PO3 who received grades of 4.0 to the number of, say CPO's who received grades of 4.0. We now ask, if the standards were tailored to each pay grade or rate within a rating should there not be the same number of PO3's who receive 4.0 marks as CPOs who received the 4.0 mark in comparison to their respective contemporaries. We believe the answer is yes and will try to rectify the situation as it currently exists when we move to the next chapter.

This concludes our analysis of the NAVPERS 792 Form. We have critized it in many areas but only because we desire to see it improved. Improvement does not necessarily mean total revision, nor does it mean doing away with all of the old framework of the system. Without the present NAVPERS 792 to use as a base of reference this thesis would not have been possible. It has served it's purpose well, but it is now time for a replacement which more aptly suits the men of today's modern Navy. Hopefully such a replacement has been

produced in Chapter III.

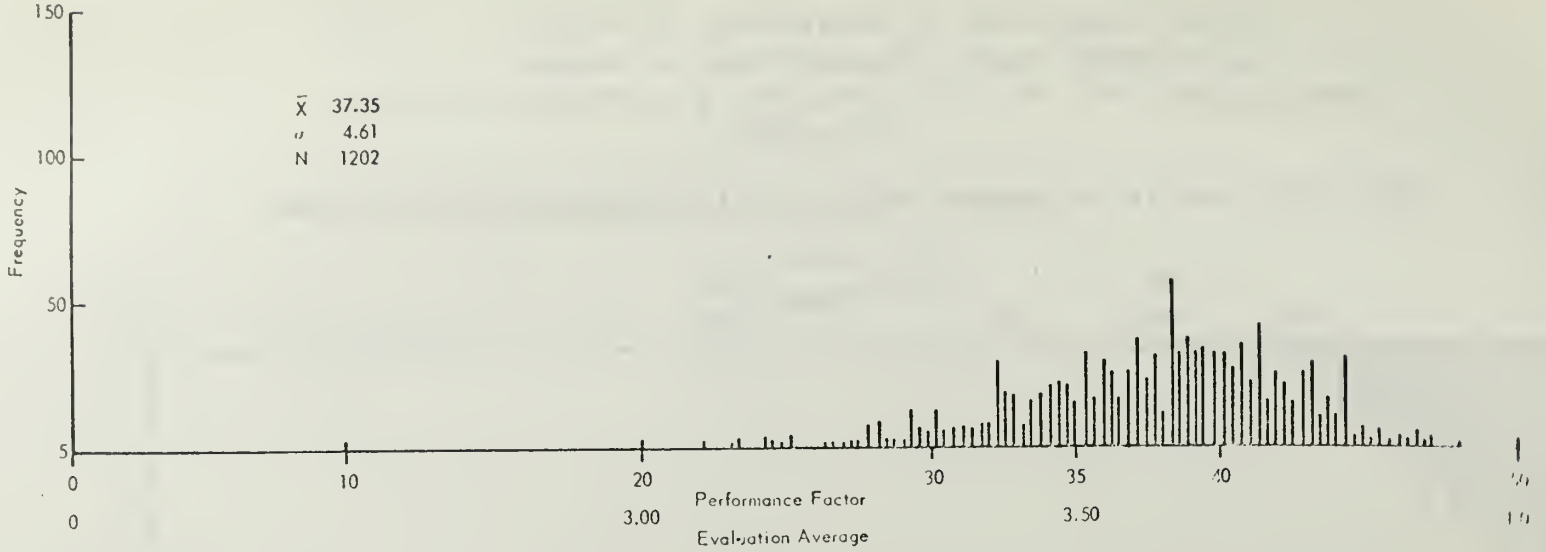


PERFORMANCE FACTOR EVALUATION, SERIES 38, AUGUST 1965--BTC

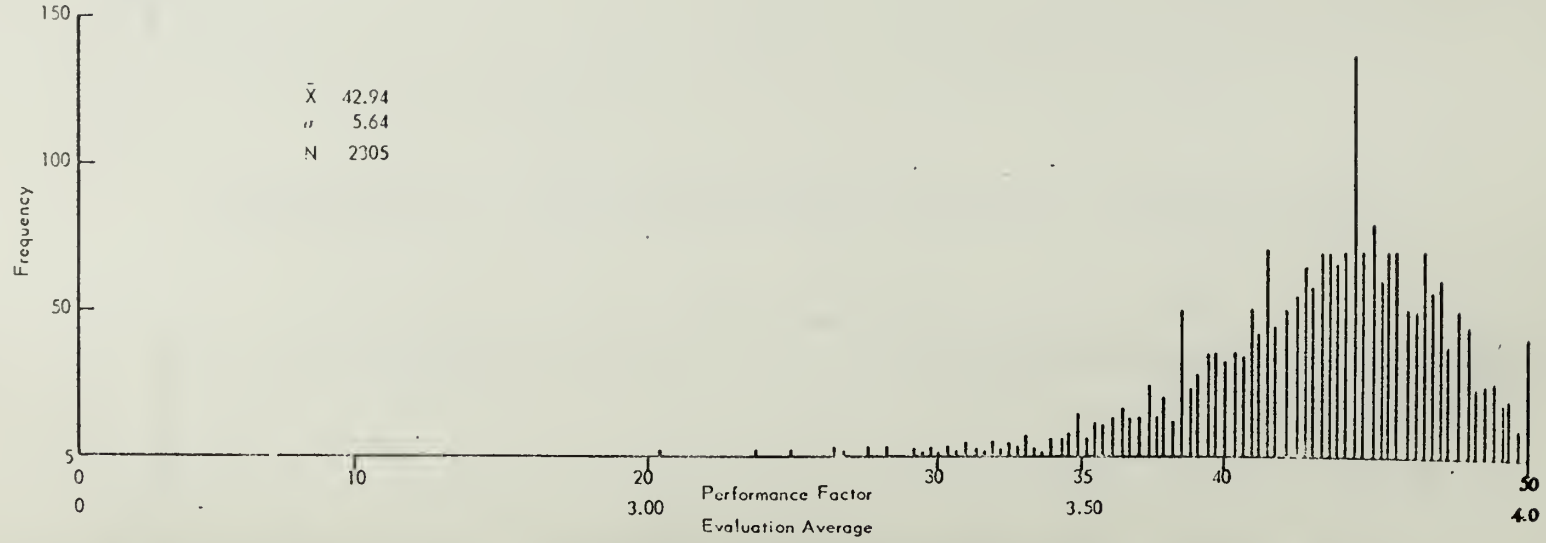


PERFORMANCE FACTOR EVALUATION, SERIES 38, AUGUST 1965—YNC

Figure 16
Source: "Report of the Secretary of the Navy's Task Force on Navy/Marine Corps Retention", Office of Secretary of the Navy, 1966

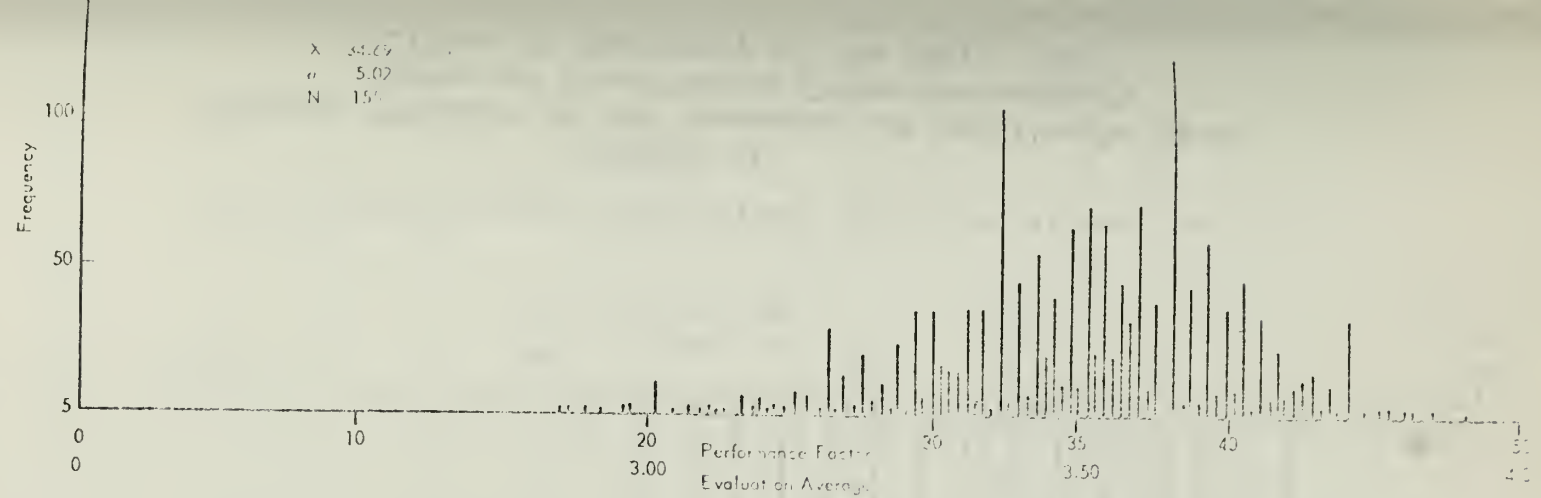


PERFORMANCE FACTOR EVALUATION, SERIES 38, AUGUST 1965—BT1

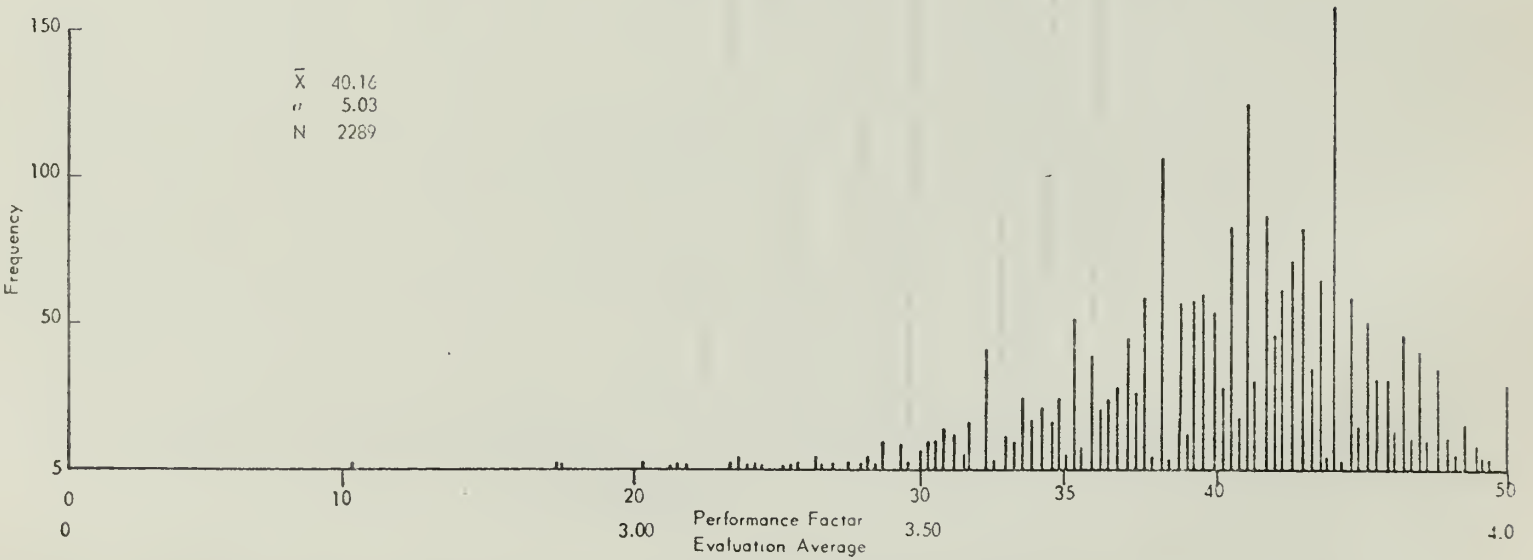


PERFORMANCE FACTOR EVALUATION, SERIES 38, AUGUST 1965—YN1

Figure 17
Source: "Report of the Secretary of the Navy's Task Force on Navy/Marine Corps Retention", Office of Secretary of the Navy, 1966

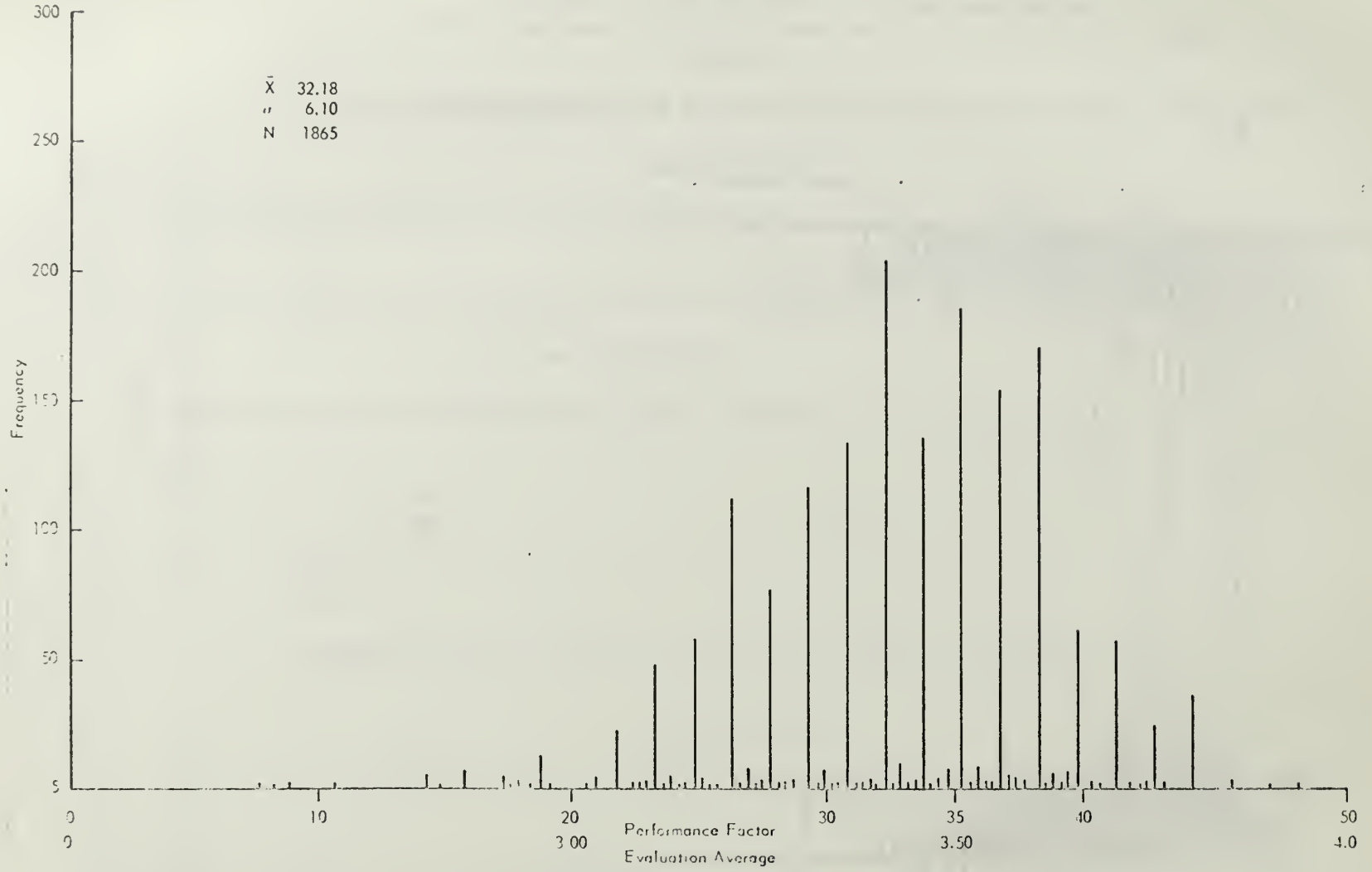


PERFORMANCE FACTOR EVALUATION, SERIES 38, AUGUST 1965—BT2



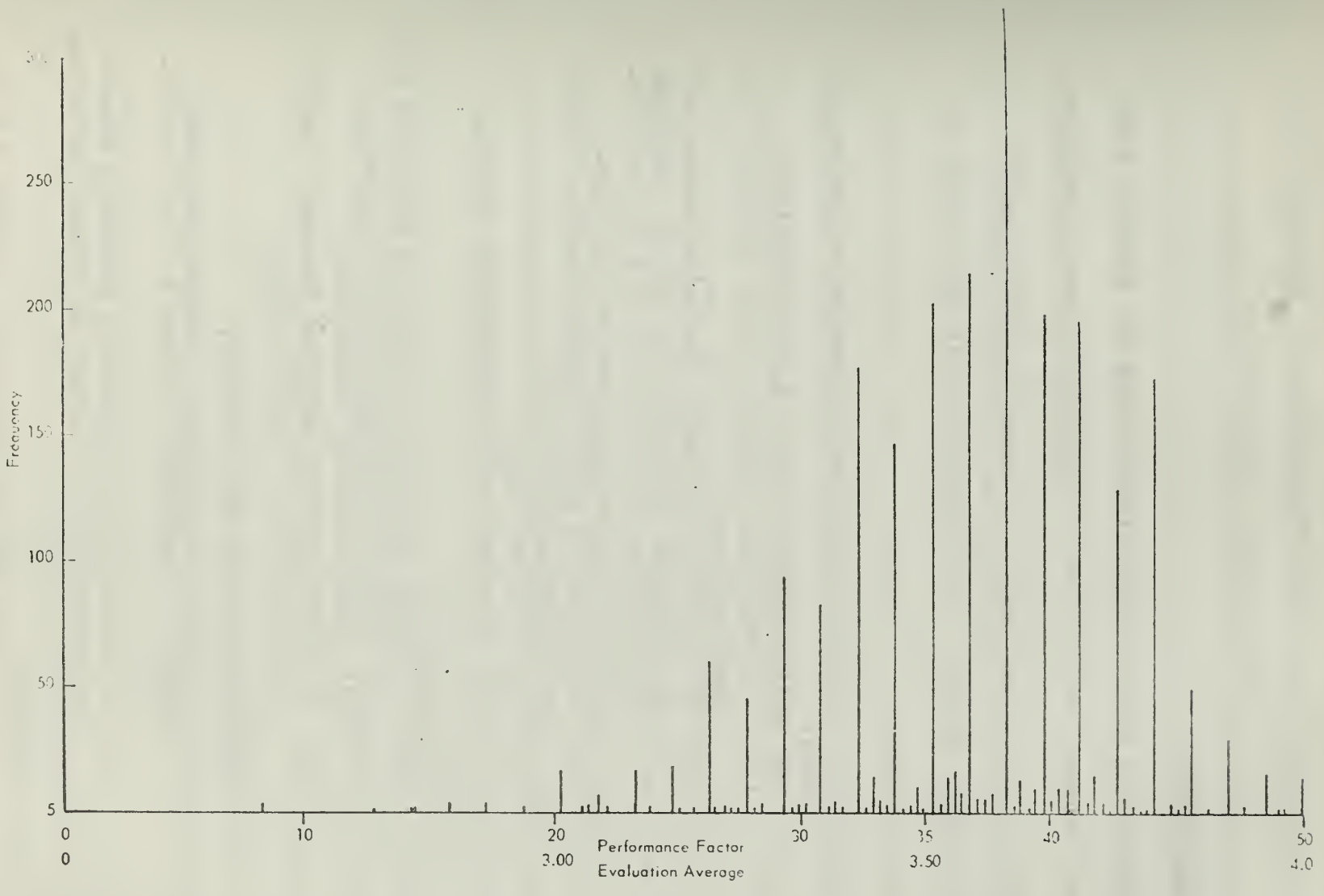
PERFORMANCE FACTOR EVALUATION, SERIES 38, AUGUST 1965—XN2

Figure 18
Source: "Report of the Secretary of the Navy's Task Force on Navy/Marine Corps Retention", Office of Secretary of the Navy, 1966



PERFORMANCE FACTOR EVALUATION, SERIES 38, AUGUST 1965--BT3

Figure 19
Source: "Report of the Secretary of the Navy's Task Force on Navy/Marine Corps Retention", Office of Secretary of the Navy, 1966



PERFORMANCE FACTOR EVALUATION, SERIES 38, AUGUST 1965—YN3

Figure 20
Source: "Report of the Secretary of the Navy's Task Force on Navy/Marine Corps Retention", Office of Secretary of the Navy, 1966

CHAPTER III

PROPOSED SOLUTIONS

1. Objectives.

Analysis in Chapter II revealed that the uses of the present Enlisted Performance Evaluation System should be expanded. This necessitates a change in Article C-7821 of the BUPERS Manual. It is proposed that the Article be changed to read:

C-7821 The Enlisted Performance Evaluation system is used:

1. RE-ENLISTMENT AND ADVANCEMENT
   (a) To determine eligibility of an individual for re-enlistment.
   (b) To positively influence the advancement of all personnel from E-1 to E-7 by assigning performance marks to be used in determining part of the advancement multiple.
   (c) As an aid to allow various selection boards to select personnel for:
      (1) E-8 and E-9.
      (2) Warrant and Commissioned status.

2. TRANSFERS
   (a) To assist detailers in selecting personnel for:
      (1) SEAVEY-SHOREVEY Transfers.
      (2) INTRA-SHIP Transfers.
   (b) To assist various selection boards in selecting personnel for special duties.

3. TRAINING AND EDUCATION
   (a) To assist commands in training individuals based on weakness revealed by their evaluations.
   (b) To assist various selection boards in selecting personnel for special educational programs.

4. AWARDS
   (a) To determine eligibility of an individual for Good Conduct Medals.
   (b) To determine eligibility of an individual for Honorable Discharge.

The reasons for changing the present uses have already been discussed in Chapter II. The above uses are offered as an example of a possible replacement and how these uses can be attained by our proposed revision to the NAVPERS 792 Form will be discussed in detail. Note also, that they include all of the old uses.

2. Proposed Revisions to the Current NAVPERS 792 Form.

An example of the proposed revision for use in evaluating technical ratings is shown in Figures 21 (Front) and 22 (Reverse). By technical rates we mean to imply rates such as ET's, FT's, ST's, BT's, BM's, MR's, GM's, MT's, QM's and the like who all work with items such as machinery, electrical or electronic equipment, boilers, missiles, deck equipment, and the like. The proposed revision cannot be used to evaluate personnel such as YN's, PN's, SD's, DK's, SH's, and other personnel whose duties are mainly administrative because of the breakdown of the professional performance factor. For these non-technical personnel, we have used the present standards. With the exception of this factor, the revised form could be used to evaluate administrative personnel, but we will limit our efforts in this paper to providing a better means for evaluation of the technical ratings.

For those familiar with the present NAVPERS 792 it might appear on the surface that only minor changes have been made. This was intentional, primarily because we felt that if

	Period of Report ____ to ____

Name (last, First, Middle)	Service No.	Rate Abb.	Present Ship or Station

INSTRUCTIONS: Read carefully the instructions in Appendix B before filling out. Be sure that the proper standards are chosen for each paygrade evaluated. If the major portion of his work has been outside his rating or paygrade during this reporting period evaluate him on what he did.

		Progress since last Report. Some	None	Regressed
1. PROFESSIONAL PERFORMANCE	Average of A and B ☐			
A. Operation of Equipment	1 2 3 4 5 Comment:	☐	☐	☐
NOT OBSERVED ☐				
B. Maintainance of Equipment	1 2 3 4 5 Comment:	☐	☐	☐
NOT OBSERVED ☐				
2. MILITARY APPEARANCE	5 4 3 2 1 Comment:	☐	☐	☐
NOT OBSERVED ☐				
3. LEADERSHIP AND SUPERVISORY ABILITY	1 2 3 4 5 Comment	☐	☐	☐
NOT OBSERVED ☐				
4. MILITARY BEHAVIOR				
A. Military Relations	5 4 3 2 1 Comment	☐	☐	☐
NOT OBSERVED ☐				
B. Non-Military Relations	1 2 3 Comment	☐	☐	☐
NOT OBSERVED ☐				
5. ADAPTABILITY	1 2 3 4 5 Comment	☐	☐	☐
NOT OBSERVED ☐				

6. REASON FOR REPORTING	7. DATE	8. Signature of Reporting Senior.
☐ Semi-Annual ☐ Transfer ☐ Other _____		

Figure 21

Proposed Revision to Current NAVPERS 792
(Front)

SPECIAL QUALIFICATIONS SECTION

9. NEC'S (List the number of each one assigned)

1. _____ ☐
2. _____ ☐
3. _____ ☐

Place the appropriate number in the box to the left.

1. Fully Qualified
2. Partially Qualified but not for independent duty.
3. Not Qualified, removal of NEC recommended.

10. ITEMS REQUIRED BY VARIOUS SELECTION BOARDS (Required for E-5 and above.)

	YES	NO	NOT OBSERVED
1. Can the man express himself well in writing?	☐	☐	☐
2. Can the man express himself well orally?	☐	☐	☐
3. Is the man convinced of the advantages of a Navy career?	☐	☐	☐
4. Does the individual have a cooperative attitude as indicated by helping others?	☐	☐	☐
5. Does the individual have the ability to converse intelligently on Navy and general subjects and current events?	☐	☐	☐
6. Does the individual appear to have the ability to meet the public and have the qualifications for independent duty?	☐	☐	☐
7. Does the individual attempt to further his own education by taking training courses, attending on and off command classes when possible, or by using any other means available to him?	☐	☐	☐

DESCRIPTION OF TASKS ASSIGNED

1. Professional Duties and Tasks Assigned (List billets occupied, equipment responsibilities, CQ station if for this rating, etc.)

2. Military Duties Assigned (List CQ stations if out of rating, watches qualified for and any other special teams or parties of which the man might be a member.)

3. New Qualifications Since Last Report

Figure 22

Proposed Revision to Current NAVPERS 792
(Reverse)

our proposal was to meet with any degree of acceptance it must remain patterned after what is currently being used. We did not, for example change any of the five basic factor headings, i.e., PROFESSIONAL PERFORMANCE, MILITARY BEHAVIOR, LEADERSHIP and SUPERVISORY ABILITY, MILITARY APPEARANCE, and ADAPTABILITY. Several changes that were made are these:

1. Description of Factors Expanded.

2. PROFESSIONAL PERFORMANCE factor subdivided into:
   a. Operation of equipment.
   b. Maintenance of equipment.

3. MILITARY BEHAVIOR factor subdivided into:
   a. Military Relations.
   b. Non-Military Relations.

4. Deletion of Standards from form in order to:
   a. Be able to use the same basic form for all technical ratings and paygrades.
   b. Be able to have different standards for different paygrades.

5. Addition of a special Qualification section to assist special boards and detailers, and to provide long range data for special evaluations.

6. Wrote a complete set of instructions for using the proposed form. (Appendix B)

A comment section was included under each factor and a column was added to indicate improvement since the last report. Scales were altered to prevent the "halo effect."

Each change made was carefully considered and the decision to include any particular change was arrived at only after it could be justified as assisting in meeting our proposed objectives.

How each of the changes helps meet the objectives of the system will be discussed below:

CHANGE 1. Description of Factors Expanded. The factor descriptions were expanded in order to insure that all evaluators knew exactly what the man was being evaluated on. For example, the description of Operation of Equipment under PROFESSIONAL PERFORMANCE, which is shown in the instructions in Appendix B, reads as follows:

> Operation of Equipment: Consider how well a man can use and operate equipment systems on board pertaining to his rating. Include his knowledge of its capabilities, limitations and operating characteristics. If its use requires logs and records be kept then consider this administrative aspect also. Do not consider maintenance or supervisory ability.

This defines, as precisely as we could define it, just what the term operation of equipment is supposed to mean. While one might argue with the completeness of our definition it is at least clear as to what is to be measured and observed using this description.

This change, then, was incorporated to assist in attaining all of the system objectives by increasing the preciseness of each factor.

CHANGE 2. PROFESSIONAL PERFORMANCE Factor Subdivided. The reason for this change was manifold. One, we wanted to call to the attention of evaluators that professional performance in regards to technical rates consisted basically of two factors, operation of equipment and maintenance of equip-

ment. We included the administrative tasks associated with these two factors in their description. If only the single term, professional performance, is used as a factor, then the evaluator must integrate in his mind the man's relative worth as an operator and maintainer. This is fine as long as a man does equally well in both, but bias can develop if he does one much better than the other. In other words conceivably there are cases where a man might be the best operator on board but only an average maintenance man, or vice versa. This could lead to his operation ability grade affecting his maintenance ability grade. Secondly, we wanted the detailers to have a breakdown of this information to assist in placing personnel into billets. Suppose, for example, that a ship requests a man with a very good maintenance capability to replace one they are losing who has been the key man in maintaining several vital equipments on board. While the detailer would like to satisfy this request, at present he has little, if any, information regarding this specific factor. Using our evaluation technique, he would have. Finally we desired to have the breakdown into two factors in order to be able to assist in pinpointing specific weaknesses in order to train men more effectively and to help them improve themselves. If a man is allowed to see his marks in these two categories he can then decide where the most need for improvement lies. Of course the old system allows for this, too, but our standards for the two traits,

which will be discussed shortly, seem to point out more specific weaknesses and are more suited for comment than the old ones.

This change then helps achieve several objectives. It can still be used to assist in determining who to re-enlist, award Good Conduct Medals, and Honorable Discharges to, and in general all the other uses it had before. In addition it can be used to help in training men and assisting detailers in better personnel placement. Note too, that there is still an overall performance mark assigned. For details see Appendix B.

CHANGE 3. MILITARY BEHAVIOR Factor Subdivided. This factor was subdivided to call to the attention of evaluators the fact that a man's non-military relationships are as much a part of Military Behavior as his military relationships. The instructions in Appendix B require that one one of the three blocks be checked for non-military relations and that no numerical grade be assigned to it specifically. It does, however, affect or limit the grade that can be assigned to military relations by overiding all other considerations when a satisfactory or unsatisfactory block is checked. By including this breakdown on the form we are insuring that special boards who are considering personnel for special duties, and who require information of this type would have it over a man's entire career. It is not intended that those doing the evaluating become "Big Brothers" by including non-military relations on the

form, and the standards reflect this. They are outlined in Appendix B. Besides, these have always been considerations for eligibility for re-enlistment and we have only brought them out of their hiding place, BUPERS Manual, in order to insure they receive due consideration.

This change then assists in attaining the objectives of being able to use the system to help various boards select personnel for special duties, and hopefully improves and amplifies the information necessary to determine eligibility for re-enlistment.

CHANGE 4. Deletion of Standards From Form. Since we wanted to have a form for all technical ratings and for all paygrades within any particular rating, it was necessary to eliminate the standards from the form if we wanted different standards for different paygrades. Look at the standards for each factor in Appendix B and notice that they are broken up based on paygrades. In all cases the E-7 and E-6 standards are the same, but in some cases the E-5 and E-4 standards are different from the E-7 and E-6. In some cases the E-5 and E-4 standards are different. The decisio n as to how to separate the standards was an arbitrary one based solely on the opinion of the authors. While one may argue with the breakdown, or for that matter with the description of the standards themselves, it is felt that these are better standards than have previously existed and are more measurable and

observable than such standards as Outstanding, Excellent, Gets good results from his men, and the like.

As has been previously mentioned and as shown in Figures 16, 17, 18, 19, and 20 of Chapter II, there is a definite bias between paygrades within a rating and we have attempted to eliminate this bias by prescribing different standards for the different paygrades. Whether our standards will do the job will only be determined when our evaluation system has been tried. While others with more expertise in writing standards may be able to come up with some which are better in content and clarity than ours, we have clearly established the fact that expanded standards are needed. In fact, the standards will be the key factors in any attempt at improvement of the present Enlisted Performance Evaluation System. Thus, this change helps in achieving all objectives of the system.

CHANGE 5. Addition of Special Qualifications Section. This section was included for two reasons. First we wanted detailers to have more information on how well a man could perform in his subspeciality as indicated by an NEC. The need for this has already been pointed out in Chapter II. Although this information is still sparse, even using our system, it is a step in the right direction. Secondly we have mentioned in Chapter II that some items required on special evaluations might be included on the regular evaluation in order to gather data which would indicate trends. This is why we included

ITEMS REQUIRED FOR VARIOUS SELECTION BOARDS

in the Special Qualifications Section. We do not maintain that our system and form will do away with special evaluations but rather that it will be easier to fill them out because information required for some of them will have been recorded by several observers in the past.

CHANGE 6. Instruction Changes. Obviously when an evaluation system and form is changed the instructions for its use will have to be changed. This we have done in Appendix B. Hopefully they are clear and concise and will enable the reader to envision how he might evaluate his men.

As previously mentioned we have added a comment section under each factor, or traits within a factor. This was done so that the evaluator could point out specific weakness and strong points of an individual while they were still fresh in his mind (i.e., after assigning a grade based on a specific standard). The second new technique, the improvement section, was included to indicate to the man how he was doing over time.

We also made a minor change to the old Description of Tasks Assigned Section. We broke the duties assigned into military and professional components primarily to furnish this information, in an official manner, to a mans new duty section when he is transferred. We also included the "New Qualifications since Last Report" in this section.

These then are the changes made and why we made them.

The final analysis as to their relative worth can only be made if they, or changes similiar to them, are tried.

3. Comments Concerning the use of the Enlisted Performance Evaluation System to Affect Transfers.

That the Enlisted Performance Evaluation System could be used to assist in affecting transfers is attested to by the fact that the Navy already uses officers performance data as a determining factor in placing them in their next billets. Why not for enlisted personnel also?

Good performance should be rewarded in as many ways as possible. One way might be to shorten the sea duty tour of the truly outstanding individuals. We are not advocating that the tours be shortened for everyone, or that anyone has to serve on sea duty longer than is currently required for his rating and pay grade. Rather we are saying consider personnel with averages of, say, 3.8 or better as being eligible for transfer 3 months, or perhaps 6 months, early from sea duty to shore duty depending on the initial length of the sea duty tour. This would offer an incentive to everyone to improve, and could possibly result in a greater retention of outstanding individuals by recognizing their work and rewarding them for it in a tangible way. Another way the evaluation might be used would be to choose between individuals for a particular shore or sea duty billet on the basis of performance, all other things being equal or nearly so. These are just two of many possibili-

ties as looked at from the individual's point of view.

One might ask how does the Navy benefit from using performance marks as a determining factor in placement of enlisted personnel? The answer is obvious to us. If the Navy can place the right man in the right job at the right time that is efficient use of manpower. What better indication is there of how well a man is qualified for a billet than a history of his past performance? True, you have to pick the right rating and paygrade for a particular job to begin with, but from there on performance marks should come into strong consideration.

As indicated in Chapter II there will be ample room on the new NIMIS II data card to include a man's personnel evaluation grades, and even the information concerning his NEC's.

4. Areas for Further Improvement and Refinement.

We do not maintain that we have solved all of the problems of the enlisted evaluation system or that it could not be improved still further. What we have done, however, is limit our changes to those which we felt would meet with acceptance and approval in the Bureau of Naval Personnel at this time. We are aware of several areas of still further improvement and will point them out in the way of recommendations. These recommendations are:

1. Determine what weights should be given to the items

under PROFESSIONAL PERFORMANCE for each naval command or for each of the technical ratings. We have left this to the discretion of the commands concerned at present. Perhaps the weights could be arrived at by a concensus of commands of similiar types (i.e., Destroyers might desire to weight them 50-50 whereas a shore establishment might desire 40-60).

2. Investigate the possible use of multiple graders. The several advantages of multiple graders are listed in Chapter I.

3. Expand our system to include the non-technical rates as well, by setting new standards such as ours.

4. Devise a new form to evaluate the E-8 and E-9 pay grades.

5. Use our system to determine if deletions or additions are desired in the Special Qualifications section. We have selected only some of the items required by special evaluations.

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2. Office of the Secretary of the Navy, Report of the Secretary of the Navy's Task Force on Navy/Marine Corps Personnel Retention, Vol I. (Washington: Government Printing Office, 1966), Chapter 3, p. 13.

3. Churden and Sherman, op. cit., p. 301.

4. Ibid.

5. George D. Halsey, Handbook of Personnel Management (New York: Harper and Brothers, 1953), p. 217.

6. John C. Flanagan and Robert B. Miller The Performance Record Handbook (Chicago: Science Research Associates, 1955), p. 6.

7. United States Navy Bureau of Naval Personnel, Bureau of Naval Personnel Manual Revised 1959, Change 12 (Washington: Government Printing Office, 1959), Article C-7828.

8. Office of the Secretary of the Navy, op. cit., Chapter 4, page 7.

APPENDIX A

CRITERIA WHICH MUST BE MET FOR FIRST ENLISTMENT

Paragraph C-7821c (10) (b) lists the basic criteria which must be met. The first is that the man must have a final overall average for all traits of at least 2.7 and a minimum average of 3.0 in Military Behavior for the last 12 months.

If the man meets that criterion his record is checked to see if he falls in any ONE of the following categories. If he does fall in one of these categories he may not be re-enlisted without the prior approval of the Chief of Naval Personnel.

GCT Score less than 42 AND minimum or below MARKS in Performance or Military Behavior	10 years or less education AND minimum or below MARKS in Performance or Military Behavior
GCT Score less than 42 AND have served continuously on active duty for a minimum of 30 months without advancing beyond paygrade E-2	10 years or less education AND have served continuously on active duty for a minimum of 30 months without advancing beyond paygrade E-2
GCT Score less than 42 AND have not passed Navy-wide examination to pay grade E-4 at expiration of enlistment	10 years or less education AND have not passed Navy-wide examination to pay grade E-4 at expiration of enlistment

If the man meets these criteria he must then be considered according to the criteria of Paragraph C-1403 (9) which is paraphrased as follows: Prior to re-enlistment a full evaluation of dependency status should be made to ensure that

personnel who are administrative liabilities should not be continued on active duty, e.g., personnel in lower paygrades who because of excessive dependents become administrative burdens because of indebtedness, restrictions on assignment, or frequent requests for special considerations.

Further criteria are established by paragraph 1403 (11) which states:

> "Married personnel E-3 and paygrade E-4 (less than 7 years service) if otherwise qualified may be reenlisted at the Commanding Officer's discretion provided:
>
> 1. No valid complaints have been made for non-payment of debts.
> 2. No valid complaints for nonsupport of wife, divorced wife awarded alimony by court decree or children, if any.
> 3. An adequate allotment has been or will be registered for wife, divorced wife awarded alimony by court decree, or children, if any.
> 4. Considered desirable retention material."

If the man does not successfully meet the criteria listed he may not be re-enlisted without the prior approval of the Chief of Naval Personnel. If the man does meet all the criteria and is not recommended for re-enlistment, a full explanation must be entered into his service record as to why he was not recommended.

PROPOSED HANDBOOK FOR PERSONNEL EVALUATORS

APPENDIX B

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General Instructions and Standards for all ratings and paygrades

INTRODUCTION

Purpose:

The purpose of this handbook is to aid you in evaluating your men in a fair, objective manner.

Discussion:

Your evaluation will have a strong influence on the promotion opportunity of each man you consider. It will also affect the promotion opportunity of all those he will be competing against in his paygrade. Your evaluation will be considered by a personnel detailer before he assigns the man to his next duty station. It will be used to determine if the man is eligible for reenlistment, honorable discharge, and the Good Conduct Medal. The evaluation is important to each man individually and to the Navy, but it all depends upon your attitude and effort. The time you invest in making these evaluations will pay excellent dividends to you, the man, and the Navy.

References Required:

In addition to this handbook and the evaluation forms, you should have available for reference those sections of the following publications which pertain to the ratings that you will be evaluating:

1. Qualifications for Advancement in Rating Manual (NAVPERS 18068)
2. Manual of Navy Enlisted Qualifications (NAVPERS 15105)

Instructions:

There are five basic traits to be evaluated:

Professional Performance
Military Behavior
Leadership and Supervisory Ability
Military Appearance
Adaptability

In addition, there are some special characteristics to be evaluated which are either explained fully on the form itself, or later in the instructions. The standards for each of the five basic traits are divided into five groups. All of the standards are described fully in Sections I through V. Group 1 describes the most desirable man and Group 5 the least desirable. On the evaluation form there is a block for each of the five groups alongside each of the traits. Each block is divided down the middle to provide a left section and a right section.

To evaluate a man, select one of the five groups which best describes the man being considered. If he meets all of the stated qualities within a group put a check in the left section of that block on the evaluation form. If he has some of the qualities for a group and all of the qualities for the next lower group, put a check in the right section of the higher group.

Whenever a grade is assigned in groups 4 or 5 you must make a comment giving the reason that grade is being assigned. The purpose of the comment is not to discourage the assigning

of such grades, but to ensure that they are not made casually. This comment will provide the basis for a service record entry which is required in such cases.

Professional Performance evaluation for non-technical ratings and non rated men who are not designated strikers will be done by using the standards in Section IC. The check mark will be made in the block for the appropriate group alongside Operation of Equipment. The Not Observed block should be checked for Maintenance of Equipment.

Professional Performance for technical ratings is divided into two categories, Operation of Equipment and Maintenance of Equipment. There is one set of standards for paygrades E-7 and E-6. There is another set of standards for paygrades E-5, E-4, and designated strikers. These standards and further instructions on their use are found in Section I.

The standards for Military Behavior and instructions in their use are in Section II. These standards apply to all paygrades.

The standards for Leadership and Supervisory Ability and instructions in their use are in Section III. There are three sets of standards, one for paygrades E-7/E-6, one for E-5, and another for E-4 and below

The standards for Military Appearance and their use are in Section IV. These standards apply to all paygrades.

The standards for Adaptability and their use are in

Section V. These standards apply to all paygrades.

The special qualifications sections of the evaluation form are self explanatory with the exception of that concerning the NEC evaluation.

The NEC evaluation is to be used almost exclusively by personnel detailers as an aid in assigning men with NEC numbers. The box checked has no effect upon any mark entered in his service record for the five basic traits. The mark should always be discussed with the man before being officially entered. If removal of the NEC number is recommended, a letter should be initiated in accordance with the procedures listed in the NEC Manual.

If the man is no longer qualified to handle the requirements of the NEC, it is in the best interests of the Navy, the man, and his command to have it removed since many assignments are made solely on the basis of a NEC requirement.

SECTION I

General Instructions for Professional Performance Evaluation

Before using the standards you should look through the sections pertaining to the man's rating in the Qualifications for Advancement in Rating Manual and the Navy Enlisted Qualification Manual. At the beginning of each of these sections you will find a paragraph which describes the areas of responsibility for that rating. In addition, the individual requirements listed in the Qualifications Manual for the paygrade involved should be considered. Bear in mind that the Qualifications Manual lists MINIMUM requirements only, and that you should rightly evaluate a man's ability with respect to all those requirements for advancement to his present pay grade. Some of the standards ask you to evaluate his ability to handle tasks normally the responsibility of a higher pay grade.

The overall Performance Evaluation will be based upon the marks assigned in the two component traits, Operation of Equipment, and Maintenance of Equipment. The overall mark will always be less than or equal to the higher grade and greater than or equal to the lower grade. The relative weight assigned to each of the two components will probably differ depending upon the rating concerned. The assignment of these relative weights for pay grades and ratings is the prerogative of the command, but the same relative weights should be used for each man in a given pay grade of a given rating. For

example, the relative weights for E-5 in the ET rating might be 0.3 for Operation of Equipment and 0.7 for Maintenance of Equipment. The weights for E-5 in the FT rating might be 0.5 and 0.5 in the same command. The Overall Performance grade will not normally be entered until the initial evaluations made by the leading petty officer and Division Officer have been reviewed by the Head of Department.

SECTION IA1

Operation of Equipment by Technical Ratings

Consider how well a man can use and operate equipments and systems on board pertaining to his rating. Include his knowledge of its capabilities, limitations, and operating characteristics. If its use requires logs and records to be kept then consider this administrative aspect also. Do not consider maintenance or supervisory ability.

See general instructions at beginning of this section.

Standards for Paygrades E-7 and E-6

Group 1 Can operate all equipment pertaining to his rating with such proficiency and skill that his ability is unsurpassable and capable of being equalled by only a few. Fully reliable under all operating conditions. Never requires supervision to operate any equipment. Equipment knowledge leaves nothing to be desired.

Group 2 Can operate all equipment on board pertaining to his rating with skill and confidence. Tempo of operations and environment rarely affect his performance. Requires supervision only when faced with extremely unusual situations. Further equipment knowledge desired in only one or two cases.

Group 3 Can operate all equipment on board pertaining to his rating, but requires more experience to develop his skill and proficiency. Operating conditions limit his capability and capacity only when the tempo is fast or prolonged in nature. Requires supervision for only

a very few routine situations. Further equipment knowledge required.

Group 4 Can operate most equipment on board pertaining to his rating, but requires more experience, study, and application to increase his skill and proficiency. Equipment knowledge is such as to limit his ability to handle other than simple operations unless supervised.

Group 5 Proficiency and skill in operating equipment is so poor that the man is of little worth. Knowledge of equipment is sketchy and behind times. Not familiar with current techniques. Easily bogged down even in routine situations. Requires supervision on routine tasks.

SECTION IA2

Operation of Equipment by Technical Personnel

See general instructions at beginning of this section.

Standards for Paygrades E-5, E-4 and Designated Strikers

Group 1 Can operate all equipment on board pertaining to his rating for which this paygrade is responsible with the skill and proficiency usually expected only of higher paygrades. Adept in adjusting to changing operating tempo and environmental conditions. Requires no supervision for tasks which are the responsibility of his paygrade, and little supervision for tasks normally the responsibility of higher paygrades. Exhibits equipment knowledge usually required of next two higher paygrades.

Group 2 Can operate all equipment on board pertaining to his rating for which his paygrade has responsibility with a proficiency which generates confidence on the part of seniors. Operating tempo and environmental conditions rarely affect his performance. Requires little, if any supervision for tasks which are the responsibility of his paygrade. Equipment knowledge for this paygrade requirements leave nothing to be desired, and shows considerable knowledge normally required for the next higher paygrade.

Group 3 Can operate all equipment on board pertaining to his

rating for which his paygrade has responsibility, but requires more experience to develop skill and proficiency. Unusual operating tempo and/or environmental conditions of a sustained nature sometimes degrade his performance. Requires supervision for a few tasks pertaining to his paygrade. Equipment knowledge for this paygrade leaves nothing to be desired.

Group 4 Can operate most equipment on board pertaining to his rating for which his paygrade has responsibility, but requires more experience, study, and application to increase his skill and proficiency. Unsure of himself in many situations and adjusts to changing requirements slowly. Increased equipment knowledge required both in content and scope. Requires supervision for many routine tasks.

Group 5 Operating skill and proficiency unreliable even for routine tasks. Equipment knowledge is incomplete or totally lacking in most areas. Makes little or no effort to improve. Requires supervision on routine tasks in most cases.

SECTION IB1

Maintenance of Equipment by Technical Ratings

See general instructions at beginning of this section.

Standards for Paygrades E-7 and E-6

Group 1 Fully capable of maintaining all equipment on board for which his rating is responsible, regardless of tempo of operations or environmental conditions, in a manner which few can equal and none can surpass. Equipment failures are diagnosed and repaired efficiently and rapidly with no wasted effort. Never requires supervision pertaining to maintenance of equipment. All work is of highest quality.

Group 2 Fully capable of maintaining all equipment on board for which his rating is responsible. Increased tempo of operations or taxing environmental conditions reduce his effectiveness only slightly. Equipment failures are diagnosed and repaired effectively without long delays. Requires supervision pertaining to maintenance of equipment only in unusual circumstances. All work is of very high quality and some is of highest quality.

Group 3 Fully capable of maintaining all equipment on board for which his rating is responsible. Equipment failures are diagnosed and repaired effectively. Requires very little supervision pertaining to maintenance of equipment. All work is of high quality.

Group 4 Capable of maintaining most equipment on board for which his rating is responsible. Knowledge of some equipments is not sufficient at present. Occasionally cannot diagnose or repair equipment failures regardless of time available. Requires a noticeable amount of supervision pertaining to maintenance of equipment.

Group 5 Unable to maintain a majority of equipment on board for which his rating is responsible. Knowledge of equipment is inadequate for this paygrade. Normally has difficulty diagnosing or repairing equipment failures. Requires a level of supervision pertaining to equipment maintenance normally given to lower paygrades.

SECTION IB2

Maintenance of Equipment by Technical Ratings

See general instructions at beginning of this section.

Standards for Paygrades E-5, E-4 and Designated Strikers

Group 1 Fully capable of maintaining all equipment on board for which the next higher paygrade is normally held responsible. In addition, can maintain many equipments for which paygrades beyond the next higher are normally responsible. Requires supervision at a level normally given to an average petty officer in the next higher paygrade. All work is of very high quality and a majority of work is of the highest quality expected from this paygrade.

Group 2 Fully capable of maintaining all equipment on board for which this paygrade is normally held responsible and much of the equipment for which the next higher paygrade is responsible. Requires much less supervision than is normally given to this paygrade. All work is of high quality and some work is of the highest quality expected from this paygrade.

Group 3 Fully capable of maintaining all equipment on board for which this paygrade is normally held responsible. Requires a level of supervision normal for this paygrade. Most work is of high quality and all work is of good quality.

Group 4 Capable of maintaining most equipment on board for which this paygrade is normally held responsible. Requires more supervision than normally given to this paygrade. All work is acceptable and much of it is good.

Group 5 Capable of doing only the easiest maintenance jobs normally assigned to this paygrade and jobs normally assigned to the next lower paygrade. Requires close supervision. Quality of most work is barely adequate and some of it is unacceptable.

SECTION IC

Professional Performance Standards for Non-Technical Ratings and Non-Strikers

See first paragraph of general instructions at beginning of this section.

Group 1 Extremely effective and reliable. Works well on his own. (If mark is placed in left section of block, comment is required.)

Group 2 Highly effective and reliable. Needs only limited supervision.

Group 3 Effective and reliable. Needs occasional supervision.

Group 4 Adequate, but needs routine supervision.

Group 5 Inadequate, needs constant supervision.

SECTION II

General Instructions for Military Behavior

You are to evaluate each man on two traits.

1. Military Relations
2. Non-Military Relations

Non-Military Relations has three groups instead of the normal five for other traits. The grade in this trait is not converted to a numerical grade for entry into the service record as are all the others, but a mark of satisfactory or unsatisfactory in it does put an upper limit on the mark which may be assigned in Military Relations. The intent behind this trait is NOT to pry into a man's personal life in any way, but rather to identify those few men who are consistent administrative liabilities. Accordingly, it is emphasized that unless a valid complaint has been officially made to the command, NO QUESTIONS are to be asked concerning this trait and a mark of good checked.

A valid complaint concerning a man's financial affairs is defined as one in which a letter of indebtedness is received and verified in accordance with BUPERS Manual paragraph 11104A.

A valid complaint concerning a man's personal affairs is one made to the command in writing which contains sufficient information to warrant the command's attention.

TRAIT - MILITARY RELATIONS

Consider how well the individual accepts authority, follows regulations, observes courtesies and tradition, regards the Naval profession and those in it. The degree, manner and spirit of acceptance and conformity are the differentiating factors.

Standards for All Paygrades

Group 1 Has a well founded knowledge of military courtesies, regulations and traditions, Always observes them in an exemplary and spirited manner, and inspires others to do the same. Exhibits respect for the Naval profession in the presence of juniors and seniors alike. Well mannered, respectful, and tactful when dealing with everyone. Never puts himself, his command, or the Navy in an embarrasing position or unfavorable light. No civil or military offenses during the period. No entries in the Unit Punishment Book.

Group 2 Always follows orders and regulations. Observes military courtesies and traditions willingly. Exhibits respect for the Naval profession. Well mannered and respectful when dealing with seniors and juniors. Dependable. No military or civil offenses of official record during the period.

Group 3 Obeys commands, conforms to regulations and observes military courtesies and traditions, but sometimes without spirit. Respectful of all seniors. Abrupt at times with juniors. Normally dependable. No military or civil offenses of official record during the period.

Group 4 Occasionally lax in obeying commands and regulations. Questionable dependability. No more than one summary court-martial conviction or not more than two minor offenses (NJP and/or civil) during the period.

Group 5 Unsatisfactory conduct. Dislikes and flouts authority. Undependable. Repeatedly commits minor military and civil offenses, or convicted by court-martial for a major offense during the period.

TRAIT - NON-MILITARY RELATIONS

Consider only those affairs that are of such a nature as to reflect on the Navy. Consider degree of sobriety, unusual complaints of neglect of family, or complaints made by other than military personnel which, while not of the nature to bring civil or criminal suit, do bring discredit to the Navy and embarass the command. Do not consider petty family quarrels or neighborhood grievances which may be called to the command's attention. Invalid complaints are to be disregarded.

Group 1 Good. No valid complaints from any source.

Group 2 Satisfactory. Only one valid and corroborated complaint of a minor nature during this marking period. Not a recurring problem.

Group 3 Unsatisfactory. More than one valid and corroborated complaint in this marking period.

Use of Non-Military Trait

This trait is not converted to a numerical mark in the man's service record, however, if a mark of Satisfactory or Unsatisfactory is assigned, there is a restriction on the mark which may be assigned in Military Relations as shown below:

Satisfactory - Group 1 or 2 MAY NOT be checked in Military Relations.

Unsatisfactory - Group 1, 2, or 3 MAY NOT be checked in Military Relations.

SECTION III

General Instructions for Leadership and Supervisory Ability Evaluation

Before using the standards you should look through the Military Requirements section of the Qualifications Manual, particularly those sections which pertain to Training and Administration and Supervision. The requirements listed therein together with the supervisory requirements in the rating section of the Qualification Manual will provide you with the background information necessary to use the standards properly.

If the man is in paygrade E-3 or below and normally does no supervising, check Not Observed.

SECTION III A

Leadership and Supervisory Ability

See general instructions at the beginning of this section.

Standards for Paygrades E-7 and E-6

Group 1 Inspires the complete confidence of his juniors and seniors. Thinks clearly and acts decisively under great stress. Sets an example which few can equal, none surpass, and which his juniors and contemporaries use as their goal. Plans for all foreseeable conditions well ahead of time. His subordinates always work together as a cohesive, efficient team whose performance leaves nothing to be desired when he is present and very little to be desired when he is not present. Trains replacements for all subordinates and for himself as well. Fully qualified to be a leading division petty officer and assistant to division officer on any ship or station.

Group 2 Has the complete confidence of his juniors and seniors. Thoroughly dependable under stress. Sets an excellent example for his juniors. Always plans ahead. Subordinates work well and efficiently together under his supervision. Rarely requires supervision except for unusual situations. Fully qualified to be a leading division petty officer and assistant to division officer on any ship or station.

Group 3 Has the complete confidence of his juniors and seniors under normal tempo of operations and environment. Occasionally indecisive under stress, but normally dependable. Plans ahead most of the time. Insures that men under his supervision do a good job, but not always in an efficient manner. Most of the time requires no supervision.

Group 4 Juniors and seniors do not always have confidence in his ability to supervise activities and provide guidance. Does not always plan jobs properly. Requires back up supervision a majority of the time.

Group 5 Cannot supervise or lead at the level of responsibility required of this paygrade. Depends on others to tell him what has to be done.

SECTION III B

Leadership and Supervisory Ability

See general instructions at beginning of this section.

Standards for Paygrade E-5

Group 1 Extremely capable in planning and directing the work of others at a responsibility level normally assigned to higher paygrades. His subordinates work together willingly as a coordinated team with very little wasted effort. Plans ahead. Dependable under stress. Has great confidence and inspires the confidence of his juniors and seniors. Fully qualified to be a leading division petty officer. Requires supervision only in unusual situations. Few of this paygrade can equal his performance as a leader and none can surpass it.

Group 2 Extremely capable in planning and directing the work of others with very little guidance from superiors. His subordinates work well together under his supervision. Always thinks ahead. Dependable. Has excellent potential for continued rapid improvement as a leader.

Group 3 Capable of planning and directing the work of others for routine jobs with a normal amount of overall supervision and guidance from a superior petty officer. Insures that his subordinates do a good job. Makes occasional mistakes due to lack of experience, but

doesn't make the same mistake twice. Should continue to develop as a leader.

Group 4 When given a job and a plan he can direct others to accomplish the job in an acceptable manner in a majority of cases. At times a superior petty officer must take over to insure that the job is completed. Generally does not plan ahead. Requires more initiative and experience to become an effective leader.

Group 5 Men do not work well under his supervision and have no confidence in him as a leader. Shows no noticeable interest in improving his ability as a leader.

SECTION III C

Leadership and Supervisory Ability

See general instructions at beginning of this section.

Standards for Paygrades E-4 and below

Group 1 Extremely capable in supervising others. Others work willingly and effectively for him. Prepares efficient plans ahead of time under guidance of superior petty officers and many times produces excellent plans on his own initiative. Dependable under stress. Has the confidence of juniors and seniors. Few in his paygrade can equal and none surpass his ability as a leader. Has the potential and attitudes to develop into an outstanding leader as a senior petty officer.

Group 2 Very good at supervising others with routine guidance and supervision of superior petty officers. Men work well for him. Prepares good plans under guidance and at times on own initiative. Dependable. Makes occasional mistakes due to lack of experience but never makes the same mistake twice. Has potential to develop into an excellent petty officer leader in higher paygrades.

Group 3 Normally does a good job of supervising others with routine guidance and supervision of superior petty officers. Insures that a good job is done. Prepares

good plans under guidance. Generally dependable. Makes some mistakes due to inexperience, but rarely makes the same mistakes twice. Should develop into a good petty officer leader in higher paygrades.

Group 4 Usually looks to others for supervision, but at times does an acceptable job of supervising others under guidance of superior petty officers. Will accept inferior work from subordinates at times. Requires more experience and initiative to develop into an effective leader.

Group 5 Ineffective as a leader or supervisor.

SECTION IV

MILITARY APPEARANCE

Consider the neatness and appearance in person and in dress. Include all aspects of the uniform such as fit, accouterments, whether regulation, correct or not, condition as to cleanliness, press and degree of wear and the like.

Standards for all paygrades

Group 1 Always neat, correct, impressive and smart in person and in dress. Wears the uniform with great pride and inspires others to do the same by his example. Impeccable in dress uniforms and correct and seamanlike in work uniforms. Although uniforms may become soiled by work they are never tattered, torn, or lacking in any other manner.

Group 2 Always neat and correct in person and in dress regardless of type uniform worn. Almost always smart and impressive and is a good representative from the aspect of personal appearance. None tattered and torn or otherwise lacking in any manner.

Group 3 Wears correct and neat uniforms regardless of type. None tattered, torn, or otherwise lacking. Sometimes smart in appearance. Attention to small details would produce marked improvement in neatness and smartness.

Group 4 Usually correct and neat in appearance. Sometimes allows such things as haircut, shoeshine, accouter-

ments, cleanliness and the like detract from appearance. Rarely wears torn or tattered uniforms but is sometimes unkempt.

Group 5 Sloppy. Wears incomplete, dirty, unkept and non-regulation uniforms when he can. Lacks many required articles of clothing.

SECTION V

ADAPTABILITY

How well a man gets along with others.

Standards for all paygrades

Group 1 Gets along exceptionally well with others. Well adjusted, cooperative and a pleasure to be around. Actively promotes good morale whenever possible.

Group 2 Gets along well with others. Steady going and composed. Pleasant toward others. Contributes to good morale.

Group 3 A good shipmate. Has adjusted to Navy life. Helps morale.

Group 4 Gets along adequately with others. Sometimes disgruntled and disturbed by seemingly small inconviences. Only occasionally argumentative or unpleasant.

Group 5 A misfit. Resentful, bitter, and maladjusted toward military life.

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13. ABSTRACT

The ability of the Navy to measure the performance of its enlisted personnel is analyzed. Specifically, the objectives of the Enlisted Performance Evaluation System and the means of attaining those objectives, the NAVPERS 792 Form, are examined. A revision of the NAVPERS 792 is proposed for technical ratings and complete instructions for use of the revised form are presented. Areas for future improvement and refinement are detailed.

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