



ACQUISITION RESEARCH PROGRAM SPONSORED REPORT SERIES

Improving the Navy's Performance Evaluation System with Successful Practices

March 2022

LT Matthew H. Faber, USN

Thesis Advisors: Dr. Latika Hartmann, Associate Professor
Dr. Sae Young Ahn, Assistant Professor

Department of Defense Management

Naval Postgraduate School

Approved for public release; distribution is unlimited.

Prepared for the Naval Postgraduate School, Monterey, CA 93943

Disclaimer: The views expressed are those of the author(s) and do not reflect the official policy or position of the Naval Postgraduate School, US Navy, Department of Defense, or the US government.



The research presented in this report was supported by the Acquisition Research Program of the Department of Defense Management at the Naval Postgraduate School.

To request defense acquisition research, to become a research sponsor, or to print additional copies of reports, please contact the Acquisition Research Program (ARP) via email, arp@nps.edu or at 831-656-3793.



ACQUISITION RESEARCH PROGRAM
DEPARTMENT OF DEFENSE MANAGEMENT
NAVAL POSTGRADUATE SCHOOL

ABSTRACT

Performance evaluation, when executed properly, is one of the key aspects of talent management that not only enables organizations to accomplish their missions, but also promotes better performance, advancement, and retention of the right talents.

Past studies have indicated shortcomings in the Navy's current performance evaluation system (PES). Identifying and implementing successful practices of other services' PES could improve the Navy's accuracy of assessing service members' performances, which could ultimately increase the overall quality of mission readiness of the fleet as well as the individual Sailors.

This is a qualitative thesis aimed to aid decision makers as they continue to improve and modernize the Navy's PES. The methodology includes (1) conducting an overview of the services' PESs based on current instructions and policies, (2) analyzing the Navy's PES by comparing and contrasting with other services' PESs, (3) conducting a thorough literature review to gather and synthesize best practices on the different PESs, and (4) facilitating focus group discussions with Navy SMEs in talent management.



THIS PAGE INTENTIONALLY LEFT BLANK



ACQUISITION RESEARCH PROGRAM
DEPARTMENT OF DEFENSE MANAGEMENT
NAVAL POSTGRADUATE SCHOOL



ACQUISITION RESEARCH PROGRAM SPONSORED REPORT SERIES

Improving the Navy's Performance Evaluation System with Successful Practices

March 2022

LT Matthew H. Faber, USN

Thesis Advisors: Dr. Latika Hartmann, Associate Professor
Dr. Sae Young Ahn, Assistant Professor

Department of Defense Management

Naval Postgraduate School

Approved for public release; distribution is unlimited.

Prepared for the Naval Postgraduate School, Monterey, CA 93943

Disclaimer: The views expressed are those of the author(s) and do not reflect the official policy or position of the Naval Postgraduate School, US Navy, Department of Defense, or the US government.



THIS PAGE INTENTIONALLY LEFT BLANK



ACQUISITION RESEARCH PROGRAM
DEPARTMENT OF DEFENSE MANAGEMENT
NAVAL POSTGRADUATE SCHOOL

TABLE OF CONTENTS

I.	INTRODUCTION.....	1
A.	RESEARCH QUESTIONS.....	1
B.	IMPORTANCE	1
C.	WHAT WE KNOW ABOUT NAVY’S PES	2
D.	APPROACH	3
E.	FINDINGS	3
II.	OVERVIEW OF PERFORMANCE EVALUATION SYSTEMS.....	5
A.	UNITED STATES NAVY (USN)	5
1.	Revision.....	8
B.	UNITED STATES MARINE CORPS (USMC).....	8
C.	UNITED STATES ARMY (USA).....	13
D.	UNITED STATES AIR FORCE (USAF)	16
1.	Current System	16
2.	Revision.....	20
E.	UNITED STATES COAST GUARD (USCG)	21
III.	SERVICE COMPARISON OF PES BEST PRACTICES.....	25
A.	ADMINISTRATIVE SYSTEM, PERFORMANCE, AND POTENTIAL	25
B.	TRAIT VALUE STATEMENTS	27
C.	MIDTERM COUNSELING	28
D.	FORMS	29
E.	PERIODICITY	30
F.	RATER.....	32
G.	LEGACY PES.....	32
IV.	LITERATURE REVIEW	35
A.	NAVY PES WEAKNESS AND CIVILIAN PES STRENGTHS.....	35
B.	INFLATION.....	39
C.	FORCED DISTRIBUTION SYSTEM.....	41
D.	TRANSPARENCY	44
E.	INDICATORS OF POTENTIAL.....	53
F.	RATER CONSISTENCY	56
V.	FOCUS GROUP DISCUSSIONS WITH NAVY SUBJECT MATTER EXPERTS	61



A.	PURPOSE	61
B.	QUESTIONS	61
C.	METHODOLOGY	61
D.	FINDINGS	63
1.	Past Performance vs. Future Potential	63
2.	Traits	66
3.	Raters	68
4.	Midterm Counseling	69
5.	Periodicity	70
6.	CNO for a Day	71
VI.	CONCLUSION AND RECOMMENDATION	75
A.	CONCLUSION	75
B.	RECOMMENDATION	77
	APPENDIX A. FOCUS GROUP QUESTIONS	79
	APPENDIX B. USN FITREP	81
	APPENDIX C. USN EVAL	83
	APPENDIX D. USN CHIEFEVAL	85
	APPENDIX E. USMC FITREP	87
	APPENDIX F. USA OER (DA-67-10-1)	93
	APPENDIX G. USA NCOER (DA-2166-9-2)	95
	APPENDIX H. USAF OPR (AF-707)	97
	APPENDIX I. USAF EPR (AF-910)	99
	APPENDIX J. USCG EER (CG-3788C)	101
	APPENDIX K. USCG OER (CG-5310A)	107
	APPENDIX L. NAVY’S UPPER LIMITS OF EP AND MP	109
	APPENDIX M. USAF ENLISTED UPPER LIMITS OF PN AND MP	111



APPENDIX N. USN PERFORMANCE EVALUATION SCHEDULE113

APPENDIX O. USN MIDTERM COUNSELING SCHEDULE.....115

LIST OF REFERENCES117



THIS PAGE INTENTIONALLY LEFT BLANK



ACQUISITION RESEARCH PROGRAM
DEPARTMENT OF DEFENSE MANAGEMENT
NAVAL POSTGRADUATE SCHOOL

LIST OF TABLES

Table 1.	Summary of Service Comparison of PESs.	33
Table 2.	Summary of Service Comparison of Traits	34
Table 3.	Summary of Literature Review Findings.....	59



THIS PAGE INTENTIONALLY LEFT BLANK



ACQUISITION RESEARCH PROGRAM
DEPARTMENT OF DEFENSE MANAGEMENT
NAVAL POSTGRADUATE SCHOOL

LIST OF ACRONYMS AND ABBREVIATIONS

360s	360-Degree Assessments
ACA	Airman Comprehensive Assessment
ALQ	Airman Leadership Qualities
A-PES	Automated Performance Evaluation System
APFT	Army Physical Fitness Test
BARS	Behaviorally Anchored Rating Scales
BOL	Bureau of Naval Personnel Online
BUPERSINST	Bureau of Naval Personnel Instruction
CAC	Common Access Card
CEU	Continuing Education Units
CFT	Combat Fitness Test
CHIEFEVAL	Chief Evaluations
CNO	Chief of Naval Operations
CNP	Chief of Naval Personnel
CO	Commanding Officer
CPM	Cumulative Productivity Metric
DOA	Department of the Army
DOAF	Department of the Air Force
DHS	Department of Homeland Security
DON	Department of the Navy
EER	Enlisted Evaluation Report
EES	Evaluation Entry System
EO	Equal Opportunity
EP	Early Promote
EPR	Enlisted Performance Report
EVAL	Enlisted Evaluations
FITREP	Fitness Report
IRAM	Individual Records Administrative Manual
ISIC	Immediate Superior in Command
JEPES	Junior Enlisted Performance Evaluation System



LOE	Lines of Effort
LMX	Leader-Member Exchange
MBS	Master Brief Sheet
MCMAP	Marine Corps Martial Arts Program
MCO	Marine Corps Order
MCPO	Master Chief Petty Officer
MOL	Marine Online
MOS	Military Occupational Specialty
MP	Must Promote
MRO	Marines Reported On
MSAF	Multi-Source Assessment and Feedback
NCOER	Noncommissioned Officer Evaluation Report
NMCI	Navy/Marine Corps Intranet
NPC	Navy Personnel Command
OCB	Organizational Citizenship Behavior
OER	Officer Evaluation Report
OES	Officer Evaluation System
OIC	Officer in Charge
OMPF	Official Military Personnel File
OPR	Officer Performance Report
OSD	Office of the Secretary of Defense
OWA	Outlook Web Access
P	Promotable
PAS	Performance Appraisal Structure
PES	Performance Evaluation System
PET-TM	Performance Evaluation Transformation-Talent Management
PFT	Physical Fitness Test
PME	Professional Military Education
PMOS	Primary Military Occupational Specialty
PN	Promote Now
PRF	Performance Recommendation Form
PRO/CON	Proficiency and Conduct



PRT	Physical Readiness Test
P-XO	Prospective XO
RO	Reviewing Officer
ROO	Reported-on Officer
RS	Reporting Senior
RSCA	Reporting Senior Cumulative Average
RSRV	Reporting Senior Relative Value
RV	Relative Value
SME	Subject Matter Expert
TF1N	Task Force One Navy
TIG	Time in Grade
TIS	Time in Service
USA	United States Army
USAF	United States Air Force
USCG	United States Coast Guard
USMC	United States Marine Corps
USN	United States Navy
VPC	Virtual Personnel Center
XO	Executive Officer



THIS PAGE INTENTIONALLY LEFT BLANK



ACQUISITION RESEARCH PROGRAM
DEPARTMENT OF DEFENSE MANAGEMENT
NAVAL POSTGRADUATE SCHOOL

I. INTRODUCTION

A. RESEARCH QUESTIONS

The research questions in this thesis are:

- Which features of the Navy’s current performance evaluation system are working, and which are not working?
- What are the best practices of other services’ performance evaluation systems that could be adopted into the Navy’s system to address shortfalls?

I will answer these research questions by (1) conducting an extensive literature review of the strengths and weaknesses of the performance evaluation systems (PESs) of all the service branches, (2) synthesizing the findings from the literature review to inform focus group questions, and (3) conducting focus groups with Navy subject matter experts (SMEs) to facilitate open-ended discussions to assess their views on the strengths and weaknesses of the Navy’s current PESs, and their suggestions on correcting the weaknesses.

B. IMPORTANCE

With the release of the Task Force One Navy (TF1N) final report on July 2020, there has been a service-wide refocus on talent management (Department of the Navy [DON], 2021). Under the guidance of Vice Admiral John B. Nowell, Jr., Chief of Naval Personnel (CNP), Rear Admiral Alvin Holsey assumed the position of Director of TF1N and identified four Lines of Effort (LOE) in his final report, one of which was talent management (DON, 2021). The TF1N report identified areas requiring improvements, such as evaluation systems and advancement procedures to optimize the “Navy’s ability to retain and enable the progression of the best and most qualified Sailors” (p. 41). In order for the Navy to maintain operational readiness, it is essential to have a performance evaluation system that maximizes talent management by developing, promoting, and retaining quality talent (DON, 2021).

The TF1N’s LOE in talent management is directly aligned with the vision of Admiral Michael Gilday, Chief of Naval Operations (CNO). He stated that every Sailors’ number one mission is “operational readiness of today’s Navy” (Department of the Navy [DON], 2019a).



With performance evaluation lying at the heart of talent management, this thesis attempts to support the CNO's definition of readiness by making suggestions for improvement.

Performance evaluation, when executed properly, is one of the key aspects of talent management that not only enables organizations to accomplish their missions, but also promotes better performance, advancement, and retention of the right talents. Identifying and implementing successful practices of other services' PESs could improve the Navy's accuracy of assessing service members' performances, which could ultimately increase the overall quality of mission readiness of the fleet and the individual Sailors. This thesis synthesizes past studies evaluating the performance evaluations of other service branches with the aim of improving and modernizing the Navy's current PES.

C. WHAT WE KNOW ABOUT NAVY'S PES

There is a large literature on civilian performance evaluations and smaller literature on their military counterparts. On the military side, for example, Small (2020) qualitatively evaluated the Navy's current PES and identified critical shortcomings, such as using an outdated system, imbalance in focus between process over performance, greater emphasis on past performance over future potential, lack of transparency, and inaccurate measures. In another study, Ellison (2014) compared the performance evaluation systems (PESs) of the Navy and Marine Corps through the lens of economic literature on PESs and promotion systems with the goal of increasing the level of accuracy and transparency of the Navy's PES.

On the civilian side, Woehr and Huffcut (1994) explored ways to improve the quality of performance ratings by conducting a quantitative review of literature focusing on different aspects of rater training. In another civilian literature, Katz et al. (2021) sought to understand how quality feedback can contribute to a positive work environment by observing how it correlates to relevant variables including job attitude, work behavior, and individual differences, such as self-efficacy and emotional skill.

There are several initiatives underway to improve the Navy's PES, such as eNAVFIT, which is scheduled to be available to active duty Navy service members in February 2022 (Swysgood, 2022). The eNAVFIT addresses one of the Navy PES's



shortcomings identified by Small (2020), which is the outdated system known as NAVFIT98A. The NAVFIT98A is a legacy system with no online capabilities and requires members to print, sign, and mail physical copies to the Navy Personnel Command (NPC) so they can be uploaded to the members' electronic service records (Office of the Chief of Naval Operations [CNO], 2019). The eNAVFIT, on the other hand, is an online performance evaluation system designed to lighten the administrative load by allowing service members to draft, modify, submit, digitally sign, and upload to their Sailor's Official Military Personnel File (OMPF) within days (Department of the Navy [DON], n.d.). It is an interface that bridges the gap between the legacy system and the Navy's future performance appraisal application with new functions like the build-in online error validation system(DON, n.d.).

D. APPROACH

First, I conduct a thorough literature review to gather best practices on the Navy's PES, as well as other services, followed by a systematic review to synthesize information drawing on publications, reports, and theses. Then in collaboration with an academic faculty member, we lead focus groups with Navy SMEs in talent management. During the focus group discussions, an NPS team comprised of one academic faculty member and I facilitated open-ended discussions on what the participants thought the strengths of the Navy's current PES were, and how they thought the weak areas can be improved.

The list of Navy SMEs for the focus groups was selected from the list of board members of the FY22 promotion boards. Participants were randomly selected from a narrowed list of Senior Officers (O5s-O6s) and Enlisted Sailors (E9s) with board experience. These members had extensive knowledge and experience with performance evaluation in the Navy; therefore, asking for their perspectives on current shortcomings and potential solutions offered valuable insights on what works in our current system and how our shortcomings can be addressed.

E. FINDINGS

The consensus of the focus groups was the Navy's current PES is overall effective in doing what it is designed to do. Most participants think the Sailors' past performance is captured adequately to allow selection boards to rank the Sailors. They also agree that annual



evaluation and semi-annual midterm counseling are the right periodicities for conducting performance assessments. In addition, the majority of participants think one or two raters is the right number to accurately capture the Sailors' performance. Also, most participants concur that the Navy is asking the right types of traits during evaluations.

Given what the Navy does well regarding performance evaluation, the focus group participants' general recommendations are to maintain the status quo; however, they suggest making marginal changes incrementally to address weaker areas while minimizing confusion by making numerous drastic changes at one time. The first suggestion is to improve the midterm counseling process. As expressed by many focus group participants, midterm counseling is not conducted effectively at most commands. The second suggestion is to shift away from RSs using traits to manage their RSCAs. While many participants agree we are asking the right types of traits, they think the way we use traits is wrong because RSs are not using them to accurately evaluate their Sailors based on the trait statements. The third suggestion is to improve the way RSs capture our Sailors' future potential. Most participants noted that the Navy's current PES documents past performance well, but not future potential because there is no dedicated space on the evaluation forms. As a result, Sailors' future potential is translated from the narratives, trait averages relative to RSCAs, and promotion recommendations.

Based on the shortcomings, focus group participants recommend improving the training for prospective Commanding Officers (COs). By realigning prospective COs to established standards and expectations, focus group participants believe many of the shortcomings can be mitigated by the RSs, such as the lack of emphasis on midterm counseling, improper management of their RSCAs, and the insufficient documentation of future potential.



II. OVERVIEW OF PERFORMANCE EVALUATION SYSTEMS

This chapter provides an overview of the performance evaluation systems of the United States Armed Forces based on current instructions and policies, as well as recent updates or upcoming changes.

A. UNITED STATES NAVY (USN)

The purpose of the Navy’s evaluation forms is to “serve as a guide for the member’s performance and development, enhance the accomplishment of the organization mission and provide additional information to the chain of command” (CNO, 2019, p. I-1). The Navy uses three different forms to document performance appraisal for three different groups: Officer fitness reports (FITREPs) are used to assess W1-O6, Enlisted evaluations (EVALs) are used to assess E1-E6, and Chief evaluations (CHIEFVALs) are used to assess E7-E9 (CNO, 2019).

On a FITREP, blocks 1 through 27 contain administrative information on the rateses, the unit, the rater, and the occasion and type of report (CNO, 2019). Block 28 contains the command employment and achievements, and block 29 documents the members’ primary, collateral, and watchstanding duties (CNO, 2019). Blocks 30 through 32 are for documenting the completion of midterm counseling, which is conducted at the mid-point of the Sailors’ evaluation cycle (CNO, 2019). Appendix O shows the Navy’s notional midterm counseling schedule.

Blocks 33 through 39 are used to evaluate the members on seven traits: (1) professional expertise, (2) command or organizational climate/equal opportunity, (3) military bearing/character, (4) teamwork, (5) mission accomplishment and initiative, (6) leadership, and (7) tactical performance for those who are warfare qualified (CNO, 2019). These traits are rated on a 5-point numerical rating scale, with 5 being the best and corresponding to “Greatly Exceeds Expectations,” 1 being the lowest and corresponding to “Below Standards,” and 3 being the mid-point and corresponding to “Meets Standards” (CNO, 2019). The average value of all the traits is the member’s score used by reporting seniors (RS) to rank the members against their peers of the same rank (CNO, 2019). As



seen in Table 2, the Navy is the only service that includes the Tactical Warfare trait, which evaluates warfare qualified Officers on their basic and tactical employment of weapons systems (CNO, 2019).training

Block 40 is for RSs to make recommendations on the next two career milestones (CNO, 2019). Block 41 is a narrative block to allow RSs to comment on the member's past performance up to 18 lines (CNO, 2019). Block 42 is used to document promotion recommendations on a 5-point scale including "Significant Problems," "Progressing," "Promotable (P)," "Must Promote (MP)," and "Early Promote (EP)," with "EP" being the best (CNO, 2019). The Navy uses a forced distribution system, which limits the number of top evaluations to minimize grade inflation (CNO, 2019). The number of "EP" and "MP" recommendations is restricted based on the rater's span of control and the member's rank (CNO, 2019). Appendix L shows the table of upper limits of "EP" and "MP" recommendations as a function of the summary group size and the members' rank. For example, if the RS's summary group size is six, the RSs can only give out 2 EPs to all members excluding O1s and O2s, 2 MPs to E5-E6 and O3s, 1 MP to E7-E9, W3-W5, and O4, 1 MP to O5-O6, and no MP limits for E1-E4, W1-W2, and LDO O1-O2 (CNO, 2019).

Block 43 documents the summary group size, which is compared against block 42 where the Sailor is ranked (CNO, 2019). Block 44 documents the reporting senior's address and signs and date the report in block 45 (CNO, 2019). Block 46 is where the ratees documents whether they intend to submit a statement or not, followed by signature and date (CNO, 2019). Appendix B is an example of a FITREP.

The EVALs contain the same blocks as the FITREPs for administrative information. Where they differ is the number of raters, types of traits, and the number of narrative blocks (CNO, 2019). There are some overlaps in traits between EVALs and FITREPs, such as command or organizational climate/equal opportunity, military bearing/character, teamwork, and leadership, but the following traits are unique to EVALs: professional knowledge, personal job accomplishment/initiative, and quality of work (CNO, 2019). Unlike FITREPs, which only have one narrative block to document RSs' comments on the Officer's performance, EVALs have an additional narrative block to record qualifications/achievements (CNO, 2019). In addition, EVALs have a senior rater and



a reporting senior, unlike FITREPs that have the RSs as the only rater (CNO, 2019). One additional difference is EVALs contain a block dedicated to documenting qualifications (CNO, 2019). Appendix C is an example of an EVAL.

The CHIEFEVAL also has similarities and differences worth noting. It is mostly the same form as the FITREPs, but the traits are slightly different. The CHIEFEVAL contains seven traits: (1) deckplate leadership, (2) institutional and technical expertise, (3) professionalism, (4) loyalty, (5) character, (6) active communication, (7) sense of heritage (CNO, 2019). The traits are assessed using the same 5-point rating scale as the FITREPs and EVALs (CNO, 2019). Appendix D is an example of a CHIEFEVAL. As seen in Table 2, there are a few traits both FITREPs and CHIEFEVALs evaluate, such as “military bearing/character,” “leadership,” and “professionalism,” but CHIEFEVALs are the only form that evaluates “loyalty” and “sense of heritage.” There are other similar traits, like the Air Forces’ “compliance to standards” and “Service Core values,” but the Navy Chiefs specifically choose the words “loyalty” and “sense of heritage.”

The periodicities of the evaluations vary depending on the occasion. The different occasions include periodic, detachment of individual, detachment of reporting senior, and special (CNO, 2019). Periodic reports are submitted annually on a specified month based on your rank (CNO, 2019). The table of periodic evaluation cycles can be found in Appendix N, which shows the assignment of rank to month the periodic reports are due. For example, O1 FITREPs are due every year in January and E4 EVALs are due every June. Detachment of individual report is submitted when service members leave their commands, and detachment of reporting senior is submitted when there is a change of command (CNO, 2019). Special reports may be submitted on different occasions, such as member eligible for promotion boards, removing a member’s promotion recommendations, misconduct, reduction in rate, and more (CNO, 2019).

The forms are two pages long and completed using a form-filler computer application program known as NAVFIT98A (CNO, 2019). Evaluations are completed by the members’ RSs, which are the members’ CO or the Officer in Charge (OIC) (CNO, 2019). For Enlisted EVALs, raters and senior raters conduct the evaluations, and for Officers, the reporting senior is the only rater (CNO, 2019). Once the evaluation is



complete, forms are required to be printed, signed, and mailed to NPC in Tennessee, followed by the individual service member's electronic service records being updated (CNO, 2019). The NAVFIT98A is a legacy system that is scheduled to be replaced in February 2022 by a new system called eNAVFIT (Swysgood, 2022).

1. Revision

On 14 January 2022, the Chief of Naval Personnel (CNP) announced the release of the eNAVFIT to replace the NAVFIT98A in February 2022 for active duty Navy (Swysgod, 2022). The new system was designed to help RSs capture a more accurate snapshot of their Sailors' performance. The eNAVFIT is an interface that bridges the gap between the legacy system and the Navy's future performance appraisal application (DON, n.d.). The interface automates key processes, such as routing, digital signatures, and electronic submission (DON, n.d.). In other words, Sailors can draft, validate, digitally sign, and submit their performance evaluations electronically to NPC, followed by the member's OMPF being updated within 96 hours (DON, n.d.). This new system has a built-in online error validation function to prevent erroneous inputs prior to submission (DON, n.d.). The system can be easily accessed by any service member through the Bureau of Naval Personnel (BUPERS) Online (BOL) web portal (DON, n.d.).

eNAVFIT will have a total of four user roles: reporting senior, member, trusted agent, and review (DON, n.d.). One of the new functions of the eNAVFIT is the RSs' ability to assign trusted agents and reviewers (DON, n.d.). A trusted agent would serve the function of an administrative assistant who has the authority to act on behalf of the RSs, and additional reviewers will provide additional insight on the ratees if the RS or trust agent desires them (DON, n.d.). Their assignments are optional and primarily meant to lighten the administrative load of the RSs (DON, n.d.). Trusted agents will be unable to sign on behalf of the RS but will have interface authority for all other actions of RSs (DON, n.d.).

B. UNITED STATES MARINE CORPS (USMC)

The Marine Corps' PES serves the purpose of supporting the "centralized selection, promotion, and retention of the most qualified Marines of the Active and Reserve Components" and "aids in the assignment of personnel and supports other personnel



management decisions as required” (Department of the Navy [DON], 2015, p. 1-1). The USMC uses Fitness Reports for E5 through O8, and junior Enlisted members use the Junior Enlisted Performance Evaluation System (JEPES) (DON, 2015; United States Marine Corps [USMC], 2020).

Section A of the Marine Corps FITREP documents administrative data, including information on the Marines Reported On (MRO), RS, Reviewing Officer (RO), senior organization, occasion and period of report, duty assignment, whether it is a special case (adverse, non-observed, or extended), whether the Marine is a subject of commendatory material, derogatory material, or disciplinary action, promotion recommendation, weapons qualifications, physical fitness test (PFT), combat fitness test (CFT), height, weight, body fat, active/reserve status, and top three duty preferences, (DON, 2015). One of the differences in the administrative section between the Marine Corps and Navy FITREPs is the inclusion of PFT/CFT scores and weapons qualification in their evaluation. The Navy does have a physical readiness test (PRT) block, but it is only to record the completion of their semi-annual requirement on a pass/fail scale (CNO, 2019). Section B documents the Marines’ billet description and section C documents their billet accomplishments (DON, 2015).

Sections D through H rate the Marines against 14 performance dimensions on a scaled measurement consisting of “A” through “G,” with “A” indicating unacceptable performance and “G” indicating distinguished performance (DON, 2015). Raters are required to justify marking “A,” “F,” or “G” in the justification block provided in each category (DON, 2015). The 14 performance dimensions include: (1) performance, (2) proficiency, (3) courage, (4) effectiveness under stress, (5) initiative, (6) leading subordinates, (7) developing subordinates, (8) setting the example, (9) ensuring well-being of subordinates, (10) communication skills, (11) professional military education, (12) decision making ability, (13) judgement, and (14) evaluating (DON, 2015). The 14 performance dimensions are grouped into 5 categories: (1) mission accomplishment, (2) individual character, (3) leadership, (4) intellect and wisdom, and (5) fulfillment of evaluation responsibilities (DON, 2015).



Once the rating is complete, an average of the 14 traits is converted into a relative value (RV), which shows where the member stands compared to their same-ranked peers of the summary group (DON, 2015). The RV is converted in a numerical value between 80 and 100 (DON, 2015). RV between 93.34 and 100 indicates the member in the top third, between 86.67 to 93.33 indicates the member is in the middle third, and between 80 and 86.66 indicates member in the bottom third (DON, 2015). The RV is documented on the members' Master Brief Sheet (MBS), which is the service members' electronic records containing summaries of their past performance evaluations (DON, 2015). The Navy also maintains the average trait value on the members' Performance Summary Record (PSR), which Sailors can access through the BOL website, but the difference is Sailors' average trait value is included on their evaluation forms as well (CNO, 2019).

Unlike the Navy, which evaluates their members using 7 performance traits on a 5-point rating scale, the Marine Corps assess their members on a wider range of traits (14) with a wider-ranged rating scale (7-point). The overarching theme of the USMC's traits is similar to the USN, such as leadership and initiative, but the Marines expand on the themes to define more specific aspects of the traits. For example, rather than just having one trait for "leadership," they have "leading subordinates," "developing subordinates," "setting the example," and "ensuring well-being of subordinates" (DON, 2015). Due to the extra detail in the trait evaluations, it takes five to six pages for the Marine Corps to complete the full assessment, whereas the Navy's evaluation is only two pages.

Section I allows directed and additional comments by raters, and section J allows RSs to certify their assessment and MROs to acknowledge the report with the options of making a statement, similar to the Navy (DON, 2015). Section K allows the ROs to determine whether the report is sufficient and whether they concur with the RSs' assessment (DON, 2015). In addition, the ROs conduct a comparative assessment in this section, which is a unique component that is not in the Navy's PES. In a comparative assessment, the ROs compares the MROs to the average evaluations of all subordinates the ROs have ever evaluated, which helps communicate to the selection board who their top performers are (DON, 2015). In order of precedence, the categories of the comparative assessment are as follows: (1) the eminently qualified Marine, (2) one of the few



exceptionally qualified Marines, (3) One of the many highly qualified professionals who form the majority of this grade, (4) a qualified Marine, and (5) unsatisfactory (DON, 2015). Section K also allows ROs to make comments to amplify their comparative assessment (DON, 2015). Appendix E shows an example of a USMC FITREP.

Reports are submitted annually for E5 through O8, with the exception of the semiannual reporting for O1 and O2 (DON, 2015). Other occasions for completing FITREPs are similar to the Navy, which include grade change, change of reporting senior, transfer, and more (DON, 2015). The forms are prepared and submitted electronically through the Automated Performance Evaluation System (A-PES), which can be accessed through the Marine Online (MOL) website (DON, 2015). This system, unlike the Navy's previous methods of routing paper copies, minimizes errors and administrative burden (DON, 2015).

Another difference between the USN and USMC is the number of raters. In the USN, the RSs are also the rater for FITREPs, whereas the Marines also have Reviewing Officers (ROs) who conduct the overall evaluation of the members (DON, 2015). The ROs are senior in rank to the RSs and provide leadership and guidance for the RSs regarding unbiased evaluations (DON, 2015). The ROs assess, then the RSs conduct the final evaluation, and both ROs and RSs can make comments in the narrative blocks (DON, 2015).

For the Enlisted, the USMC has implemented the JEPES during CY 2021, which has replaced the former system known as the Proficiency and Conduct (PRO/CON) Marks and Composite Score (DON, 2020). The purpose of JEPES is twofold: display current objective scores of MROs relative to their peers; and means of capturing the performance and potential of the MROs (DON, 2020). With the JEPES, Enlisted Marines E1 through E4 will electronically receive a monthly JEPES score, known as PES Score, composed of four categories each equally weighed at 25%: command input, warfighting, mental agility, and physical toughness (DON, 2020). The command input pillar includes inputs from the member's chain of command regarding character, mission accomplishment, and leadership, the warfighting pillar includes rifle and Marine Corps Martial Arts Program (MCMAP), the mental agility pillar includes Professional Military Education (PME) and



self-education, and physical toughness pillar includes PFT/CFT score (DON, 2020). There are 250 points per pillar with a total of 1,000 points for the PES score (DON, 2020).

For the command input pillar, MROs will be evaluated on a 5-point rating scale with “5” indicating the highest, “1” indicating the lowest, and “2-3” indicating “meets expectations” in character, mission accomplishment, and leadership (DON, 2020). The average command inputs mark is calculated by multiplying the assigned values by 50 each, adding them together, and dividing by 3 (DON, 2020). For example, if a Lance Corporal is rated a 3.2 in character, 3.8 in mission accomplishment, and 3.6 in leadership, each value is multiplied by 50 and summed to equal 530, which is then divided by 3 to equal 176 points out of 250 for the command input pillar.

For the warfighting pillar, relative scoring is utilized to assign a value to the rifle score and MCMAP belt color of Marines that will be compared to their peers and given points towards promotion depending on how well they performed (DON, 2019b). For example, a Lance Corporal who shoots a 305 on the range will be given a relative value of 43 (DON, 2020). For the MCMAP, Marines will be given a higher value depending on their belt level (USMC, 2020). For example, a Lance Corporal with a grey belt will be assigned a value of 67 out of a 100 that goes towards their PES score (DON, 2020). The added value between the rifle score and MCMAP is multiplied by 1.25 to assign the overall points for the warfighting pillar. For this Lance Corporal, 43 points from the rifle plus 67 from the MCMAP equals 110, then multiplying by 1.25 gives the Lance Corporal 137.5 points out of 250.

For the physical toughness pillar, relative scoring is also used to assign a value to the PFT/CFT score and compared to their peers. For example, a Lance Corporal who earns a 275 on their PFT is in the 88th percentile, meaning the Marine will be earning 88 points out of a hundred that goes towards their PES score (DON, 2020). The same Lance Corporal earns a 280 on their CFT, which awards him 72 points, per the relative scoring table in the MCO 1616.1. The two values are added and multiplied by 1.25, which results in 200 points out of 250 for this Lance Corporal in the physical toughness pillar.



For the mental agility pillar, it is a combination of informal PME, college degrees, and self-education courses for both in-grade and in-service (DON, 2020). The informal PME courses can be completed on the MarineNet, which is a common access card (CAC)-enabled website used to access training and education materials (DON, 2020). A Marine who completes courses on MarineNet is awarded up to 100 Continuing Education Units (CEU), which are points used to calculate the informal PME portion of the mental agility pillar (DON, 2020). The weight distribution for this pillar is 50% for informal PME, 20% for college degrees, and 15% each for in-grade and in-service (DON, 2020). For example, a Lance Corporal completes enough MarineNet courses to earn 90 CEUs, earns 20 points for completing an associate's degree, earns 10 points for completing one college course in-service, and earns 20 points for completing 2 colleges courses in-grade. The points are added and multiplied by 1.25, which results in 181/250 points for this Lance Corporal (DON, 2020).

Another unique component of JEPES is the high level of transparency made possible by the MRO Dashboard. The dashboard not only displays the members' PES scores, but also the Comparative Analysis Dashboard, which shows a heatmap of where the members stand relative to their peers of the same grade, or same grade and Military Occupational Specialty (MOS) (USMC, 2020). Additionally, JEPES shows the rating chain, which is managed at each command, promotion eligibility, and a mobile-friendly view to expand options for access (USMC, 2020).

C. UNITED STATES ARMY (USA)

The Army's PES places great emphasis on the raters to identify talent because it has "great impact on how the Army accomplishes its missions" (Department of the Army [DOA], 2019, p. 47). The forms include the Noncommissioned Officer Evaluation Reports (NCOERs), which are the DA Form 2166-9 series, and the Officer Evaluation Reports (OERs), which are the DA Form 67-10 series (DOA, 2019).

The OERs are categorized into different evaluation reports based on the members' ranks: Company Grade (O1-O3, WO1-CW2), Field Grade (O4-O5), and Strategic Leaders (O6) (DOA, 2019). The forms are filled out using the Evaluation Entry System (EES),



which can be accessed on Army's CAC-enabled service website (DOA, 2019). The EES, similar to the system used by the USMC, is a system that allows the entire process to be completed online. Once completed, the forms go through the routing chain, which typically includes the rater and the senior rater with the occasional supplementary reviewer (DOA, 2019). The supplementary reviewer is a uniformed Army advisor who is typically higher in rank than the senior rater and provides guidance in evaluating the member (DOA, 2019). Like the Marine Corps, the Army incorporates more rater into their PES than the Navy.

The OER starts with part I, which contains administrative information of the ratees, unit, reason and occasion of the report, and period covered (DOA, 2019). Part II contains administrative information of the raters, intermediate raters, and senior raters (DOA, 2019). Part III describes the members' duty title and significant duties and responsibilities completed during the evaluation period (DOA, 2019). Part IV is where the raters conduct the performance evaluation on professionalism, competencies, and attributes (DOA, 2019). Part IV starts with documenting the Army Physical Fitness Test (APFT) information, followed by conducting an overall performance evaluation (DOA, 2019). The overall performance is evaluated based on a scale of "Excels," "Proficient," "Capable," and "Unsatisfactory" (DOA, 2019).

Raters are restricted in the number of top-tier evaluations they can award for the overall performance in part IV. Under the forced distribution system, raters must limit "Excels" to less than 49% of the summary group (DOA, 2019). A key difference between the Army and the Navy's forced distribution is the Navy's numbers are dependent on the size of the summary group and their ranks, whereas the Army's numbers are set at 49% for each summary group (CNO, 2019; DOA, 2019). Part IV also includes a comments block to allow raters to supplement their overall performance evaluation (DOA, 2019).

Following the comments section, raters evaluate their members on the following attributes and competencies: (1) character, (2) presence, (3) intellect, (4) leads, (5) develops, and (6) achieves (DOA, 2019). Many of the traits overlap with the other services, with no distinct traits that are unique to the Army. Unlike the Navy, the Army does not use a numerical rating scale to assess the traits for their Officers, but rather, use narrative blocks to evaluate their members against the six attributes and competencies (DOA, 2019). For



each attribute and competency, the evaluators indicate major performance objectives and list significant contributions and accomplishments they have witnessed during the evaluation period (DOA, 2019).

Part V is for intermediate raters to make comments regarding the members' past performance and potential (DOA, 2019). Part VI is for senior raters to assess the members' potential relative to the summary group, make comments on potential, and recommend three successive billets (DOA, 2019). Similar to the raters' evaluation of the overall performance in part IV, senior raters must evaluate the members' future potential compared to their peers on a scale of "Most Qualified," "Highly Qualified," "Qualified," and "No Qualified" (DOA, 2019). Senior raters are restricted to award "Most Qualified" to less than 49% of the summary group, similar to the raters' overall performance evaluation in part IV (DOA, 2019). The form also has a narrative box to allow senior raters to make comments on the members' potential, as well as a section to list three future successive assignments the senior rater believes the member will succeed in. The Navy's form has a similar section, but it only lists two successive assignments. Appendix F shows an example of a USA OER.

For the NCOERs, forms are categorized based on their ranks: (1) Sergeant, (2) Staff Sergeant to First Sergeant/Master Sergeant, and (3) Command Sergeant Major/Sergeant Major (DOA, 2019). Formal performance evaluations for Enlisted members are only established for NCOs (E4-E9) (DOA, 2019). For the junior Enlisted members (E1-E4), counseling serves as an optional means of evaluating their performance (DOA, 2019). Counseling is documented on the DA Form 2166-9-1A, and is a requirement for all NCOs, but remains optional for junior Enlisted (DOA, 2019).

The rating chain includes a rater who provides bullet comments for Staff Sergeant through First Sergeant/Master Sergeant and narrative comments for Command Sergeant Major/Sergeant Major, and a senior rater who provides narrative comments for all non-Commissioned Officers (DOA, 2019). Under certain conditions, an intermediate rater may be required to mitigate the uncommon administrative dynamics when they occur, such as dual supervisory situations and an immediate supervisor acting as the senior rater (DOA, 2019).



Similar to the OERs, administrative information on the NCOERs is documented in parts I and II (DOA, 2019). Part III includes the members' duty title, daily duties and scope, and appointed duties (DOA, 2019). Part IV documents APFT information similar to the OER, but what differs is the raters' evaluation of performance evaluation, professionalism, attributes, and competencies (DOA, 2019). NCOs are evaluated on five traits on a 4-point scale of "Far Exceeded Standard," "Exceeded Standard," "Met Standard," and "Did Not Meet Standard" (DOA, 2019). In addition, one trait ("Character") is evaluated on a binary scale of "Met/Did Not Meet Standard" (DOA, 2019). Each trait has a narrative box to allow raters to make comments if needed (DOA, 2019). Following the traits, raters will make an overall performance evaluation using the same 4-point scale used to assess the traits (DOA, 2019).

Part V is where senior raters evaluate the members' overall potential (DOA, 2019). Similar to the OER, senior raters are constrained in their assessment of the NCO's overall potential evaluation (DOA, 2019). Unlike the 49% constraint of the OERs, the "Most Qualified" on NCOERs is limited to 24% of the summary group (DOA, 2019). The NCOER also has a narrative box but does not have a dedicated space to list 3 future billets recommended by the senior reporter like the OER (DOA, 2019). Appendix G shows an example of a USA NCOER.

Similar to the Navy, the Army requires OERs and NCOERs to be completed once members have been in their position for at least 90 days under the same reporting senior during the same rating period (DOA, 2019). Other mandatory reporting occasions, similar to the Navy, include annual, change of rater, change of duty, temporary duty, special duty, temporary change of station, and failed promotion selection (DOA, 2019).

D. UNITED STATES AIR FORCE (USAF)

1. Current System

In the USAF, they use Officer Performance Reports (OPRs) and Enlisted Performance Reports (EPRs) to document the member's past performance and assess future potential (Department of the Air Force [DOAF], 2019). There are three primary objectives of the Air Force Officer and Enlisted evaluation systems: (1) providing quality



feedback and communicating expectations and standards of performance, (2) accurately documenting past performance and future potential, and (3) providing sufficient information to the board to facilitate well-informed decision-making (DOAF, 2019).

Like the Navy Officers, the Air Force uses one form (AF-707) to assess their Officers, which starts with section I for documenting the administrative identification in blocks 1 through 9 (DOAF, 2019). Administrative information includes name, social, rank, date, reason for report, unit information, and period of report (DOAF, 2019). Section II is for the job description, which is documented in up to 4 lines (DOAF, 2019). Section III is performance factors, which the rater conducts the initial overall assessment on a “Does/ Does Not Meet Standards” scale based on the ratees’ job knowledge, leadership skills, professional qualities, organizational skills, judgement and decision, and communication skills (DOAF, 2019).

Section IV is the rater’s overall assessment, which the rater provides in the comments block up to 6 lines, followed by administrative data of the rater, such as name, grade, duty title, signature, and date (DOAF, 2019). Sections V through VII follow the same format as section IV, but it is for the additional rater, reviewer, and functional examiner/Air Force advisor to mark whether they “concur/non-concur” with the rater’s overall assessment in section IV (DOAF, 2019). Unlike the Navy FITREPs with RSs being the rater, the Air Force has several raters to capture the members’ performance. Another key difference between the two services is the Air Force OPR starts with the overall assessment of the member followed by trait evaluation, whereas the Navy FITREPs start with trait assessments followed by using blocks 40 through 43 to make an overall assessment (DOAF, 2019; CNO, 2019).

Section VIII is where the ratees acknowledge the receipt of the report and feedback from the raters, followed by a signature and date (DOAF, 2019). Section IX is the assessment of the members’ performance factors, which includes 6 different traits: (1) job knowledge, (2) leadership skills, (3) professional qualities, (4) organizational skills, (5) judgement and decisions, and (6) communication skills (DOAF, 2019). As seen in Table 2, the organizational skills trait is unique to the Air Force that no other services evaluate the members on. The others are standards traits observed by the other services.



Unlike the Navy, which uses a numerical rating scale, the Air Force OPR has one box for “Does Not Meet Standards,” that the raters use to evaluate the traits (DOAF, 2019). Section X is for raters to add remarks regarding the traits from section IV (DOAF, 2019). Section XI is for making a referral report, which supplements any traits marked as “Does Not Meet Standard” (DOAF, 2019). At the bottom of the form, it includes a description of the roles for all the participants, including “All,” “Rater,” “Additional Rater,” “Reviewer,” and “Ratee” (DOAF, 2019). Appendix H shows an example of a USA OPR.

The EPR forms are the AF-910 series and specific versions are assigned to a specific group of ranks: AF-910 (E1-E6), AF-911 (E7-E8), and AF-912 (E9) (DOAF, 2019). The form starts with section I, which includes the same type of administrative information as the OPR. Section II documents duty title and key duties, tasks, and responsibilities completed by the Airman. (DOAF, 2019). Sections III through V, which is where the EPR starts to differ from the OPR, assess the members in their performance in leadership/primary duties/training requirements, followership/leadership, and the whole Airman concept (DOAF, 2019). Within each of the three trait categories, there are sub-traits in bold letters for raters to compare their members against (DOAF, 2019).

Within the first trait category of performance in primary duties/training requirements, the bolded sub-traits include task knowledge/proficiency, initiative/motivation, skill level upgrade training, duty position requirements, qualifications, and certifications, and training of others (DOAF, 2019). Within the second trait category of followership/leadership, the bolded sub-traits include resource utilization, complies with/enforces standards, communication skills, caring, respectful, and teamwork (DOAF, 2019). Within the third trait category of whole Airman concept, the bolded sub-traits include Air Force core values, personal and professional development, and Espirit De Corps and community relations (DOAF, 2019). As seen in Table 2, the sub-traits including “motivation,” “qualification & certifications,” “compliance to standards,” and “service core values” are traits unique to the Air Force EPRs that no other forms across the service contain. The three trait categories are rated on a 5-point rating scale, listed in order of hierarchy: “exceed most,” “if not all expectations,” “exceeded some,” “but not all expectation,” “met all expectations,” “met some but not all expectations,” and “not-rated”



(DOAF, 2019). Sections III and IV also have narrative blocks for raters to supplement with comments of up to 2 lines (DOAF, 2019).

Section VI is the rater's overall performance assessment on the same 5-point rating scale used in sections III through V. Section VII documents the rater's information, such as name, rank, duty title, signature, and date (DOAF, 2019). Section VIII is for the additional raters to either "concur" or "not concur" with the raters' overall performance assessment in section VI, as well as make comments up to 2 lines (DOAF, 2019). Section IX is the same as section VIII, but for the unit commander/military or civilian director/other authorized reviewer (DOAF, 2019). In addition, section IX documents up to three recommended future roles, which is similar to the Navy's FITREP documenting the next 2 successive milestone billets recommended by the RS (CNO, 2019). Section IX also documents education milestones completed, promotion eligibility regarding time-in-grade/time-in-service, and promotion recommendations on a 5-point scale ranging from "Do Not Promote," "Not Ready Now," "Promote (P)," "Must Promote (MP)," and "Promote Now (PN)" (DOAF, 2019).

The Air Force, like the Navy, has a forced distribution system to allocate the number of PNs and MPs on the AF-910 series form for E1-E6 (DOAF, 2019). Total numbers of PNs and MPs, similar to the Navy, are restricted based on certain variables. For the Air Force, the numbers are dependent on the number of eligible members under each reporting senior, as shown in Appendix M (DOAF, 2019). In the Navy, the numbers are dependent on not just the number of eligible members, but also their ranks (CNO, 2019). Section X documents administrative data of the functional examiner/Air Force advisor, as well as documents their final remarks in section XI (DOAF, 2019). The final section XII documents the ratees' acknowledgment of the report with a signature and date (DOAF, 2019). Appendix I shows an example of a USAF EPR (Form AF-910), which is for an E1-E6.

The regular reports are due annually, with a few exceptions similar to the other services, including change of reporting official, 365-day extended deployment, or directed by the immediate superior in command (ISIC) (DOAF, 2019). A change of reporting official OPR is initiated when either the ratees or rater detaches the command, a 365-day



extended deployment OPR is initiated when a member is fulfilling a requirement that exceeds a year, and one example of when the command's ISIC may direct an OPR is when a member's performance is unsatisfactory (DOAF, 2019).

Forms are initiated, processed, and tracked electronically using the virtual Personnel Center (vPC) that can be accessed through the service portal webpage (DOAF, 2019). In addition to basic administrative data, two traits (mission accomplishment & Air Force Core Values) are evaluated annually on a scale from one to five, one corresponding to "Not-Rated" and five corresponding to "Exceeds most, if not all expectations" (DOAF, 2019). In addition, there is a section to document open-ended comments like the other services. Unlike the Navy and similar to the Marine Corps, the USAF uses multiple raters to complete the appraisal, including a primary rater, an additional rater as necessary, and a senior rater (DOAF, 2019).

2. Revision

On 2 February 2021, the Air Force announced the addition of ten Airman Leadership Qualities (ALQs) to the performance evaluation of Officers and senior Enlisted members to assess their character and competence (Department of the Air Force [DOAF], 2021). Effective on 31 March 31 2022, the ALQs will be an optional supplement to the existing Airman Comprehensive Assessment (ACA), which is equivalent to the Navy's midterm counseling (DOAF, 2021). The revision was intended to improve the service's competency-based development efforts to align the Air Force's focus with its Foundational Competencies (DOAF, 2021). The ACAs are designed to facilitate two-way communications between the members and their supervisors to manage expectations and discuss goal settings (DOAF, 2021). Formal sessions are required, as well as the documentation on the ACA worksheet (DOAF, 2021). O1-O6 use the AF Form 724, E7-E9 use the AF Form 932, and E1-E6 use the AF Form 931 to document the counseling sessions (DOAF, 2021). Full details of the ACA requirement can be found in chapter 2 of the USAF Instruction 36-2406 Officer and Enlisted Evaluation Systems.

The 10 ALQs are organized into four major performance areas. The first area is "executing the mission," which evaluates members on their job proficiency, initiative, and



adaptability (DOAF, 2021). The second area is “leading people,” which evaluates members on their inclusion and teamwork, emotional intelligence, and communication (DOAF, 2021). The third area is “managing resources,” which evaluates members on their stewardship and accountability (DOAF, 2021). The fourth and final area is “improving the unit,” which evaluates members on their decision-making and innovation (DOAF, 2021).

E. UNITED STATES COAST GUARD (USCG)

In the U.S. Coast Guard, the officer evaluation system (OES) “documents and drives Officer performance and conduct in accordance with Service values and standards,” and the “information is used to support personnel management; primarily selection boards and panels, retention, and assignments” (United States Coast Guard [USCG], 2020a). In the Enlisted evaluation system (EES), the Coast Guard has defined many objectives, but the main focus is on establishing standards for members, quality feedback, accurate measurement of performance, accurately informing board members, and enabling the service to optimize talent management (United States Coast Guard [USCG], 2020b).

The Officers use the Officer Evaluation Report (OER). The forms used are the CG-5310 series and categorized based on the Officers’ ranks: W2-W3/O3-O5, W4/O1-O2, and O6 (USCG, 2020b). Section I documents administrative information, such as the rates’ name, rank, employee number, date of report, date of rank, and signature, period and occasion of report, and midterm date and name of counselor (USCG, 2020b). Section II contains the primary duties, responsibilities, and title of the reported-on officer (ROO) (USCG, 2020b).

Section III is where the ROO is evaluated against the traits. ROO is evaluated on 18 performance dimensions on a 7-point rating scale, with 7 being the best and 1 being the worst (USCG, 2020b). Performance dimensions are categorized into three sections: (1) performance of duties, (2) leadership skills, (3) and personal and professional qualities (USCG, 2020b). The individual traits include: (1) planning and preparedness, (2) using resources, (3) results/effectiveness, (4) adaptability, (5) professional competence, (6) speaking and listening, (7) writing, (8) looking out for others, (9) developing others, (10) directing others, (11) teamwork, (12) workplace climate, (13) evaluations, (14) initiative,



(15) judgement, (16) responsibility, (17) professional presence, and (18) health and well-being (USCG, 2020b). Each trait sections contain narrative blocks to allow raters to make comments regarding the trait assessments. As seen in Table 2, the traits including “adaptability,” “competence,” speaking,” “writing,” and “health & well-being” are unique to the Coast Guard OER that is not included in the other evaluation forms across the services.

Section IV is where the supervisor authenticates the report with their signature (USCG, 2020b). Section V is where the Reporting Officer authenticates the report by marking whether they “Concur/Do Not Concur” with the supervisor’s evaluation (USCG, 2020b). In addition, the Reporting Officers conduct a comparative assessment of Officers W2 through O5 to determine their future potential, similar to the USMC (USCG, 2020b). The comparative assessment scale includes “Best officer of this grade,” “One of few distinguished officers,” “One of the many high performing officers who form the majority of this grade,” “Marginally performing officer,” and “Unsatisfactory” (USCG, 2020b). Section IV also allows Reporting Officers to make promotion recommendations on a 6-point scale, which is different from the Navy’s approach of using the P/MP/EP system (USCG, 2020b, CNO, 2019). The scale includes “Below zone select,” “In-zone reorder,” “Promote w/top 20% peers,” “Promote,” “Promotion potential,” and “Do not promote” (USCG, 2020b). Appendix K shows an example of a USCG OER (Form CG-5310A), which is for W2-W3/O3-O5.

Similar to the Marine Corps, the Coast Guard regular reports are submitted annually for Officers with the exception of the semiannual reporting for O1 and O2 (USCG, 2020b). For Enlisted members, E1 through E5 submit their reports semi-annually and E6 and above submit their reports annually, which differs from the Navy Enlisted members’ annual requirement (USCG, 2020b; CNO, 2019). Other occasions for submitting evaluation reports, similar to other services, include advancements, detachment, and change in approving officials (USCG, 2020b).

The Enlisted evaluation reports (EERs) are categorized based on the different ranks: E1-E3, E4, E5, E6, E7, E8, and E9 (USCG, 2020a). Every Enlisted rank, except grouping E1-E3 have their own form, which is very different from the Navy Enlisted members using



one form for E1-E6 (CNO, 2019). The form starts with documenting the members' name, rank, employee I.D. number, unit name, period of the report, paygrade, and reason for the report (USCG, 2020a). Following the administrative information, the members are assessed against 13 performance dimensions on a 7-point rating scale with 7 being the best and 1 being the worst, as well as one performance dimension, which is "conduct," on a binary rating scale of "satisfactory/unsatisfactory" (USCG, 2020a).

The 14 performance dimensions are categorized into four sections: (1) military, (2) performance, (3) professional qualities, and (4) leadership, as well as narrative space in each section to allow raters to add comments (USCG, 2020a). The individual traits include: (1) military bearing, (2) customs, courtesies, and traditions, (3) quality of work, (4) technical proficiency, (5) initiative, (6) decision making and problem-solving, (7) military readiness, (8) self-awareness and learning, (9) team building, (10) respect for others, (11) accountability and responsibility, (12) influencing others, (13) effective communication, and (14) conduct (USCG, 2020a).

Following the traits, the raters assess the members' future potential in a narrative block up to 5 lines (USCG, 2020a). Once complete, the supervisors, marking officials, and approving officials all assess the members' advancement potential on a 3-point scale including "Ready," "Not Ready," and "Not Recommended" (USCG, 2020a). The supervisor and marking official make the assessment and the approving officials mark whether they "Concur," "Do Not Concur, make changes," or "Required comments for unsatisfactory conduct, not ready, or not recommended for advancement attached on separate sheet" (USCG, 2020a). The final part of the form is where the ROO signs and dates to acknowledge the report per the notice provided at the bottom of the form (USCG, 2020a). Appendix J shows an example of a USCG EER (Form CG-3788C), which is for an E5.

Like the other services, the forms are prepared and submitted electronically, which can be accessed through a CAC-enabled website (United States Coast Guard [USCG], 2018). The OER is only two pages long, but the EER is five pages long (USCG, 2018). Similar to other services, excluding Navy FITREPs, the Coast Guard uses multiple raters for both OER and EER, including supervisors, Reporting Officers, and reviewers (USCG,



2020a; USCG, 2020b). Another unique component of the Coast Guard is their use of absolute standards instead of a relative system where members are compared against established standards instead of their peers (USCG, 2018). The Coast Guard uses Behaviorally Anchored Rating Scales (BARS) to evaluate their service members through “narratives, critical incidents, and quantified ratings by anchoring a quantified scale with specific narrative examples of good/poor or effective/ineffective performance” (p. 19-1).



III. SERVICE COMPARISON OF PES BEST PRACTICES

This section offers an analysis of the Navy's PES by comparing and contrasting with the other services' PESs. I retrieved the data from each services' respective instructions on performance evaluation and summarized them in Table 1.

A. ADMINISTRATIVE SYSTEM, PERFORMANCE, AND POTENTIAL

In order to promote the right talents in the Navy, it is important to accurately document both past performance and future potential in a transparent system. In terms of quality and transparency of the administration system, other services may have best practices that maximize accurate documentation of performance and potential. For example, the USAF uses Performance Recommendation Forms (PRFs) in addition to the OPRs and EPRs (DOAF, 2019). The PRFs allow RSs to assess the future potential for members eligible for promotion to O4 and above, while OPRs and EPRs capture the member's past performance (DOAF, 2019). Additionally, the Air Force, along with the Army, provides an overall performance assessment that is separate from the trait assessments. This serves as an additional measure of the member's performance that contributes to raising the level of transparency regarding how well the members have done during the evaluation period.

In the USCG and USMC, their guidance is included in the headers of their performance evaluation forms, which states the performance is recorded to determine a member's potential for promotion (DON, 2015; USCG, 2018). The Marine Corps and Coast Guard also utilize a comparative assessment to clearly communicate to the ratee and the selection board on who the top performer with the highest potential for the next career milestones are (DON, 2015; USCG, 2020). The Army assesses future potential on a 4-point scale to break out top performers, in addition to evaluating their past performance both quantitatively through trait evaluation and qualitatively through narrative sections (DOA, 2019).

The Marine Corps replaced the Proficiency and Conduct (PRO/CON) Marks and Composite Score with the JEPES for evaluating junior Marines (E1-E4) (USMC, 2020).



The JEPES provides a Comparative Analysis Dashboard, which displays a heatmap of where the service members stand relative to their peers (USMC, 2020). Additionally, the Marine Corps, along with the Coast Guard, uses a comparative assessment to help members understand where they stand relative to everyone the rater has ranked in the past (DON, 2015; USCG, 2018). These administrative systems increase the transparency for service members and help them understand where they are now and what they need to accomplish to reach the next level.

There are several factors in the Navy's current system that could be contributing to the lack of transparency and imbalance between past performance and future potential. First, the Navy only uses one form to capture both past performance and future potential (CNO, 2019). This may cause RSs to focus more on brevity and create confusion for the board members who are trying to interpret the RSs' message. Second, the Navy's evaluation forms only make recommendations on promotion and do not have space for future potential (CNO, 2019). Without a dedicated space to assess future potential, it is difficult for RSs to communicate effectively to the selection boards.

Just like the Army, adding a dedicated future potential block could help RSs by providing them with an additional means of conveying to the board on the Sailors' potential. Rather than converting data points from blocks 40-43 into a Sailor's future potential, adding a block on the evaluation forms dedicated to assessing potential may minimize ambiguity for the board members and the Sailors being assessed.

Having a separate form, like the Air Force, would allow more space for the RSs to more accurately document both past performance and future potential. In addition, replicating the same level of transparency as the Marine Corps' JEPES may help Sailors by providing them visibility of trackable milestones for their advancements. This could improve the commands' ability to advise Sailors' careers paths, as well as empower them to control their future. A cost-effective alternative to this approach could be revamping the midterm counseling process. Having frequent mentoring could help Sailors remain aware of their required milestones for advancement.



In addition, the Marine Corps and Coast Guards' comparative assessment could help create a more transparent system by visually informing Sailors on where they currently rank out not just within their summary group, but out of all the Sailors the RS have ever evaluated. Also, including more specific guidance for the RSs on the evaluation forms like the Marine Corps and Coast Guard may help realign the focus of Navy RSs with the established guidance, especially if it is accompanied by improving the RSs' training on how to effectively communicate to the board through evaluations forms.

B. TRAIT VALUE STATEMENTS

Traits are an important part of performance evaluations that allow Navy RSs to compare their Sailors against established values. Other services, like the Marine Corps and Coast Guard, assess members against a greater number of traits using a wider-ranged rating scale. The Marine Corps evaluates 14 traits on a 7-point rating scale and the Coast guard evaluates 18 traits for Officer and 13 traits for Enlisted on a 7-point rating scale (DON, 2015; USCG, 2018). Of the 13 traits used to evaluate Coast Guard Enlisted members, one of those traits is assessed on a binary scale of "Satisfactory/Unsatisfactory" (USCG, 2018). In addition, all the services excluding the Navy include a comments block for each trait or for each trait category, allowing raters to supplement their trait assessments as needed, as displayed in Table 1.

Other services, like the Air Force, also incorporate a binary trait of "Does/Does not meet standards" option for evaluating their Officers on 7 traits (DOAF, 2019). In the Army, the Officers are evaluated on 6 traits using narrative blocks to allow raters to make comments, rather than a numerical rating scale used by the Navy (DOA, 2019).

The USN currently uses a 5-point numerical rating scale to evaluate 7 different traits (CNO, 2019). There are verbal anchors on the first, third, and fifth categories for below standards, meets standards, or greatly exceeds standards (CNO, 2019). Compared to the other services, the Navy has fewer options regarding traits and rating scales. The combination of both results in a narrower range of trait average possibilities, relative to other services like the Coast Guard which has 18 traits with a 7-point rating scale.



Expanding the number of traits and range of rating scales to mirror the Marine Corps and Coast Guards' systems offers more variety in trait averages for the members. This could help Navy RSs rank their members at a finer level to help distinguish great performers from good performers in the middle group. The Air Force's use of binary traits may create more problems than solve them in the Navy, especially from the board's perspective. If the traits are evaluated based on a "Meets/Does not meet" scale, it could give board members fewer data points to effectively rank their Sailors. For that same reason, the Army's method of using narratives to compare their Officers against the traits may make it more difficult for board members to determine who to select. The Coast Guard's EER, which is a combination of narratives, wide range of traits evaluated on both a numerical scale and a binary scale may serve as the acceptable medium for improving the Navy's trait assessment system. Regardless of the course of action, there should be training for RSs happening concurrently in order to facilitate a smooth transition of change.

C. MIDTERM COUNSELING

Midterm counseling can be a powerful tool for aiding Sailors' professional development if done correctly. As outlined in the Navy's PES instruction, "the purpose of performance counseling is to enhance professional growth, encourage personal development, and improve communication among all members within the command" (CNO, 2019, p. 18-1). The goal is to have an honest two-way communication between Sailors and their RSs centering on the performance traits (CNO, 2019). There are objectives for midterm counseling established in the Navy's PES instruction, which include identifying the member's strengths and weaknesses, discussing how to address those weaknesses, goal-setting, aligning Sailors with established standards, and expectation management (CNO, 2019). The EVALs, CHIEFEVALs, and FITREPs are considered as the midterm counseling worksheet, but the only entries are the date of completion and the signatures of the Sailor and RS (CNO, 2019). The instruction also provides a notional schedule, as seen in Appendix O, and recommends methods for conducting midterm counseling, but it does not state any implications for not conducting them.



In the Coast Guard, they ensure midterm counseling is conducted by establishing a system where the OERs are returned to the command if midterm counseling is not completed correctly (USCG, 2020). The ACAs of the Air Force, which are equivalent to the Navy's midterm counseling, have been revamped by incorporating 10 ALQs (DOAF, 2021). In the Army, their PES instruction requires raters to conduct face-to-face counseling within the first 30 days of the rating period, followed by meeting quarterly at a minimum (DOA, 2019). A separate support form is used to facilitate the counseling, but it is not an official form that enters the members' permanent records (DOA, 2019). In the Marine Corps, their PES instruction states the importance of conducting performance counseling but does not outline specific guidance on how to conduct them, aside from the requirement to conduct initial counseling within the first 30 days of the rating period (DON, 2015).

Having implications for not conducting midterm counseling, like the Coast Guard's PES, may incentivize Navy commands to ensure they are conducted correctly. Additionally, having a separate official form for counseling, like the Air Force and the Army, may help place greater emphasis on the importance of conducting them. The Army's quarterly schedule may be challenging for operational commands with dynamic schedules, but there is certainly value in exploring similar options if it leads to developing higher quality Sailors.

D. FORMS

Every service uses a different style of the evaluation form that makes them each unique. In terms of the number of pages, Marine Corps FITREPs lead with five to six pages, followed by Coast Guard EER with five pages. The main reason for the large number of pages is due to the large number of traits they evaluate; the Marine Corps evaluates their members on 14 traits and the Coast Guard evaluates their Enlisted members on 13 traits.

Another key distinction is the different versions of the forms that some services use. In the Army, the OERs are categorized into different versions based on your rank: Company Grade (O1-O3, WO1-CW2), Field Grade (O4-O5), Strategic Leaders (O6), Sergeant, Staff Sergeant to First Sergeant/Master Sergeant, and Command Sergeant Major/Sergeant Major (DOA, 2019). In the Air Force, a specific version of the evaluation form is



assigned to E1-E6, E7-E8, E9, and one form for Officers (DOAF, 2019). In the Marine Corps, one form is used for E5-O8 (DON, 2015). The Coast Guard has the most versions of the OER and EER based on rank: E1-E3, E4, E5, E6, E7, E8, E9, W2-W3/O3-O5, W4/O1-O2, and O6 (USCG, 2020a; USCG, 2020b). In the Coast Guard, the traits on the forms are slightly different based on what is expected from them given their rank. For example, one of the traits on the E4 evaluation form is “influencing others,” whereas an E6 who is more in a leadership role, is assessed on “directing others” (USCG, 2020a).

The Navy, on the other hand, uses one form for groups of paygrades including the Enlisted, Chiefs, and Officers. One problem with the Navy’s method is the lack of differentiation in traits between the closer ranks. For example, the traits valued in a third-class petty officer should not be a perfect match to a first-class petty officer who is more in a leadership role. There will be overlapping traits, such as character and equal opportunity, but there should be distinctions dictated by the expectations the Navy has in them based on their rank and job.

Given different expectations we set in our members based on rank, there should be distinctions in the traits we evaluate them in. Although different traits are being assessed between the groups of Enlisted, Chiefs, and Officers, there are no distinctions between an E4 and an E6, or between an O1 and an O5. Having a finer level of trait assessments could lead to a higher quality evaluation of our Sailors; however, the culture of viewing traits as an afterthought of managing the RS’s RSCA should change first (Marsh, 2020).

E. PERIODICITY

Most services submit their standard performance evaluations annually with a few exceptions, such as the USMC and USCG submitting O1 and O2 FITREPS semi-annually. In the Navy Reserves, they use separate codes known as RESAC1 and RESAC6 to group reservists who are temporarily on active duty and rank them separately from the rest of the summary group (CNO, 2019). RESAC1 is given to reservists temporarily serving active duty for 1-6 months and RESAC6 for > 6 months (CNO, 2019). For example, if a Navy Reserve Lieutenant is recalled to active duty and has served for 8 months, the Lieutenant will be grouped into RESAC6 instead of being ranked against their fellow Lieutenants in



the other summary group. This facilitates a fairer assessment by ranking Lieutenants against other Lieutenants who are in similar situations.

The main issue with the Navy's reporting periodicity is that it lacks equal comparison of Sailors due to varying reporting periods. The Navy's regular FITREPs are completed annually with every paygrade assigned to a specific month with the exceptions of detachment from command, change in RS, special, and non-observed, as explained in Chapter II. For example, Lieutenant regular FITREPs are due every January. This creates a problem where the members' performances are not evaluated equally due to evaluation periodicity being driven by paygrade reporting rather than arrival date. In other words, a Lieutenant who has been onboard for 7 months can be ranked against another Lieutenant who has been onboard for a full 12 months, which could create a culture where seniority is favored over performance. This phenomenon is also applicable to a change in reporting senior FITREP since everyone at the command will be receiving one. For a detachment from command and special FITREPs, this phenomenon does not apply because the member is typically the only one in the summary group, so you are not compared against anyone else. Additionally, it does not apply if the member is receiving a non-observed FITREP.

The Reservist's approach of having additional summary groups has the potential to improve the issue of ranking service members with different times onboard. Not only will the increase in the number of summary groups allow increased opportunities for members to receive MPs and EPs, but also close the gap between the varying reporting periods between members. Additionally, the semi-annual periodicity for Marine Corps and Coast Guard junior officers could have great value in the Navy as well. A semi-annual periodicity could also bridge the gap between the varying reporting periods. For example, instead of two Lieutenants with reporting periods of 7 and 12 months being unfairly evaluated against each other, it could potentially shorten the difference to 7 and 8 months. In addition, this could offer additional opportunities for RSs to mentor and guide newly reported junior officers.



F. RATER

The quality of raters will make or break a Sailor's career. If the wrong message is documented on the evaluation forms and delivered to the selection boards, it will place that Sailor on a path of most resistance to get selected. As seen in Table 1, all the services, excluding the Navy, have multiple raters involved in the members' performance evaluation to ensure the reports accurately capture the members' performance and potential. For example, members of the Army are evaluated by a rater, an intermediate rater, and a senior rater (DOA, 2019). In the Marine Corps, the reviewing officers assess, then the RSs conduct the final evaluation (DON, 2015).

In the USN, FITREPs and CHIEFEVALs are completed by the reporting senior only, who is also the rater (CNO, 2019). The standard practice is to have multiple reviews within the chain of command as the document is routed to the RS, but it is not required by any Navy instruction. On the contrary, the EVALs have a rater and a senior rater evaluate Sailors (CNO, 2019)

Formally incorporating additional raters in the rating chain may have the potential for producing a more in-depth and accurate assessment. By attaching the names of additional raters to their subordinates' evaluations, they may be more invested in the accuracy and quality of the evaluations going up to the RSs. This may be difficult for smaller commands to execute; but regardless, a subject worth exploring if it results in sending higher-quality reports to the selection board.

G. LEGACY PES

Having a modern performance evaluation system is an enabler of effective talent management in a complex military environment. To support each services' missions, the Army, Marine Corps, and Air Force have all modernized their PESs to allow performance evaluations to be prepared and submitted electronically. The Army uses a system called the Evaluation Entry System (EES), the Marine Corps uses a system called an Automated Performance Evaluation System (A-PES), and the Air Force uses a system called the virtual Personnel Center (vPC). The Coast Guard, on the other hand, digitally signs their reports and emails them to headquarters.



The Navy’s legacy PES is known as NAVFIT98A, which is a form-filler computer application program (CNO, 2019). This legacy system does not allow online submission of evaluation forms and leaves commands with no other options but to print, sign, and physically mail the evaluations to Navy Personnel Command (NPC) (CNO, 2019). With the recent release of the eNAVFIT, this could become a problem of the past if eNAVFIT is a success. Similar to the system used by other services, the eNAVFIT is designed to lighten the administrative load by allowing Sailors to create and route their evaluation forms electronically (Swysgood, 2022). Please refer to Chapter II for further details on the capabilities of eNAVFIT.

Table 1. Summary of Service Comparison of PESs.

	USA OER	USA NCOER	USMC FITREP	USN FITREP	USN EVAL	USAF OPR	USAF EPR	USCG OER (W2-W3) (O3-O5)	USCG EER (E5)
Basic Admin Info (name, grade/rank, date, unit info, rater’s info, report period, reason for report, etc.)	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Physical Fitness	Pass/Fail	Pass/Fail	PFT/CFT scores	Pass/Fail	Pass/Fail	No	No	No	No
Duty Assignment	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No
Billet Description & Accomplishments	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No
Promotion Recommendation	3 future successive assignments	2 future successive assignments and 1 broadening assignment	Yes/No/NA	PMP/EP and 2 future assignments	PMP/EP and 2 future assignments	No	Up to 3 future roles	6-point scale (BZ select, IZ reorder, Promote w/top 20% peers, Promote, Promotion potential, Do not promote)	3-point scale (Ready, Not Ready, and Not Recommended)
Future Potential	4-point scale (Most Qualified, Highly Qualified, Qualified, Not Qualified)	4-point scale (Most Qualified, Highly Qualified, Qualified, Not Qualified)	Comparative Assessment	No	No	No	No	Comparative Assessment	Narrative space to make comments
Qualifications	No	No	Rifle	No	Yes	No	Education milestones (i.e. PME)	No	No
Duty Preferences	No	No	Yes	No	No	No	No	No	No
Traits	6 Traits	6 Traits	14 traits in 5 categories with narrative space for justification	7 traits	7 traits	6 traits	3 trait categories with a total of 12 sub-traits	18 traits in 3 categories	13 traits in 4 categories with narrative space for comments, and 1 trait on “conduct”
Rating Scale for Traits	Narrative	4-point scale for five traits, binary scale for one trait	7-point scale	5-point scale	5-point scale	Binary	4-point scale	7-point scale	7-point scale and 1 trait (conduct) on a binary scale
Number of pages	2	2	5 to 6	2	2	2	2	2	5
Rater(s)	Rater, Intermediate Rater, and senior rater	Rater and senior rater	Reporting Senior, Reviewing Officer	Reporting Senior	Rater and Reporting Senior	Rater, Additional Rater, Reviewer	Rater, Additional Rater, Reviewer, final evaluator	Supervisor evaluates and reviewing officer authenticates	Supervisor, marking official, and approving official
Overall Performance Assessment	4-point scale (Exceeds, Proficient, Capable, Unsatisfactory)	No	No	No	No	Overall assessment block for each rater	4-point scale	No	No
Space for Narratives	Space for Rater to discuss each trait and overall performance, and senior rater’s comments on overall potential	Space for Rater to discuss each trait and overall performance, and senior rater’s comments on overall potential	Space for RS to discuss each trait categories and additional comments, RO to supplement comparative assessment	Space for RSs to comment on performance	Space for RSs to comment on performance	Space for overall assessment block for each rater	Space for additional rater, reviewer, final evaluator, and functional examiner	Space after each trait sections, reporting officer comments	Space in each sections of the traits
Forced Distribution	Upper limit of overall performance and future potential assessments limited to less than 49% of summary group	Upper limit of future potential assessment limited to less than 24% of summary group	No	Upper limit dependent on size and rank of summary group	Upper limit dependent on size and rank of summary group	No	Upper limit dependent on number of eligible members under each reporting senior	No	No
Form(s)	One form each for O1-O3/WO1-CW2), O4-O5, and O6	Sergeant, Staff Sergeant to First Sergeant/Master Sergeant, and Command Sergeant Major/Sergeant Major	One form for E5-O8, JEPES for E1-E4	One form	One form each for E1-E6 and E7-E9	One form	One form each for E1-E6, E7-E8, and E9	One form for W2-W3/O3-O5, W4/O1-O2, O6	One form for E1-E3, E4, E5, E6, E7, E8, and E9

Adapted from DOA (n.d.); DOAF (n.d.); DHS (n.d.); DON (n.d.-b); DON (n.d.-c).



Table 2. Summary of Service Comparison of Traits

Traits	USA OER (O1-O3) (WO1-CW2)	USA NCOER (SSG-1ST) (MSG)	USMC FITREP (E4-O8)	USN FITREP (Officers)	USN CHIEFEVAL (E7-E9)	USN EVAL (E1-E6)	USAF OPR (O3-O5)	USAF EPR (E1-E6)	USCG OER (W2-W3) (O3-O5)	USCG EER (E4)	USCG EER (E6)
Organizational Climate/Equal Opportunity				X		X			X		
Military Bearing/Character	X	X		X	X	X				X	X
Teamwork				X		X		X	X	X	X
Leadership	X	X	X	X	X	X	X				
Tactical Performance (Warfare)				X							
Professional Knowledge						X	X	X			
Quality of Work						X				X	X
Accomplishment/Initiative/Achieves	X	X	X	X		X			X	X	X
Institutional and Technical Expertise				X	X					X	X
Professionalism					X		X				
Sense of Heritage					X						
Loyalty					X						
Active/Effective Communication			X		X		X		X	X	X
Intellect and Wisdom	X	X	X								
Performance			X								
Proficiency			X								
Courage			X								
Effectiveness Under Stress			X						X		
Developing Subordinates/Others	X	X	X						X		
Setting the Example			X								
Ensuring Well-Being of Subordinates			X								
Professional Military Education			X								
Decision-Making/Problem Solving			X				X			X	X
Judgement			X				X		X		
Accurate/Timely Completion of Evaluations			X						X		
Presence	X	X							X		
Organizational Skills							X				
Motivation								X			
Personal/Professional-Development								X		X	X
Qualifications & Certifications								X			
Training Others								X	X		
Resource Management								X	X		
Compliance to Standards								X			
Service Core Values								X			
Customs, Courtesies, and Traditions										X	X
Readiness									X	X	X
Respecting Others										X	X
Accountability/Responsibility									X	X	X
Influencing Others										X	
Directing Others									X		X
Conduct										X	X
Adaptability									X		
Competence									X		
Speaking									X		
Writing									X		
Health and Well-Being									X		

Adapted from DOA (n.d.); DOAF (n.d.); DHS (n.d.); DON (n.d.-b); DON (n.d.-c);



IV. LITERATURE REVIEW

This thesis focuses on evaluating the strengths and weaknesses of the Navy's performance evaluation system. By assessing the strengths in other services' systems, the Navy can look for clues on how to correct their weaknesses. In this chapter, I conduct a thorough literature review to gather best practices on the different PESs, followed by a systematic review of the findings to synthesize information drawing on relevant publications, reports, and theses. This chapter is relevant to understanding the challenges faced in each service regarding performance evaluations and efforts made to address them, as well as inform the questions for the focus group discussions. The literature review findings are summarized in Table 3.

A. NAVY PES WEAKNESS AND CIVILIAN PES STRENGTHS

To improve and modernize the Navy's PES, the Chief of Naval Personnel (CNP) launched the Performance Evaluation Transformation (PET) program as part of the Sailor 2025 initiative (Small, 2020). In support of CNP's talent management efforts, Small (2020) qualitatively evaluated the Navy's performance evaluation system to identify areas requiring change. Small (2020) gathered relevant data from published civilian and Navy documents related to PES to capture both the policy-making side and consumer side of the PES.

From the civilian documents, Small (2020) gathered performance management best practices from Google and Deloitte because both organizations restructured their systems to realign human resources efforts to the organization's objectives. For both companies, the process started in 2013 when senior leaders determined the current system is falling short to meet the company's goals (Small, 2020). According to Small (2020), both companies took systematic approaches to identify relevant variables with the most potential for creating the right evaluation systems for their companies. Such efforts led to the creation of new performance management systems that broke free of traditional approaches that forbade accurately capturing their employees' performance and potential (Small, 2020).



According to Small (2020), Google now uses a combination of self-evaluation, multisource feedback, and monthly coaching to not only improve feedback to the employees to improve their performance, but also the accuracy of the managers' ranking of their staff members (Small, 2020). Relative to the Navy's bureaucratic process of completing performance evaluations, Google approaches the process with the goal of improving the employees' performance, aligning their efforts to the organization's mission and vision, and facilitating quality feedback with a transparent system (Small, 2020).

As Google's analytics team explored variables that may contribute to creating their ideal performance appraisal system, their research indicated quality connection and feedback between people as an important variable for producing an effective personnel management system (Small, 2020). Given that finding, Google created a new system where objectives are established quarterly, feedback is provided regularly through one-on-one sessions, formal performance evaluation is conducted annually, as well as midterm counseling (Small, 2020).

At Deloitte, their research for an improved system led to three important factors: (1) daily opportunities to apply their strengths, (2) expectation management, and (3) proper alignment of the company's mission to their efforts (Small, 2020). After two years of trial and error, conducting interviews with employees, and applying different design methods, Deloitte developed a new evaluation system with the guiding objectives of accurately capturing and measuring performance, as well as greater emphasis on future action over skills (Small, 2020). Simplifying the new system by eliminating goal-setting and ratings resulted in a less complicated system for managers to accurately capture their employees' performances.

Deloitte's new system has five functions: (1) check-ins focused on frequent conversations focused on future potential, (2) career coaching focused on professional development, (3) snapshots focused on team members assessing the performance of the team leaders, (4) pulse surveys focused on team building and improvement, and (5) talent review focused on career development for certain individuals (Small, 2020). Under the "Snapshots" function of the new system, other employees are able to evaluate their peers' performance on a 5-point scale including the following: (1) given what I know of this



person's performance, and if it were my money, I would award this person the highest possible compensation increase and bonus, (2) given what I know of this person's performance, I would always want him or her on my team, (3) this person is at risk for lower performance, and (4) this person is ready for promotion today (Small, 2020). A year after implementing the new system, Deloitte's employees indicated an increase in work engagements and growth, and a decrease in attrition (Small, 2020).

On the Navy's side, Small (2020) analyzed the gathered data on the history, past studies, and current policies on the Navy's PES. She then synthesized the findings to gain an understanding of the Navy's policies that govern performance evaluation and potential gaps in the system, such as using an outdated system, a greater focus on process over performance, past performance over future potential, lack of transparency, and inaccurate measure.

One of the first shortcomings identified by Small (2020) includes the Navy's use of an outdated system known as NAVFIT98A, which has no online capability and creates the administrative burden of printing and mailing physical copies to NPC. As a result, Small (2020) argues the entire process has become an administrative drill focused on completion, rather than accurately measuring our Sailors' performances. The current system does not support the TF1N's lines of effort (LOE) in improving the Navy's talent management (DON, 2021). As a solution, the CNO released the eNAVFIT on 14 January 2022, which is a new system scheduled to be available to the active duty component in February 2022. It is an online performance evaluation system that allows Sailors to draft, validate, digitally sign, and submit their reports electronically. The eNAVFIT is scheduled to replace the NAVFIT98A and intended to resolve many of the shortcomings in the legacy system, as explained in Chapter II.

Another shortcoming identified by Small (2020) is the imbalance between the focus over past performance and future potential. The current evaluation only captures up to a year of a Sailor's previous performance to convey to the selection board the Sailors' future potential (Small, 2020). This is not enough to inform a Sailor's readiness for future jobs they may be assigned to (Small, 2020). To supplement the shortcomings of the evaluations,



midterm counseling is established as a requirement, but they are not always executed properly due to a lack of space in the schedules (Small, 2020).

Another shortcoming Small (2020) found is the lack of transparency for the Sailors. Based on reviewing an article by former CNP Vice Admiral Bill Moran, Small (2020) notes that Sailors receive minimal feedback on their performance or potential. In his article, Vice Admiral Moran states three principles that enable us to sustain a high-quality force: (1) knowing our strengths, further revealing our advantages, (2) centralized resourcing, decentralized force management, and (3) extending trust, creating balance, and ensuring stability (Moran, 2014). Under the third principle, the Admiral discusses how a transparent talent management system is key in promoting the right talents, which contributes to developing trust among Sailors and ultimately creates a mission-ready force.

Small (2020) argues one of the variables that contribute to this non-transparency is the Reporting Senior Cumulative Average (RSCA). RSCA is the Commanding Officer's average value of all the trait averages of a given rank the CO has historically evaluated (Small, 2020). She further explains the rule of thumb being your trait average to be above the CO's RSCA to remain competitive for advancements and selections, but the problem is a CO's RSCA is not readily visible to the Sailors. In addition, COs manage their RSCA due to forced distribution, which could prevent them from conducting an honest assessment of their Sailors (Small, 2020). Forced distribution is a system where the RSs are limited in the number of "Ps," "MPs," and "EPs" they can award their Sailors (Small, 2020).

In addition to shortcomings, Small (2020) identified several key findings from her review of scholarly and industry literature to help frame the issues. She notes how a PES will not function well if it tries to handle both the administrative and developmental tasks. This results in a decrease in feedback quality, which supports her other finding on the importance of finding a PES that is right for your organization. While there is no "one-size-fits-all" system, her research indicates there are several variables that should be considered, such as emphasizing an open two-way conversation and conducting evaluation training to minimize biases and maximize the accuracy of the rating. In addition, Small (2020) notes an increase in supervisor-subordinate engagement is correlated to an increase in employee performance.



Based on shortcomings in the Navy' PES and key findings from relevant literature, Small (2020) notes the following considerations for Navy decision-makers: differentiate administrative and developmental functions within the PES, emphasize transparency in the PES, refer to civilian best practices such as Google and Deloitte, and incorporate user feedback to ensure PET-TM integration is successful.

B. INFLATION

As mentioned by Small (2020), RSCA was initially introduced to minimize grade inflation to prevent RSs from awarding all their members maximum scores on their evaluations because it made it difficult for selection boards to rank their members. Grade inflation is an issue other services experience as well, such as the Air Force. To determine why and how often inflation occurs in the Air Force, Baker (2017) conducted an extensive literature review of past studies on inflation for both military and civilian sectors and surveyed six active duty Air Force Officers ranging from O2 to O6 who were familiar with the OPRs and EPRs. The survey asked questions on raters' methods for recording performance changes, average ratings, and the training they have received on conducting evaluations as reporting seniors (Baker, 2017). In addition, he conducted an interview with an individual who was a SME in both the Enlisted and Officer side of the Air National Guard and Air Reserve.

Survey results indicated reporting seniors' frequent tendencies to inflate the performance evaluations to help retain those who would have otherwise been separated (Baker, 2017). He indicated there were several different motivations for inflating, but most of them fell into one of the following areas: (1) evaluators' concern for the negative implications on the members' careers and (2) the evaluators being viewed negatively by the ratee because of giving negative evaluations.

Following the survey, Baker (2017) interviewed an Air Force SME, where he gained insights on inflation from the reporting seniors' perspectives. The SME confirmed how some reporting seniors inflate their evaluations of below-average members to prevent them from being separated in the near future (Baker, 2017). The SME further explained this is done to maintain the mission readiness of the units that are often understaffed (Baker,



2017). Given historical accounts of understaffing in the USAF, Baker (2017) concluded the RSs' motivation for inflation to be believable and highly likely. One critique of this study is that it may lack validity given the data is survey results of only six participants. Having a larger sample size would have offered perhaps more valid and reliable data.

In a different study of grade inflation, Wolfgeher (2009) explores its root cause in the Air Forces' OES. She explains how the objective of the evaluation system in the Air Force, similar to other services, is to capture the members' past performance and future potential to convey to the selection board on who to select. Based on the Air Forces' objective, Wolfgeher (2009) argues how the inflation trend is a hindrance to reaching that objective. To determine whether there are variables inherent in the Air Force that may cause inflation, Wolfgeher (2009) utilizes organization, behavior, evaluation, and game theories. With her hypothesis that inflation in the Air Force is caused by factors internal to the organization, he took the "white box" approach, which studies internal factors and their interactions among the factors.

In her study, the dependent variable is the quality of evaluations, which is measured by the level of accuracy and inflation determined by the subsystems of military culture, organizational structure, systems for officer rewards and promotion, tasks and tools for evaluating officers, and human interaction. The independent variables, or the internal factors, include military culture, organizational structure, systems for officer rewards and promotion, tasks and tools for evaluating Officers, and human interaction (Wolfgeher, 2009). Of all the variables, results indicated reward systems, military culture, and organizational structure to have the highest correlation to inflation (Wolfgeher, 2009). She discusses a culture within the Air Force where being average is considered bad, therefore contributing to the rise in inflation, which is consistent with the findings of Baker (2017). With many raters manipulating their evaluations to help their members, the reports going to the boards all belong to top performers, so when the board receives an honest evaluation of an "average" member, they are not selected (Wolfgeher, 2009). It is very difficult to change the culture of the entire service, which leads to raters making changes that are within their control, such as inflating their members' evaluations (Wolfgeher, 2009).



In addition, Wolfgeher (2009) also notes how the organizational structure leads to inflation due to lower-level leaderships having minimal control over the members' selections. With evaluations being the primary source for advancement, the only control raters have regarding helping the members' careers is inflating their evaluations (Wolfgeher, 2009). Based on the raters' knowledge of the system and culture, there is a trend of manipulating the evaluations to help their service members promote (Wolfgeher, 2009; Baker, 2017). In addition to the culture and organizational structure, Wolfgeher (2009) states promotion and reward systems cause inflation as well. Since most rewards and promotions are centralized, it gives lower-level leaders no control over them; hence, leaders are pressured to inflate their evaluations to reward their service members in the best way they can (Wolfgeher, 2009).

Based on her results, Wolfgeher (2009) suggests implementing a "whole of system" approach towards the current system and culture. The evaluation system is very complex because it is affected by system inputs, such as environment, resources, and history, as well as the subsystems of military culture, organizational structure, systems for officer rewards and promotion, tasks and tools for evaluating Officers, and human interaction (Wolfgeher, 2009). Given that level of complexity, she argues making minor changes would not yield the desired outcome of reducing inflation. Many of the subsystems are standardized and difficult to change, but changing the promotion system, specifically the "up or out" system may reduce inflation (Wolfgeher, 2009). By increasing career options for Air Force Officers, she argues that the pressure to inflate may diminish. Rather than continuing to move up to higher leadership positions, Officers can have the option to pursue the path of becoming technical experts in a specific field (Wolfgeher, 2009). This method could address the issues noted by Baker (2017) where raters are pressured to inflate the evaluations to prevent the separation of average members at a command that is short-staffed. It the

C. FORCED DISTRIBUTION SYSTEM

As discussed by Baker (2017) and Wolfgeher (2009), forced distribution could cause issues like inflation, but as discussed by Marsh (2020), RSCA management and trait



manipulation are additional issues to be mindful of. When he evaluated the feasibility of the Navy's PET initiative successfully addressing the current PES's shortcomings, he identified the Navy's use of traits as one of the problems that needed to be addressed. He further discusses how one of the shortcomings is the evaluation of the member's performance being an afterthought under the forced distribution system because reporting seniors are forced to rank Sailors based on time on-board, relative to their actual performance. To confirm his point, Marsh (2020) included a quote in his article from former CNP Admiral Burke, who stated, "The typical reporting senior reverses engineers that final trait average to make the final number work out, so the trait averages wind up being rather meaningless."

Marsh (2020) explains how a different system can potentially correct the problem with traits, which is a system that prevents RSs from knowing the RSCAs. He further explains how this can be achieved by randomizing the number of traits assigned to members. If COs are unaware of the exact number of traits of each member they rate, they cannot manipulate the numbers to control the RSCAs (Marsh, 2020). The proposed system will assign a random number of traits to each member to prevent RSs from calculating their RSCA, which means one Sailor may be evaluated based on 7 traits, whereas another Sailor may be evaluated based on 9 traits (Marsh, 2020).

This new system proposed by Marsh (2020) may provide additional perspective on the issue identified by Small (2020), where RSCA contributes to an inaccurate measure of performance and potential due to the manipulation of the trait average. If the RSs are unable to see the RSCAs, it may instill a sense of honesty in their evaluations, but the results will not be an equal comparison between members due to the varying number of traits.

Although force distribution systems present several problems, as discussed by Baker (2017), Wolfgeher (2009), and Marsh (2020), there are positive elements as well. In the United States Army, Evans (2018) sought to determine the effectiveness of the Army's forced distribution performance appraisal system with the goal of recommending policy and behavioral changes to optimize the retention of the right talents. His motivation of the study stemmed from the 17% decrease in the number of Army personnel over the last eight years. Using the performance evaluation data of the Army, Evans (2018) conducted a



simulation-based analysis to replicate the typical constraints placed on Army Officers, such as forced distribution requirements, transfers, the span of control, and behavior of the raters.

In this study, the effectiveness of the Army's PES is a function of accurately assessing the members' performances (Evans, 2018). Based on the model's results in the number and severity of the evaluation inaccuracies, his findings revealed that 20.07% of members received low evaluations despite their high performance (Evans, 2018). Additionally, reducing the number of ratees from fifteen to five increased the misidentification rate by 59.86% (Evans, 2018). In other words, in a forced distribution system, the fewer the subordinates, the less "above average" evaluations raters can award due to the number of "above average" evaluations being dependent on the number of eligible members under each reporting senior, as seen in Appendix M (Evans, 2018; DOAF, 2019). His results also suggested the optimal configuration for his recommended system to include a span of control of raters to be 15 Officers that spend 12 months at each assignment. His results further indicated this configuration allowing 43% more Officers to receive top evaluations, relative to the current 14%, with a reduction in the annual critical misidentification by 10 Officers.

The configuration suggested by Evans (2018) sheds light onto grade inflation issue noted by Baker (2017) by incorporating recommendations made by Wolfgeher (2009) in his study. Taking his suggestion of eliminating the "up or out" model to expand the career options and adding Evans's (2018) model parameters of adjusting the span of control and tour lengths may expand the potential solutions to the grade inflation noted by Evans (2018). Although other relevant variables, such as budgetary constraints, administrative burden, and feasibility of implementing change based on operational schedule dictated by real-world events, adds another dimension of complexity to the problem-solving process.

In a separate study a year later, Evans teamed up with Bae to study the limitations of the Army's forced distribution performance evaluation system in identifying quality talents and found similar results (Evans & Bae, 2019). Between the two studies, Evans offers insights into variables relevant to improving the accuracy of the Army's performance evaluations system. Using data on performance appraisals, history of assignments, and



promotion board results of over 2,500 active duty O4s who were in-zone for the 2015 and 2016 promotion boards, Evans and Bae (2019) conducted a discrete event simulation to examine the limitations of the current PES by controlling for system structure, system dynamics, human behavior and policy constraints of the Army's PES. According to the results, the accuracy of the evaluations increased when the span of control was decreased (Evans & Bae, 2019). This result is similar to what Evans (2018) found in his previous study, which helps validate both findings. One additional finding was the increase in time spent on evaluation does not impact accuracy (Evans & Bae, 2019).

D. TRANSPARENCY

Following his studies from 2018 and 2019, Evans continued his analysis of the Army's performance evaluation system in 2020 with Robinson. Evans and Robinson (2020) explored the shortcoming of the Army's performance evaluation system, mainly focusing on how biases could be making the system less transparent. Their goal was to make performance evaluation more objective by helping evaluators recognize the structural and cognitive biases inherent in the Army's PES (Evans & Robinson, 2020). Using past studies and existing literature on the topic, Evans and Robinson (2020) proposed three methods to counter the structural biases.

First, senior raters only awarding "most qualified" evaluations to the top one-third of members to minimize Type I and II errors (Evans & Robinson, 2020). They explained Type I error is where the wrong individual is ranked high and Type II error is when the right individual is not ranked high. Evans and Robinson (2020) discuss a study conducted by the U.S. Army Human Resources Command, which indicates higher thresholds for "most qualified" members resulting in higher expected annual error. Based on those results, Evans and Robinson (2020) state raters can minimize the annual error by controlling the "most qualified" evaluations more strictly.

The second and third methods are shifting to a multiyear approach to prevent reaching the threshold every year and frequently providing feedback to the members (Evans & Robinson, 2020). They explain how the raters can better establish standards and expectations, as well as improve communication with their subordinates once they are



conscious of the potential biases. Evans and Robinson (2020) describe how the *2016 Center for Army Leadership Annual Survey of Army Leadership* results indicate over one-third of the responses revealing minimal feedback from leadership on their performance (Evans & Robinson, 2020). Based on those survey results, Evans and Robinson (2020) argue promoting transparency through open two-way conversation with your members can facilitate the capturing of accurate evaluations of the members' performance and future potential. The findings of Evans and Robinson (2020) add validity to the findings of Small (2020). Her research also indicated the importance of having two-way communication to minimize biases and maximize rating accuracy, as well as establishing a feedback loop to emphasize transparency.

Like Evans and Robinson (2020), the Air Force also explored ways to improve the level of transparency in their performance evaluation system, specifically quality feedback to members. Reinke and Baldwin (2001) surveyed 505 active duty Air Force O3s with bachelor's degrees or equivalent to determine whether independent variables like trust, expertise, superior-subordinate similarity, and management support have the potential to improve the quality of feedback given to O3s. Using survey data, they ran three regressions to analyze the cumulative effects of the independent variables. For this study, Reinke and Baldwin (2001) used the Air Force's definition of quality feedback, which is "feedback that is specific, objective, and involves two-way communication" (p. 161).

Reinke and Baldwin (2001) explain how specific feedback allows supervisors to clearly explain their expectations to their subordinates, as well as how well they are meeting the expectations. This is a critical component of feedback because it minimizes ambiguity in the supervisors' guidance to their subordinates. Objective feedback is where supervisors observe their subordinates' performance in an unbiased way (Reinke & Baldwin, 2001). Objectivity, as explained by Reinke and Baldwin (2001), is a prerequisite for providing accurate feedback because it contributes to the subordinates' perception of a fair evaluation system.

Two-way communication is where both the supervisors and subordinates are actively engaged in a conversation regarding the subordinates' performance (Reinke & Baldwin, 2001). Two-way communications help build better relationships between the



supervisor and subordinates that are rooted in trust and fairness, which are critical elements of effective feedback (Reinke & Baldwin, 2001). Their findings are consistent with what Evans and Robinson (2020) and Small (2020) found in their research regarding how two-way communication can lead to a transparent system that improves the accuracy of capturing performance. Based on the findings of Reinke & Baldwin, (2001) additionally focusing on specificity and objectivity of feedback may better equip raters as they continue to prioritize transparency in their PESs.

According to Reinke and Baldwin (2001), results suggested trust, expertise, and management support to be statistically significant to the member's perception of quality feedback, specifically the elements of specificity and two-way communication. For feedback objectivity, results indicate the interaction term of management support and expertise to be significant, with trust having the highest correlation overall (Reinke & Baldwin, 2001). In summary, their findings suggest improving the level of trust in reporting seniors, as well as management support and expertise, will result in increased quality of feedback to the employees.

In addition to Reinke and Baldwin (2001), Katz et al. (2021) also sought to understand how quality feedback can contribute to a positive work environment. They had two goals for their study: (1) use meta-analysis of literature pertaining to feedback environments to understand its relationships with the variables including individual differences, job characteristics, job attitudes, well-being constructs, organizational perceptions, and work behaviors, and (2) differentiate feedback environment from feedback orientation and leader-member exchange (LMX). Data for their study included findings from literature focusing on feedback environment and its seven dimensions, including credible, quality, appropriate and considerate, favorable, unfavorable, availability, and acceptance (Katz et al., 2021). Feedback orientation is defined as how inclined someone may be towards receiving feedback, and LMX is a member's perception of the quality of relationships with their supervisors (Katz et al., 2021). Using meta-analysis regression, they found feedback environment to be positively correlated to the following variables: feedback orientation, leader-member exchange, supervisor-rated performance, and negatively related to burnout.



For understanding the correlation between feedback environment and individual differences, Katz et al. (2021) considered five variables: feedback orientation, dispositional motivational constructs, implicit person theory, self-efficacy, and emotional skills. Results indicate all five variables being positively correlated to feedback environment with results being statistically significant (Katz et al., 2021). For understanding the correlation between feedback environment and job attitudes, Katz et al. (2021) considered three variables: organizational commitment, job satisfaction, and turnover intentions. Results indicate feedback environment being positively correlated to organizational commitment and job satisfaction, and negatively correlated to turnover intention with results being statistically significant (Katz et al., 2021). In other words, a working environment with positive feedback contributes to employees' job satisfaction and commitment to work with no desire to leave their current job.

For understanding the correlation between feedback environment and well-being, Katz et al. (2021) considered three variables: burnout, psychological empowerment, and work engagement. Results indicate feedback environment being negatively correlated to burnout and positively correlated to psychological empowerment and work engagement with results being statistically significant (Katz et al., 2021). In other words, someone working in a positive-feedback working environment is less likely to burnout and more likely to be psychologically empowered and actively engaged in their job. For understanding the correlation between feedback environment and organizational perceptions, Katz et al. (2021) considered seven variables: feedback reactions, politics perceptions, trust, LMX, perceived coaching behaviors, organizational support, and role clarity. Results indicate feedback environment being negatively correlated to politics perception and positively correlated to feedback reactions, trust, LMX, perceived coaching behavior, organizational support, and role clarity with results being statistically significant (Katz et al., 2021).

For understanding the correlation between feedback environment and job performance, Katz et al. (2021) considered three variables: supervisor-rated job performance, supervisor-rated creative performance, and supervisor-rated organizational citizenship behaviors (OCB). Results indicate feedback environment being positively



correlated to all three variables with results being statistically significant (Katz et al., 2021). For understanding the correlation between feedback environment and work behavior, Katz et al. (2021) considered the variable of feedback-seeking and determined it to be positively correlated to feedback environment with results being statistically significant.

The relevant variables found by Katz et al. (2021) with positive correlations to a positive feedback environment are directly in-line with the studies of Reinke and Baldwin (2001) and Evans and Robinson (2020). Placing emphasis on variables like feedback orientation, leader-member exchange, and supervisor-rated program performance within their current approaches may yield positive results for Reinke and Baldwin (2001) and Evans and Robinson (2020).

In addition to Katz et al. (2021), there are additional studies in the civilian sectors focused on increasing the level of transparency and feedback, such as the 360-Degree Assessment (360s). With the goal of determining the feasibility of incorporating 360s into the military's PES, Hardison et al. (2015) conducted a study at RAND. According to Hardison et al. (2015), a 360-Degree Assessment is a multi-rater approach to provide members with feedback from a variety of sources, such as supervisors, peers, and subordinates. It is a popular system in the civilian sector; therefore, Hardison et al. (2015) explored how well the 360s will fit in the performance evaluation systems of the different service branches of the military. Although most services implement some type of 360-degree assessment programs within their training and development programs, none of them are implemented in the periodic performance evaluations (Hardison et al., 2015). Their research indicates some services have more raters in their PES than others, but even then, it is limited to individuals above the position of the member being rated, so it does not qualify as a 360-degree evaluation.

Data used for their study was gathered from existing literature on the best practices of the 360-Degree Assessments, policy on current military practices regarding performance and advancement, and structured interviews with the designers of 360s, as well as military members of services that have incorporated the system (Hardison et al., 2015). As a part of their research, they gathered data on each services' performance evaluation systems to conduct a service comparison to establish a baseline knowledge of their systems. The



variables they compared include the types of forms, rating chain, evaluation of performance and potential, evaluation approach, counseling, traits, and more. For the interview, the total number of participants they selected was 13 senior policy stakeholders across the different services, joint staff, and Office of the Secretary of Defense (OSD), as well as eight additional individuals recommended by the first 13 participants (Hardison et al., 2015).

According to Hardison et al., survey results indicated an overall positive outlook on the 360s by most interview participants. With that being said, research and interview results led to not recommending the implementation of 360s in the Officer's evaluation system but using it for general developmental purposes (Hardison et al., 2015). According to the results, participants expressed concerns about incorporating 360s into the military PESs due to the potential increase in administrative burden on the force (Hardison et al., 2015). Participants noted how the multi-rater system is a complex system that will take time for service members to not only trust but fully understand the system in its entirety (Hardison et al., 2015). Participants further explained how two separate evaluation systems will likely cause confusion and frustration among service members (Hardison et al., 2015). Other concerns included manipulation of the assessment results caused by sabotaging the evaluation with false ratings and service members altering their behaviors for the sake of receiving better evaluations at the cost of mission readiness (Hardison et al., 2015).

The participants' consensus was not to implement 360s into the military's performance evaluation systems, but many supported incorporating them into the development component of the service members (Hardison et al., 2015). Whether it is added to training, schools, or individual goal-settings, participants believe 360s can supplement the professional development of service members in a variety of different settings across the different services and communities (Hardison et al., 2015). Based on the development approach recommended by survey participants, Hardison et al. (2015) recommend modifying the Army's Multi-Source Assessment and Feedback (MSAF) system and implementing it in other services. The MSAF allows inputs from a variety of different organizational levels to gather inputs that are focused on core competencies and



leadership behavior expectations established in the organizational guidance (Hardison et al., 2015).

Like Hardison et al. (2015), Ellison (2014) also explored ways to create a transparent PES for the Navy by comparing it to the Marine Corps' PES through the lens of economic literature on PES and promotion systems. His objectives were to focus on rating accuracy, differentiation of talent, and performance comparison methods. For the study, he selected the BUPERSINST 1611.10 series and MCO 1610.7 series as the relevant performance appraisal structures (PASs) because the Navy and Marine Corps are similar in organizational structure and mission. With the two instructions, he conducted a case study by searching for the number of words relevant to performance evaluation. Additionally, he used existing literature on performance appraisal to determine the optimal method of signaling productivity of Navy Officers. Results indicated the Marine Corps having a higher rating accuracy in their PES, and the Navy's PES having lower confidence levels in rating accuracy and differentiation of talent (Ellison, 2014).

After searching the entire PAS of the USN and USMC, Ellison (2014) organized the findings based on the number of words found, PAS percentage, and degree of differentiation. The results were categorized into two categories: subjective comparison basis and purpose (Ellison, 2014) Under the subjective comparison basis category, he searched for criteria like "absolute" and "relative." Results indicate both services rely on absolute comparisons for evaluating a members' performances: 13 for the Marine Corps, which results in 92.8 percent, and seven for the Navy, which results in 87.5 percent (Ellison, 2014). In addition, both services utilize traits to assess the members' behaviors, then use the average trait value to signal productivity (Ellison, 2014). The Navy uses the trait average to compare it against the trait average of the summary group and the Marine Corps uses the trait average to calculate the RV (Ellison, 2014). The reliance on absolute methods indicates both services not maximizing their opportunities to differentiate performance because they allow rater leniencies and errors that are inherent in absolute systems (Ellison, 2014).

According to the results, Ellison (2014) noted how both services make one relative comparison. The Navy's relative assessment is when reporting seniors rank their Sailors



against the summary group, and for the Marine Corps, it is the Comparative Assessment (Ellison, 2014). The difference here is the Navy evaluates a Sailor against a specific summary group, whereas the Marine Corps evaluates their members against everyone the RO has ever observed (Ellison, 2014).

Under the purpose category, observed categories include accuracy, differentiation of talent, learning, communication of expected behavior, enable feedback, and accountability, with sub-categories within the main categories (Ellison, 2014). Overall, the Marine Corps PAS emphasized accuracy more than the Navy PAS. In addition, the sub-categories of rater attitude, rater training, and fairness were emphasized more than the Navy (Ellison, 2014). In comparison, Ellison (2014) notes that rater training was never mentioned in the Navy PAS. The level of emphasis on fairness in the Navy PAS was equal to the Marine Corps but fell behind the Marine Corps for the overall accuracy category (Ellison, 2014).

The PAS's differentiation of talent category entails the accurate recording of variance in the members' performance, which is measured by observing the sub-categories of traits, comments, promotion recommendations, rankings for the USN, and comparative assessment for the USMC (Ellison, 2014). Within the sub-category of traits, both services use them to differentiate top performers, but the number of traits varies (Ellison, 2014). The Navy evaluates its members on 7 traits on a 5-point scale, whereas the Marine Corps evaluate its members on 13 traits on a 7-point scale (Ellison, 2014). This results in the Marine Corps having 79 possible trait averages, whereas the Navy only has 29 (Ellison, 2014). For the sub-category of comments, both services use them to justify certain trait grades. In the Navy, a grade of a 1.0 in any trait, a 2.0 in three or more traits, or a 3.0 and below for the Command Climate or Character traits requires comments to justify (Ellison, 2014). For the Marine Corps, only the highest grades ("F" and "G") require justification in the comments block (Ellison, 2014).

For the sub-category of promotion recommendations, the Marine Corps uses a yes/no scale to identify the top and bottom performers (Ellison, 2014). The top two performers will earn the same recommendations with no distinctions between the two (Ellison, 2014). The Navy, on the other hand, has constraints on promotion recommendations due to forced distribution (Ellison, 2014). He explains how the number of EPs and MPs is dependent on



the size of the summary group and the rank of the members in the summary group. The only differentiation is between members in a different promotion recommendation (Ellison, 2014). In other words, if two Sailors are awarded EPs, there is no differentiation between them (Ellison, 2014). For the sub-category of rankings, the Navy leaves it at the discretion of the rater (Ellison, 2014). There is no requirement to do so, but should the rater choose to rank one of their Sailors as the best one out of eight of their peers, the rater can annotate “#1 of 8” at the top of the comments block (Ellison, 2014). For the sub-category of comparative assessment, the Marine Corps ranks its members against the performance of all the members the RO has ever rated (Ellison, 2014).

For the learning category, neither services’ PAS reference learning about their members’ productivity (Ellison, 2014). Instead, results gained from the rating tools (USN’s ranking and USMC’s comparative assessment) are used to assess the level of learning of the members (Ellison, 2014). For the communication of expected behavior category, the Navy defines it only in the rates, whereas the Marine Corps defines it in both the rates and the PES instruction (Ellison, 2014). For the enable feedback category, both services provide information to facilitate feedback, which is split into two sections: (1) information on the member’s strengths and weaknesses and (2) where the member stands relative to their peers (Ellison, 2014). For the category of accountability, the Navy uses traits, rankings, and promotion recommendations to assess accountability, whereas the Marine Corps uses traits, comparative assessment, and RV (Ellison, 2014).

Based on results, Ellison (2014) makes three recommendations: (1) realign the raters’ understanding of the purpose of performance evaluation and the importance of rating accuracy to the organization’s guidance, (2) utilize relative comparison for ranking members, and (3) use performance evaluation results as a foundation for establishing a productivity metric to optimize financial management of the service (Ellison, 2014). With the first recommendation, Ellison (2014) suggests implementing four specific tasks, which include Navy leadership placing greater emphasis on the importance of rating accuracy, updating the instruction to include additional sections on accuracy, inflation, and RSs’ training requirements, updating the instruction to include the requirement for the RSs’ ISIC to



monitor inflation, and finally remove all negative incentives that promote inaccurate evaluations.

Ellison's (2014) recommendations are in-line with shortcomings identified by Small (2020) in the Navy's current PES. His first and second recommendations of realigning the RSs' rating philosophy and incorporating relative comparison scales have great potential to address the issues regarding the imbalance in emphasis of past performance and future potential and their inaccurate assessment, as noted by Small (2020). Ellison's (2014) third recommendation does not directly assess shortcomings identified by Small (2020) but it is likely a topic of interest in today's Navy.

Regarding his second recommendation, Ellison (2014) justifies it by claiming the ability to effectively differentiate talent is the most important aspect of signaling productivity. To do so, he recommends having an additional block on the evaluation form to conduct the relative comparison. The Navy's current method of using trait averages is not a relative comparison, but rather a "relative position of an absolute comparison" (Ellison, 2014, p. 42). On the contrary, the Marine Corps raters evaluate their members against established standards prior to comparing them against their peers, which increases rating accuracy (Ellison, 2014).

His third and final recommendation centers on establishing a performance metric known as cumulative productivity metric (CPM). A CPM is formulated to signal the average rate of productivity over different observation periods (Ellison, 2014). He argues this method would not only allow improved financial and manpower efforts, but also measure any changes in productivity resulting from relevant policy changes (Ellison, 2014).

E. INDICATORS OF POTENTIAL

A system that lacks transparency, as explained in section D of this chapter, could lead to an inaccurate measure of performance and future potential. The USMC faces similar challenges in their performance evaluations system regarding transparency. Several studies have looked at the relevant variables that contribute to creating a system that is both transparent and accurate, including Larger (2017). He analyzed the PES for junior Marines, known as the Proficiency and Conduct (PRO/CON) Marks, to determine whether it serves



as an accurate measure of the Marines' performances. He conducted a factor analysis and multivariate regression to analyze the data on reliability, validity, accuracy, and practicality of the system. As a related note, the Proficiency and Conduct Marks system has been replaced by the Junior Enlisted Performance Evaluation System (JEPES) in CY 2021, as previously mentioned in Chapter II.

Larger (2017) assessed the reliability based on the stability and consistency of the PRO/CON Mark's measurement of performance across the different raters (Larger, 2017). This was done by observing the standard deviations in the scores to observe consistency over time (Larger, 2017). In addition, the interrater reliability was measured by conducting a regression analysis on Primary MOSs (PMOSs) of Marines assigned to similar jobs across the service (Larger, 2017). He selected the Administrative Specialist (PMOS 0111), Intelligence Specialist (PMOS 0231), Field Radio Operator (PMOS 0621), and Motor Vehicle Operator (PMOS 3531) MOSs for his study.

Results did not indicate any instability within PRO/CON Marks, but they did indicate proficiency marks becoming uninformative (Larger, 2017). Results indicate proficiency marks declining annually at 5.54% of a standard deviation for an E3 and 2.19% of a standard deviation for an E4. Results further indicate interrater reliability to be fairly consistent (Larger, 2017). For example, an Intelligence Specialist (PMOS 0231) that is assigned to an air unit resulted in proficiency marks 0.2173 points lower relative to their peers (Larger, 2017).

Construct validity verifies whether the PRO/CON Marks measure what it is designed to measure. To measure, Larger (2017) conducts a factor analysis to determine whether the PRO/CON Marks are the best predictor of a Marines' performance and potential, which was done by comparing three years of evaluation scores of an E4 leading up to promotion to E5 (Larger, 2017). For construct validity, three underlying performance elements were identified from the factor analysis: person-organization fit, physical fitness, and human capital (Larger, 2017). Based on results, PRO/CON Marks is a measure of the "person-organization fit" element. For predictive validity, he takes the results from the factor analysis to determine whether PRO/CON Marks are good predictors of a Marines' future performance, which turned out to be true. Based on results, an E4 with a nontechnical



Primary MOS saw an increase in the reporting senior relative value (RSRV) by 7.3% for every increase in standard deviation in “person-organization fit” (Larger, 2017).

Accuracy is assessed by measuring variables that contribute to inaccurate measures of performance, such as central tendency error, halo error, and rater leniency (Larger, 2017). Central tendency error is measured by assessing the standard deviation to determine the differentiation across the marks among Marines (Larger, 2017). Halo error is measured by assessing the correlation between proficiency and conduct marks (Larger, 2017). Rater leniency, also referred to as inflation, is measured by comparing the distribution marks to the desired distribution (Larger, 2017). Based on results, central tendency error is not a concern in PRO/CON Marks but is a concern for rater leniency and halo effect (Larger, 2017).

Regarding rater leniency, Larger (2017) establishes the mean PRO/CON Mark as 4.2 based on data from the Marine Corps Individuals Records Administrative Manual (IRAM). In comparison, results indicate the average PRO/CON Mark to be between 0.14 and 0.25 higher than IRAM’s average of 4.2 (Larger, 2017). Regarding the halo effect, results indicated PRO/CON Marks having a high correlation value of 0.84; in other words, measuring the same performance (Larger, 2017). More specifically, his results indicate the conduct mark to increase by approximately 0.95 for every point increase in the proficiency mark.

Practicality is measured by determining whether the marks are interpretable, usable, observable, and acceptable. (Larger, 2017). According to his results, the PRO/CON Marks are less interpretable, more observable, mostly usable, and less acceptable. The PRO/CON Marks are usable in the sense that raters can observe the evaluations scores to signal the future potential of the Marines, but the problem lies in its difficulty to interpret the available data points to make talent management decisions (Larger, 2017).

Overall, Larger (2017) concludes the Proficiency and Conduct Marks as the best predictor of future potential relative to other composite score variables, such as rifle, PFT, CFT, time in grade (TIG), time in service (TIS), duty bonus, education bonus, and recruiting bonus. Specifically, he found the PRO/CON Marks to be the most important factors to an E4’s composite score, followed by them being the second most important for an E3.



Although results indicate the system to be effective overall, it also reveals the potential for improvement on the margins, such as the inconsistency across the raters and the Proficiency and Conduct Marks measuring the same type of performance (Larger, 2017).

Based on his findings, Larger (2017) recommends that the Marine Corps' decision-makers maintain the status quo while improving the rating format by redefining performance characteristics to make them more relevant to proficiency and conduct. This includes incorporating traits that are observable and easier to measure quantitatively (Larger, 2017). He also recommends that the USMC improve the training at Professional Military Education (PME) by teaching supervisors how to identify and minimize bias to improve the accuracy of the rating. His recommendations are consistent with Small's (2020) recommendations to improve evaluation training to reduce biases in the Navy's PES.

F. RATER CONSISTENCY

In his study, Larger (2017) provided valuable insights into many variables relevant to performance evaluation, one of which was consistency between raters. This is a variable that Dunst (2018) included in his study of variables that could potentially influence a CO's evaluation. By examining the USMC's performance evaluation system, Dunst (2018) aimed to identify three things: (1) indicators for high-quality Marines, (2) any variations in the evaluation outcomes based on demographic variables, and (3) whether non-performance variables (race, gender, occupational field, etc.) influenced the RS's evaluations of the Marines Reported On (MRO). Using data on FITREPs and demographic information of Marine Officers, Dunst (2018) conducted a multivariate regression analysis to measure the level of consistencies of reporting seniors' abilities to identify high-quality Marines using appropriate variables.

Based on his results, Dunst (2018) suggested that evaluations are more favorable for MROs if they are of the same race as the RS. For example, white RSs rate white MROs higher FITREP scores than non-white MROs, and non-white RSs rate white MROs lower FITREP scores than other MROs (Dunst, 2018). This indicates a potential race benefit for MROs if they are the same race as the RSs (Dunst, 2018). Another finding was non-white RSs rate non-white MROs more critically based on FITREP scores (Dunst, 2018).



Dunst (2018) defines “RS learning” as how much RSs are learning about their MROs’ strengths, weaknesses, and productivity levels measured by the growth rate of FITREP scores. Based on his definition of RS learning, his results indicate non-white MROs and RSs to have a slower RS learning rate relative to a relationship between white MROs and RSs (Dunst, 2018). His results further indicate MROs with non-white RSs to have the slowest RS learning growth rate.

These results indicate issues of potential biases in the Marine Corps’ performance evaluation system, but Dunst (2018) also discovered that RSs value MROs’ performance-based variables relative to non-performance variables. Performance-based variables include combat experience and education, whereas non-performance variables include demographic data like gender, marital status, religion, and dependents (Dunst, 2018). Specifically, he found education to be the strongest predictor of high-quality Marines, but results varied depending on the different occupational fields. This indicates some communities value education more than others (Dunst, 2018).

In addition, he found physical fitness scores and combat experience were found to be significant variables as well. Based on variations found in the reporting seniors’ evaluations of MROs, Dunst (2018) suggested improving FITREP training and revisiting the USMC rating philosophy guidance for RSs. The training and alignment to rating philosophy are consistent with recommendations made by Larger (2017) and Ellison (2014) to address shortcomings they have identified in their raters.

Improving the training for raters is a topic that is studied in the civilian sector as well. Woehr and Huffcut (1994) conduct a quantitative review of literature pertaining to rater training to improve the quality of performance ratings. They created a framework containing four training strategies and four dependent measures. The strategies include rater error, performance dimension, frame-of-reference, and behavioral observation, and the dependent measures include halo, leniency, rating accuracy, and observational accuracy (Woehr & Huffcutt, 1994). In addition, they conduct a meta-analysis to evaluate the effectiveness of the training strategies across the dependent measures.



Woehr and Huffcut (1994) identified 29 relevant empirical studies during the literature review, which resulted in 71 data points. They coded each of the 29 studies to produce the results of the meta-analysis for performance appraisal rater training. According to their results, rater error training is the most frequently evaluated strategy and is an effective strategy for reducing halo error, but not as effective against leniency. Additionally, results indicate rater error training to increase the rating accuracy (Woehr & Huffcut, 1994). For the performance dimension, their results indicate this strategy to be effective at reducing halo error and ineffective at increasing rating accuracy.

For frame-of-reference training, results indicate this strategy to be the most effective strategy for increasing rating accuracy, as well as a slight increase in observational accuracy and decrease in halo and leniency (Woehr & Huffcut, 1994). For behavioral observation training, their results indicate this strategy to be the least frequently evaluated strategy but has a positive effect on rating and observational accuracy. The results have confirmed the effectiveness of the strategies in their ability to address performance ratings per its initial design: rater error training decreases rating error and performance dimension training, frame-of-reference training increases rating accuracy, and behavioral training increases observational accuracy (Woehr & Huffcut, 1994).

Results also revealed additional findings based on different combinations of strategies. The combination of rater error and frame-of-reference result in the positive effect on decreasing halo and leniency errors and increasing rating accuracy (Woehr & Huffcut, 1994). They explain how the combination of rater error and behavioral observation training results in a slightly positive effect on decreasing halo error, slightly negative effect on leniency, and a huge positive effect on observational accuracy. The combination of behavioral observation training and performance dimension training results in a huge negative effect on halo error and a moderate positive effect on leniency (Woehr & Huffcut, 1994).

Woehr and Huffcut (1994) have identified strategies that could potentially improve the quality of rater training efforts suggested by Dunst (2018), Larger (2017), and Ellison (2014). Placing heavier emphasis on rater error training and frame-of-reference training shows great promise in improving the quality of evaluations written by trained raters.



Table 3. Summary of Literature Review Findings

TRANSPARENCY	
Katz et al (2021) <i>Civilian</i>	Feedback orientation, dispositional motivational constructs, implicit person theory, self-efficacy, and emotional skills correlated to feedback environment with results being statistically significant. Feedback environment was negatively correlated to burnout and positively correlated to psychological empowerment and work engagement with results being statistically significant. Supervisor-rated job performance, supervisor-rated creative performance, and supervisor-rated organizational citizenship behaviors (OCB) were all positively correlated to feedback environment.
Hardison et al (2015) <i>Cross-Service Comparison</i>	Overall outlook on 360s by interview participants was positive, but they recommended not implementing 360s into the military's PES, and instead, using it for general developmental purposes.
Ellison (2014) <i>USN & USMC</i>	Both services rely on absolute comparisons for evaluating a members' performances. Both services utilize traits to assess the members' behaviors, then use the average trait value to signal productivity. The reliance on absolute methods indicates both services not maximizing their opportunities to differentiate performance because they allow rater leniencies and errors that is inherent in absolute systems. Overall, the Marine Corps PAS emphasized accuracy more than the Navy PAS; the sub-categories of rater attitude, rater training, and fairness were emphasized more than the Navy. Both services equally emphasized fairness, but the Navy fell behind the Marine Corps for the overall accuracy category.
INDICATORS OF POTENTIAL	
Larger (2017) <i>USMC</i>	Proficiency and Conduct Marks is the best predictor of future potential relative to other composite score variables, such as rifle, PFT, CFT, TIG, TIS, duty bonus, education bonus, and recruiting bonus. PRO/CON Marks was the most important factor to an E4's composite score. PRO/CON Marks reveal the potential for improvement on the margins, such as the inconsistency across the raters and the Proficiency and Conduct Marks measuring the same type of performance.
RATER CONSISTENCY	
Dunst (2018) <i>USMC</i>	Evaluations are more favorable for MROs if they are the same race as the RS. Non-white MROs and RSs have a slower RS learning rate relative to a relationship between white MROs and RSs. MROs with non-white RSs have the slowest RS learning growth rate. RSs value MROs' performance-based variables relative to non-performance variables.
Woehr & Huffcut (1994) <i>Civilian</i>	Rater error training is the most frequent evaluated strategy and is an effective strategy for reducing halo error, but not as effective against leniency. Rater error training increases the rating accuracy. The performance dimension strategy is the most effective at reducing halo error and ineffective at increasing rating accuracy. The frame-of-reference training strategy is the most effective strategy for increasing rating accuracy, as well as a slightly increasing observational accuracy and decreasing halo and leniency. The behavioral observation training strategy is the least frequently evaluated strategy but has a positive effect on rating and observational accuracy.
NAVY PES WEAKNESS & CIVILIAN STRENGTHS	
Small (2020) <i>USN</i>	Google's new system uses a combination of self-evaluation, multisource feedback, and monthly coaching to not only improve feedback to the employees to improve their performance, but also accuracy of the managers' rankings of their staff members. Deloitte's new system uses (1) check-ins focused on frequent conversations focused on future potential, (2) career coaching focused on professional development, (3) snapshots focused on team members assessing the performance of the team leaders, (4) pulse surveys focused on team building and improvement, and (5) talent review focused on career development. Navy's current PES has critical shortcomings: (1) outdated system, (2) process over performance, (3) greater emphasis on past performance over future potential, (4) lack of transparency, and (5) inaccurate measures of performance. A PES will not function well if it tries to handle both the administrative and developmental tasks. Doing both will result in decreased quality of feedback. A PES should emphasize two-way conversations, evaluation trainings to minimize biases, and maximize accuracy of rating. An increase in supervisor-subordinate engagement increases the employees' performance.
INFLATION	
Baker (2017) <i>USAF</i>	Grade inflation is an issue in the USAF's PES. Reporting seniors frequently inflate the performance evaluations due to (1) concerns for the negative implications on the members' careers and (2) the evaluators being viewed negatively by the ratee due of giving negative evaluations.
Wolfgeher (2009) <i>USAF</i>	Reward systems, military culture, and organizational structure had the highest correlation to inflation. There's a culture within the Air Force where average is considered bad, therefore contributing to the rise in inflation. Organizational structure leads to inflation due to lower-level leaderships having minimal control over the members' selections. Most rewards and promotions are centralized, which gives lower-level leaders no control over them; hence, leaders are pressured to inflate evaluations to reward their service members in the best way they can.
FORCED DISTRIBUTION SYSTEM	
Marsh (2020) <i>USN</i>	Evaluation of the member's performance is an afterthought because reporting seniors are forced to rank Sailors based on time on-board, relative to their actual performance.
Evans (2018) <i>US4</i>	20.07% of members received low evaluations despite their high performance, and reducing the number of ratees from fifteen to five increased the misidentification rate by 59.86%. The optimal configuration include a raters' span of control to be 15 officers that spend 12 months at each assignment, which allows 43% more officers to receive top evaluations relative to the current 14%.
Evans & Bae (2019) <i>US4</i>	Accuracy of the evaluations increased when the raters' span of control was decreased. The increase in time spent on evaluation does not impact accuracy.
TRANSPARENCY	
Evans & Robinson (2020) <i>US4</i>	Type I and II errors can be minimized by senior raters only awarding "most qualified" evaluations to the top one-third members. Shifting to a multi-year approach prevents reaching the threshold every year, and frequently providing feedbacks to the members minimize biases. Transparency through open two-way conversation with your members can facilitate the capturing of accurate evaluations of the members' performance and future potential.
Reinke & Baldwin (2001) <i>USAF</i>	Trust, expertise, and management support were statistically significant to the members' perceptions of quality feedback, specifically the elements of specificity and two-way communication. For feedback objectivity, results indicate the interaction term of management support and expertise to be significant, with trust having the highest correlation overall.

Adapted from Baker (2017); Dunst (2018); Ellison (2014); Evans (2018); Evans & Bae (2019); Evans & Robinson (2020); Hardison et al (2015); Katz et al (2021); Larger (2017); Marsh (2020); Reinke & Baldwin (2001); Small (2020); Woehr & Huffcut (1994); Wolfgeher (2009)



THIS PAGE INTENTIONALLY LEFT BLANK



V. FOCUS GROUP DISCUSSIONS WITH NAVY SUBJECT MATTER EXPERTS

This thesis has two main objectives: (1) identify which features of the Navy's current performance evaluation system are working and which are not working, and (2) determine the best practices of other services' performance evaluation systems that could be adopted into the Navy's system to address shortcomings. In conjunction with the literature review to identify the strengths and weaknesses of the other services' PESs, our team conducted focus groups discussions. In this chapter, I discuss the purpose of the focus group discussions, the questions asked, our methodology, and our findings.

A. PURPOSE

The reason our team conducted focus group discussions stemmed from current performance evaluation transformation efforts made by the Navy. In their efforts to improve and modernize the Navy's PES, Navy SMEs in talent management advised the team to conduct focus group discussions with various Navy stakeholders to collect their recommendations on how to improve our system. Upon further discussions, we decided to focus on senior Officers and Enlisted Sailors with selection board experiences as potential focus group participants.

B. QUESTIONS

The focus group questions were created in conjunction with the literature review, extensive discussions with Navy SMEs in performance evaluation, and inputs from an academic faculty member. Our team focused on topics such as documenting future potential, use of traits, midterm counseling, and evaluation periodicity. The list of questions asked during the focus groups can be found in Appendix A.

C. METHODOLOGY

Our team facilitated open-ended discussions on what the focus group participants thought the strengths of the Navy's current PESs were, and how the weak areas could be



improved. The SMEs for the focus groups were selected from the list of members of the following FY22 promotion boards:

Active-Duty Master Chief Petty Officer (MCPO) (E9)

Active-Duty Lieutenant Commander (O4) Line and Staff

Active-Duty Captain (O6) Line and Staff

Reserve Lieutenant Commander (O4) Line and Staff

I accessed the lists of board members from the MyNavyHR website and retrieved their email addresses from the Navy/Marine Corps Intranet (NMCI) Outlook email Web Access (OWA). The NPS faculty member from the research team randomly selected 120 members from the lists of board members, and we each emailed 60 members. The final response rate was 43%. The total participants were 52 members, which included 26 E9s of various rates and 26 O5s and O6s of various communities.

An NPS team comprised of one academic faculty member and I conducted twelve 1-hour virtual focus group discussions on Microsoft Teams from 15 November to 3 December. The academic faculty member led the discussions while I was the primary note-taker of the discussions. In a few focus groups, we had other faculty note-takers.

The SMEs in these groups had extensive knowledge and experience with performance evaluation in the Navy. The O5 and O6 participants offered insights into the performance evaluation process from both the CO's and board's perspectives, which added validity and clarity to their comments and suggestions. In addition, we had E9s of various rates who had experience in different communities. This, combined with their years of experience in handling Enlisted evaluations from both the unit's and board's positions, made the focus group discussions very rich and informative. Between all the participants, hearing their perspectives on current shortcomings and potential solutions provided valuable insights on what is working with our current system, what is not working, their thoughts on the other services' systems, and recommendations for change.



D. FINDINGS

1. Past Performance vs. Future Potential

The general consensus among focus group participants was that we do a fairly good job of documenting past performance, but that we need more work on documenting future potential. The following thoughts were shared by our participants regarding how well the Navy captures past performance and future potential:

We don't do a good job of documenting future potential. We do a good job of documenting the job they're doing right now from the perspective of what their next potential job is.

Currently, there's no way to measure future potential with the current system, so we should utilize midterm counseling to course correct.

We do a good job of capturing past performance. We use hard and soft measures to capture past performance. Future potential is only soft, no hard, so we could use more hard measures. I've seen many civilian systems of several variations, but the Navy's system is the best out of all.

In the end, it's still subjective. The written marks don't match the numbers. It's a number's game, so it allows for manipulation. We give them a 4 or 5 because we need to break them out, regardless of the true assessment of that specific trait. We need to justify marks of 4s and 5s, right now there's no justification requirement, like the 1s and 2s. Block 41 has nothing to do with the numerical values.

Although most participants thought the Navy adequately captures past performance, they also expressed areas that could be improved. For example, the narrative block of the evaluation forms is limited to 18 lines and there are no additional forms used, which could restrict RSs' ability to effectively document a Sailors' past performance in its entirety.

On the contrary, other participants informed us about the wasted space created in block 41 with "fluff" that does not accurately capture the member's accomplishments. Comments like, "unlimited potential" and "excels under minimal supervision" were considered fluff by focus group participants. Participants theorized that a part of the problem is caused by the lack of proper training for RSs, especially the junior COs (O4s). FITREPs are designed for COs to communicate to the board members, and if the COs do



not know how to speak the board's language, the information could be misinterpreted. Even Enlisted evals and Officer FITREPs use different writing styles, so focus group participants argued that having standardized training would yield positive impacts for the members being evaluated.

The following are thoughts shared by participants regarding shortcomings in documenting past performance and recommendations for improvements:

Regarding past performance, we spend too much time using fluff. There's also differences between officer and enlisted writing. We need training guides for officers on how to write it properly.

Comes down to the quality of the RS for accurately capturing the Sailor's performance. I sat in 6 boards this year and I've noticed an inconsistency in RSs, especially junior RSs. There were ambiguity in their reporting and the board members were not clear on what needed to be communicated. There needs to be standardized trainings for RSs.

A lot of it can be mitigated by the CO in their execution. Having proper signals to the board is crucial, so that kind of training is critical to be an effective CO helping their Sailors. We need to change the system to where there's no ambiguity in the board, a system where training on the business rules shouldn't even be required. P-XO course would be a GREAT TIME to get that level of training.

RSs in other communities are better than others. HR has trainings for board members, like trainings and mentoring for O6s by the O7. It's easy to write on great and terrible people, but it's harder to write on people in the middle. This can be somewhat mitigated by conducting trainings. The focus should be on how to write honest assessments of performance instead of focusing on the golden child because they'll promote regardless. We need more consistency across all RSs and need standardized trainings for them. Board members see inconsistency depending on the community when it comes to boards.

Capturing performance and potential is highly dependent on the RS. Since we're writing in a way to convey a message to the board members, we tend to lose sight of the member's true performance.

We should make it a requirement for prospective COs to sit in on boards.

The main recommendations for improving the proper documentation of past performance and better signaling of future potential focused on improving the training of



RSs. Requiring senior members with board experience to train prospective Commanding Officers will not only improve their writing but also help them understand the impacts evaluations have on their members' careers. Some participants suggested implementing standardized training for unit COs to train their JOs, but also for a prospective Executive Officer (P-XO) course to revamp their training on evaluations. By including it in the P-XO training pipeline, prospective Commanding Officers will be equipped with the proper knowledge of not just how to effectively communicate to the board, but also how to conduct honest assessments of their subordinates.

Focus group participants also recommended providing community-specific evaluations to Junior Officers so they can see both the good and bad examples. Making them community-specific is key because each community/rating has different milestones and values that impact the narratives on their evaluations. Participants further justified the establishment of community/rating-specific standards for promotion because it allows each community and rating to have their own "gold standard" for advancement, making the milestones a little clearer for both the board members and the individuals.

In addition to the lack of training, participants discussed the culture of fear that prevents RSs from documenting anything negative on FITREPs and EVALs to avoid inadvertently ending a Sailor's career. This also results in writing fluff to send coded messages to the board, while satisfying the member being evaluated due to the lack of negative comments. The following perspectives were provided by focus group participants regarding the Navy's culture in performance evaluation:

There is a culture of fear of ending a Sailor's career if there's any non-positive element in the evaluations.

It's hard to say something negative due to the culture. RSs had to become artists and be creative on how to make Sailors stand out within the constraints of the form structure and required blocks to be filled out.

You can't say anything negative, which forces them to read between the lines.

Regarding future potential, many participants agreed that the FITREP form does not allow RSs to provide enough information to the board. Participants explain that the



purpose of the Navy's evaluation forms is to communicate to the board the Sailors' potential for their next milestone based on their performance during the reporting period, yet the future potential is interpreted based on what is documented in blocks 40 through 43. Participants explain that block 40 allows RS to list up to two recommended career milestones, block 41 is the 18-lined narrative space, and blocks 42 and 43 allow RSs to rank their members on a P/MP/EP system within the summary group, which has restrictions due to forced distribution. These blocks alone, according to the participants, are not detailed enough to capture the entirety of a Sailor's true future potential, especially based on how they are currently used.

We mentioned how other services use separate forms to evaluate future potential, which many participants agreed was a good idea. Other discussion points included establishing a clear milestone path for advancement like the Navy SEALs, such as serving at a specific billet for a certain amount of time. Participants discussed how this would allow Sailors' performance to be assessed against established standards relative to their peers. The following were discussion points and recommendations offered by participants regarding assessing future potential:

Add a future potential block in the FITREP or have a separate form for documenting it.

Future potential is included in openers and closers of evaluation. SEALs do a great job of having clear requirements, like # years in billets, specific jobs, etc., in order to promote. We need to have a clearer path for advancement and standardize it. It empowers the individuals by giving them more control over promotion.

2. Traits

A vast majority of participants agreed we are asking the right traits for today's Navy, but not using them correctly to assess the members' true performance. According to participants, the actual traits are an afterthought for most RSs because traits are used merely as a number game to control the trait average for the RSCA. Participants further explain their thoughts as follows:



The actual traits are good and reflect something we value, but traits have become a numbers game for managing RSCA. Board members never really look at the individual traits. It's not useful how we currently use it.

Trait averages are subjective because it's dependent on COs for placing different benchmarks. Traits are more of an afterthought.

Individual traits are irrelevant unless it's a 1 or 2. If we were to make changes, board members still need to be able to compare and rank members.

It's a tool used to manipulate the RSCA. Board members don't focus on the traits themselves.

I've never seen in boards where they discuss where the x's are marked on the traits, it's an afterthought.

In addition, we discussed the feasibility of incorporating a binary trait, similar to what the USAF does, where each trait will be assessed on a "Meets/Does Not Meet Standards" rating scale. We received mixed inputs, but most participants were against implementing such a system because most RSs will put "Meets Standards" and end up providing less information for the board to work with. Below are some examples of how the participants felt regarding incorporating binary traits in the Navy's PES:

Don't recommend the USAF method of using binary traits because it gives board members very little to work with.

Binary traits are fine, as long as we can still rank our officers. Certain traits can be binary, like "Tactical Performance" and "EO."

Not a fan of binary traits. From a board's perspective, having numerical values give a basis for comparison of all the Sailors. Binary traits will give the board less information to work with.

There were several other suggestions from our participants regarding traits, such as including additional traits that are more relevant to today's Navy, such as innovation, administrative skills, and social skills. In addition, participants also suggested separating military bearing from physical fitness to reward those who pursue a higher level of physical fitness standards, similar to the Marine Corps. Below is a summary of additional suggestions from our participants regarding traits:

Improve the language of trait descriptions to place heavier emphasis on teamwork.



Why not ask “Innovation?” We need to adjust the traits based on today’s Navy. Align it with the CNO’s priorities.

Expand the list of traits, like people skills, technical abilities, administrative duties, etc.

Separate military bearing from physical fitness. Give higher credit for those who are in better shape.

Despite the recommendations to change the traits, focus group discussions gave the impression that the changes will yield minimal value until we change the culture where traits are an afterthought of managing the CO’s RSCA. Although RSs reverse engineer trait averages to manage their RSCA, the traits are serving the purpose of aiding RSs and board members rank Sailors, just not serving the purpose of truly evaluating the Sailor for the specific traits.

3. Raters

Currently in the USN, FITREPs are completed by the reporting senior only, who is also the rater. Other services use multiple raters to capture a wider view of the member’s performance. Culturally, we have multiple members reviewing Sailors’ evaluations as they get routed up the chain of command, but it is not a formalized process and they certainly do not rate the Sailor. It is more of an administrative process focused on checking for errors on the forms prior to reaching the reporting seniors. Our team posed the question of whether formally incorporating additional raters in the Navy’s PES would improve the quality of our evaluations. Below are some of the responses we gathered from our participants:

Ultimately, it’s the CO doing the final rating, so having someone else in between has minimal value.

Tougher for smaller commands to have multiple raters. Although not on the paper, the evals have unofficially been through layers of review already, so that “culture” exists and operating under that assumption yields value for the CO as he/she signs it.

Dependent on command size. Sometimes, the immediate supervisor is the same or close to the rank of the member.



It should be the one person's signature because COs have ultimate responsibility. The cost of adding complexity of having multiple raters does not outweigh the benefit.

Most of the participants' comments centered around the benefit of formalizing the multi-rater process not outweighing the potential cost of additional administrative burden. In summary, maintaining the status quo was the popular suggestion regarding the number of raters in the Navy's PES.

4. Midterm Counseling

Midterm counseling is a great opportunity to mentor and guide Sailors, and yet, focus group participants explained how the process is very inconsistent across the fleet. Many participants expressed the importance of midterm counseling and that it can be a very useful tool if executed correctly, but unfortunately it is simply an administrative drill for most commands. The following are some of the thoughts shared by our participants regarding midterm counseling's significance and the lack of proper execution across the fleet:

Many commands do not do them. We should make it a requirement to be sent in with the FITREPs.

Some COs don't even conduct midterms, so it'll be good to have a greater emphasis on it.

Invaluable if used correctly. The problem is it's not documented properly. Many commands don't document midterm counseling. They should be discussing strengths, weaknesses, long-term/short-term goals, etc.

It is not effective as a whole, just another paper drill.

Midterm Counseling is a tool used to provide feedback on the member's performance. Need more emphasis on this.

A popular recommendation from our participants was to enforce the existing policies on conducting midterm counseling with added implications to hold the command accountable. Another recommendation was making it a requirement to submit the midterm counseling sheet along with the FITREP, or adding an additional block on the FITREP to document topics discussed during the midterm counseling.



CDBs for enlisted are documented, so maybe documenting the midterm will have added value. The benefits of midterm counseling outweigh the cost of administrative burden.

Add a block on the FITREP to document topics that were discussed during midterm counseling.

5. Periodicity

Most of the participants expressed minimal concerns regarding the annual periodicity of regular reports. There were some participants who raised concerns regarding the starting period of the evaluation, which was consistent with my earlier discussions with the Navy SMEs in talent management. For example, Lieutenant evaluations are due every year in January. This means if the Lieutenant does not arrive at the command at the right time, their evaluation period may not cover the full year. Even after accounting for the first three months at the command where Sailors receive a non-observed evaluation, this Lieutenant's evaluation period can be anywhere between 4 to 12 months. According to the focus group participants, this creates an unfair situation where Sailors are ranked against each other who have not served the same amount of time. This leads to a system where seniority is favored over performance, which could disincentivize and demotivate Sailors to work harder.

Few participants also suggested changing the periodicity from annual to semi-annual, which had mixed reviews from the other participants. Most participants found the cost of the additional administrative burden of shifting to a semi-annual review to outweigh the potential benefits. The following are comments made by participants on the topic of reporting periodicity:

Once a year is sufficient, it works as it is. It shouldn't go any less than a year because the admin burden is not worth it. Have a +/- 60 days for submission to give commands more flexibility.

Instead of changing the periodicity, there should be a greater focus on midterm counseling, just add another page dedicated to midterms. Include standardized training into CO/XO pipelines.

Midterm after 6 months of being onboard, then evaluate them on their 1-year anniversary of reporting onboard.



6. CNO for a Day

Our team asked focus group participants what their top three recommendations for change would be if they were the CNO for a day. The following were the common themes raised across the participants.

a. Rating/Community-Specific Evaluations

Since the definition of best and fully qualified Sailor varies depending on the rating/community-specific values, many participants suggested having a separate board process to help identify and retain the right talent within each rate or community. The following are some of the suggestions from our participants regarding the establishment of rating/community-specific standards:

Criteria is different across different communities/designators. Have a standardized “gold standard” for each community.

Have a rate-specific evaluation system to capture the rate/community-specific values to get closer to a gold-standard.

Stop using it as a ranking tool, but simply a performance evaluation. RSs can provide direct inputs to boards on whether they are ready for promotion. This requires us to establish a golden standard for promotion.

b. Change Evaluation Writeups

Another popular recommendation from our participants was to move away from the Promotable/Must Promote/Early Promote (P/MP/EP) system because a Sailor’s future potential cannot be fully captured based on how this system is currently being used. Instead, changing the system to “Qualified/Fully Qualified/Best and Fully Qualified” or “Ready Now/On-Track/Tracking” would allow a more understandable snapshot of where the Sailors stand relative to others and established standards. Some participants mentioned the USMC Comparative Assessment to be a good example of this.

On the contrary, several participants recommended changing from a relative system to an absolute system. Rather than comparing Sailors against their peers in a relative system, Sailors will be evaluated against established standards using an absolute system. Certain participants noted how this method may be more useful in accurately evaluating



Sailors, but less useful for boards to determine who to select for advancement. The following are thoughts provided by our participants regarding an absolute rating system:

In a group comparison, you're comparing against the standards and expectations set, not against others. Have a clearer expectation set by senior Navy leadership on what is important in that community. Identify where the end-goal is.

Measure against a standard from the precepts and community values vice other members. Have that single standard for evaluating the member's performance. If they remove the foot off the gas pedal next year, COs are able to give them a lesser evaluation.

c. Navy's Culture of Performance Evaluation

Another popular recommendation centered around the Navy's culture of awarding non-negative performance evaluation. Historically, it has been established that any negative comments on a FITREP or EVAL would end a Sailor's career, per the majority of focus group participants. They further explained how this unwritten rule pressures reporting seniors to inflate their evaluation to help the "middle of the pack" Sailors advance and stay in the service. Although done with good intentions by the reporting seniors, this could result in an inaccurate evaluation of the Sailors, which ultimately questions the quality of the force as a whole. Honesty needs to be enforced by the reporting seniors when they communicate to the board, but at the same time, the culture of even the smallest negative variable ending a Sailor's career needs to be reevaluated.

Participants also noted how the selection board process and its culture of operating in isolation result in minimum transparency to the Sailors. Constructive feedback is what gives performance evaluation value, yet none is given in the current system. Additionally, another participant discussed the inconsistency in the board member's evaluations. Whether it is due to fatigue or the influence of the board president, some focus group participants have witnessed a change in the standards of the evaluations between start and finish. The following are inputs from our participants regarding the board process:

Don't make the board process such a secret, allow feedback to others.



The purpose of boards is to COMPARE our Sailors, and this needs to be consistent throughout. Need to monitor board members' level of fatigue to ensure a fair assessment across all the boards.

Regarding cultural shift, another focus group participant suggested not using FITREPs and EVALs as a ranking tool. Instead, the participant recommended taking a whole-person approach by using multiple sources to evaluate the member's future potential, with evaluation forms being one of those tools. The following is a suggestion made by our participant regarding ranking tools:

FITREPs should not be the end-all for selection boards, but just one of the tools. Have a more "whole-person" assessment. Cognitive/non-cognitive assessment of the individual, peer assessment, communication skills, etc.

d. Administrative Updates

Another recommendation was regarding the administrative process of performance evaluation. First, many focus group participants suggested additional lines in block 41 for FITREPs. According to many participants, 18 lines are not enough to accurately cover the Sailor's past performance in its entirety. Second, there were many in favor of having a standardized process for conducting midterm counseling. Third, focus group participants recommended reevaluating the Master Chief evaluation process. Unless there are significant issues, all Master Chiefs will receive an EP; therefore, makes sense to remove them from the comparison group. A simple memo to the board can replace their evaluation process, as well as remove them from the comparison group to reduce fluctuations in RSCA. Finally, the board president should remove themselves from the ranking process to minimize bias. Presidents hold power, which could influence board members to change their rankings.



THIS PAGE INTENTIONALLY LEFT BLANK



VI. CONCLUSION AND RECOMMENDATION

A. CONCLUSION

Performance evaluation is a critical component of talent management that enables services to retain and promote the right talents to accomplish missions. This thesis was a qualitative analysis of the Navy's current performance evaluation system and best practices of the other services' PESs. A systematic review of the findings was conducted in conjunction with the focus group discussions to determine the feasibility of implementing best practices to address the shortcomings in the Navy's system. Having a diverse group of Senior Officers and Enlisted Sailors with vast experiences in talent management created rich focus group discussions filled with valuable insights and great recommendations. This thesis addressed two research questions. The main findings are as follows:

- Which features of the Navy's current performance evaluation system are working, and which are not working?

The consensus of the focus group participants was that the Navy's current performance evaluation system is functioning well enough for selection board members to rank our Sailors. Many agreed the process is established well and standardized to allow an efficient process of evaluating our Sailors. Many also agreed that the Navy captures past performance during evaluation periods very well and that the periodicity of conducting them is effective. Participants thought the Navy is asking the right types of traits and the evaluations are conducted by the right number of raters to accurately capture the Sailors' performance.

On the contrary, many expressed the ineffectiveness of how the Navy conducts midterm counseling. According to many participants, midterm counseling is not conducted correctly at most commands, and they are the first ones to get canceled on the schedule. They informed us that midterm counseling is viewed as more of an administrative drill that is seen as a hindrance to the commands' schedules. Another input was regarding how the RSs use traits. Many participants agreed the Navy is asking the right types of traits, but the traits themselves are not being used correctly. Participants revealed how many RSs see



traits as an afterthought of manipulating the numbers to manage their RSCAs. The actual traits and their descriptions are not addressed by the RSs or the selection board members.

In addition, many focus group participants discussed how the Navy does not document future potential very well. There is no dedicated space on the evaluation forms to document the Sailors' future potential. As a result, Sailors' future potential is translated from what is documented in the narrative section, trait average relative to RSCA, and promotion recommendations.

- What are the best practices of other services' performance evaluation systems that could be adopted into the Navy's system to address shortfalls?

In the Marine Corps and Coast Guard, they utilize comparative assessment to allow raters to assess future potential by comparing their ratee against the average evaluations of all the members the raters have ever evaluated (DON, 2015; USCG, 2018). This provides a visual representation for both the members and the selection board on where the members currently stand based on their performances. The Coast Guard also includes an additional narrative block to add comments on the members' future potential for the Enlisted evaluation forms (USCG, 2020a). In the Army, raters evaluate their members' future potential on a 4-point scale, in addition to documenting past performance (DOA, 2019). Whether it is adding extra narrative space, rating scale, or comparative assessment scale, incorporating an additional measure for future potential to the Navy's PES may improve the level of transparency with regards to the Sailors' true potential.

In the Army and Air Force, a separate form is used to document midterm counseling. The Navy uses its performance evaluation forms as the midterm counseling worksheet, but it only documents the date of completion, signature, and date. Having a separate form dedicated to mentoring and counseling Sailors may add value to the Navy's overall performance evaluation system. In addition, the Coast Guard will send back the OERs to the commands if midterm counseling is not conducted properly (USCG, 2018). Implementing similar implications in the Navy may incentivize commands to ensure midterm counseling is conducted properly.



In the Marine Corps, 14 traits are assessed on a 7-point rating scale (DON, 2015). In the Coast Guard, Officers are evaluated on 18 traits on a 7-point scale and Enlisted members are evaluated on 13 traits on a 7-point scale, as well as one trait on a binary scale of “Unsatisfactory/Satisfactory” (USCG, 2020b; USCG, 2020a). Using a combination of narratives, a larger number of traits, and a wider-range rating scale could allow evaluations to be more detailed. There are a variety of approaches regarding traits across the services, but the value of implementing them may be minimal while the Navy continues to use traits as a means for controlling RSCA.

B. RECOMMENDATION

Based on inputs received from focus group participants, the overall recommendation is to maintain the status quo with marginal changes made incrementally. The main recommendation is revamping the RS training for prospective COs. Many of the existing issues, such as insufficient documentation of future potential, improper controlling of RSCA, and lack of midterm counseling, can be corrected by the COs. This also includes making it a requirement for prospective COs to gain board experience, so they understand who they are writing to as RSs. By having Senior Officers with board experience teach prospective COs how to write evaluations and conduct counseling effectively, they will be better equipped to identify talent and signal them to the board.



THIS PAGE INTENTIONALLY LEFT BLANK



APPENDIX A. FOCUS GROUP QUESTIONS

The main questions asked during the focus group included:

- Does the Navy effectively evaluate past performance? Does the Navy do a good job of documenting future potential? What can be done to improve the system?
- Are we asking about the right traits? Should we include a “Does/Does Not Meet” grading similar to the USAF?
- What are your views on midterm counseling? Do we do a good job of conducting them? What can we improve? Any suggestions for change?
- What are your views on the Navy’s performance evaluation periodicity? What works? What does not? What can we change?
- If you were the CNO for a day, what would be your top three recommendations for changing the Navy’s performance evaluation system?
- Other services separate the trait evaluation from promotion recommendation with two people performing those tasks. In the USN, the same person performs both tasks. What are your views on using multiple raters versus a single rater to perform both tasks?



THIS PAGE INTENTIONALLY LEFT BLANK



APPENDIX B. USN FITREP

FITNESS REPORT & COUNSELING RECORD (W2 - O6)

RCS BUPERS 1610-1

1. Name (Last, First MI Suffix)				2. Grade/Rate		3. Desig		4. SSN			
5. ACT <input type="checkbox"/>		FTS <input type="checkbox"/>		INACT <input type="checkbox"/>		AT/ADSW/265 <input type="checkbox"/>		6. UIC			
7. Ship/Station				8. Promotion Status		9. Date Reported					
10. Occasion for Report				11. Detachment of Individual <input type="checkbox"/>		12. Detachment of Reporting Senior <input type="checkbox"/>		13. Special <input type="checkbox"/>			
14. Periodic <input type="checkbox"/>				14. From:				15. To:			
16. Not Observed Report <input type="checkbox"/>		17. Regular <input type="checkbox"/>		18. Concurrent <input type="checkbox"/>		19. Ops Cdr <input type="checkbox"/>		20. Physical Readiness			
21. Billet Subcategory (if any)				22. Reporting Senior (Last, FI MI)		23. Grade		24. Desig			
25. Title				26. UIC		27. SSN					
28. Command employment and command achievements											
29. Primary/Collateral/Watchstanding duties. (Enter Primary duty abbreviation in box.)											
30. Date Counseled				31. Counselor		32. Signature of Individual Counseled					
For Mid-term Counseling Use. (When completing FITREP Enter 30 and 31 from counseling worksheet sign 32.)											
PERFORMANCE TRAITS: 1.0 - Below standards / not progressing or UNSAT in any one standard; 2.0 - Does not yet meet all 3.0 standards; 3.0 - Meets all 3.0 standards; 4.0 - Exceeds most 3.0 standards; 5.0 - Meets overall criteria and most of the specific standards for 5.0. Standards are not all inclusive.											
PERFORMANCE TRAITS		1.0* Below Standards		2.0 Pro- gressing		3.0 Meets Standards		4.0 Above Standards		5.0 Greatly Exceeds Standards	
33. PROFESSIONAL EXPERTISE: Professional knowledge, proficiency, and qualifications.		- Lacks basic professional knowledge to perform effectively. - Cannot apply basic skills. - Fails to develop professionally or achieve timely qualifications.				- Has thorough professional knowledge. - Competently performs both routine and new tasks. - Steadily improves skills, achieves timely qualifications.				- Recognized expert, sought after to solve difficult problems. - Exceptionally skilled, develops and executes innovative ideas. - Achieves early/highly advanced qualifications.	
NOB <input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	
34. COMMAND OR ORGANIZATIONAL CLIMATE/EQUAL OPPORTUNITY: Professional knowledge, proficiency, and qualifications.		- Actions counter to Navy's retention/reenlistment goals. - Uninvolved with mentoring or professional development of subordinates. - Actions counter to good order and discipline and negatively affect Command/Organizational climate. - Demonstrates exclusionary behavior. - Fails to value differences from cultural diversity.				- Positive leadership supports Navy's increased retention goals. Active in decreasing attrition. - Actions adequately encourage/support subordinates' personal/professional growth. - Demonstrates appreciation for contributions of Navy personnel. Positive influence on Command climate. - Values differences as strengths. - Fosters atmosphere of acceptance/inclusion per EO/EEO policy.				- Measurably contributes to Navy's increased retention and reduced attrition objectives. - Proactive leader/exemplary mentor. Involved in subordinates' personal development leading to professional growth/sustained commitment. - Initiates support programs for military, civilian, and families to achieve exceptional Command and Organizational climate. - The model of achievement. Develops unit cohesion by valuing differences as strengths.	
NOB <input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	
35. MILITARY BEARING/CHARACTER: Appearance, conduct, physical fitness, adherence to Navy Core Values.		- Consistently unsatisfactory appearance. - Unsatisfactory demeanor or conduct. - Unable to meet one or more physical readiness standards. - Fails to live up to one or more Navy Core Values: HONOR, COURAGE, COMMITMENT.				- Excellent personal appearance. - Excellent demeanor or conduct. - Complies with physical readiness program. - Always lives up to Navy Core Values: HONOR, COURAGE, COMMITMENT.				- Exemplary personal appearance. - Exemplary representative of Navy. - A leader in physical readiness. - Exemplifies Navy Core Values: HONOR, COURAGE, COMMITMENT.	
NOB <input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	
36. TEAMWORK: Contributions towards team building and team results.		- Creates conflict, unwilling to work with others, puts self above team. - Fails to understand team goals or teamwork techniques. - Does not take direction well.				- Reinforces others' efforts, meets personal commitments to team. - Understands team goals, employs good teamwork techniques. - Accepts and offers team direction.				- Team builder, inspires cooperation and progress. - Talented mentor, focuses goals and techniques for team. - The best at accepting and offering team direction.	
NOB <input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	
37. MISSION ACCOMPLISHMENT AND INITIATIVE: Taking initiative, planning/prioritizing, achieving mission.		- Lacks initiative. - Unable to plan or prioritize. - Does not maintain readiness. - Fails to get the job done.				- Takes initiative to meet goals. - Plans/prioritizes effectively. - Maintains high state of readiness. - Always gets the job done.				- Develops innovative ways to accomplish mission. - Plans/prioritizes with exceptional skill and foresight. - Maintains superior readiness, even with limited resources. - Gets jobs done earlier and far better than expected.	
NOB <input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	

NAVPERS 1610/2 (11-11)

FOR OFFICIAL USE ONLY-PRIVACY ACT SENSITIVE.

Source: DON (n.d.-b)



FITNESS REPORT & COUNSELING RECORD (W2 - O6) (cont 'd)

RCS BUPERS 1610-1

1. Name (Last, First MI Suffix)		2. Grade/Rate		3. Desig		4. SSN	
PERFORMANCE TRAITS		1.0* Below Standards		2.0 Pro-gressing		3.0 Meets Standards	
38. LEADERSHIP: Organizing, motivating and developing others to accomplish goals.		- Neglects growth/development or welfare of subordinates. - Fails to organize, create problems for subordinates. - Does not set or achieve goals relevant to command mission and vision. - Lacks ability to cope with or tolerate stress. - Inadequate communicator. - Tolerates hazards or unsafe practices.		- Effectively stimulates growth/development in subordinates. - Organizes successfully implementing process improvements and efficiencies. - Sets/achieves useful, realistic goals that support command mission. - Performs well in stressful situations. - Clear, timely communicator. - Ensures safety of personnel and equipment.		- Inspiring motivator and trainer, subordinates reach highest level of growth and development. - Superb organizer, great foresight, develops process improvements and efficiencies. - Leadership achievements dramatically further command mission and vision. - Perseveres through the toughest challenges and inspires others. - Exceptional communicator. - Makes subordinates safety-conscious, maintains top safety record. - Constantly improves the personal and professional lives of others.	
NOB <input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	
39. TACTICAL PERFORMANCE: (Warfare qualified officers only) Basic and tactical employment of weapons systems.		- Has difficulty attaining qualifications expected for rank and experience. - Has difficulty in ship(s), aircraft or weapons systems employment. - Below others in knowledge and employment. - Warfare skills in specialty are below standards compared to others of same rank and experience.		- Attains qualifications as required and expected. - Capably employs ship(s), aircraft, or weapons systems. Equal to others in warfare knowledge and employment. - Warfare skills in specialty equal to others of same rank and experience.		- Fully qualified at appropriate level for rank and experience. - Innovatively employs ship(s), aircraft or weapons systems. Well above others in warfare knowledge and employment. - Warfare skills in specialty exceed others of same rank and experience.	
NOB <input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	
40. I recommend screening this individual for next career milestone(s) as follows: (Maximum of two) Recommendations may be for competitive schools or duty assignments such as LCPO, DEPT CPO, SEA, CMC, CWO, LDO, Dept Head, XO, OIC, CO, Major Command, War College, PG School.							
41. COMMENTS ON PERFORMANCE. *All 1.0 marks, three 2.0 marks, and 2.0 marks in Block 37 must be specifically substantiated in comments. Comments must be verifiable. Font must be 10 or 12 pitch (10 to 12 point) only. Use upper and lower case.							Font 10
Promotion Recommendation	NOB	Significant Problems	Progressing	Promotable	Must Promote	Early Promote	44. Reporting Senior Address
42. INDIVIDUAL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
43. SUMMARY	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
45. Signature of Reporting Senior				Date:		46. Signature of individual evaluated. "I have seen this report, been apprised of my performance, and understand my right to make a statement." I intend to submit a statement <input type="checkbox"/> do not intend to submit a statement <input type="checkbox"/>	
Member Trait Average: 0.00		Summary Group Average:		Date:			
47. Typed name, grade, command, UIC, and signature of Regular Reporting Senior on Concurrent Report							Date:

NAVPERS 1610/2 (11-11)

FOR OFFICIAL USE ONLY-PRIVACY ACT SENSITIVE.



APPENDIX C. USN EVAL

EVALUATION REPORT & COUNSELING RECORD (E1 - E6)				RCS BUPERS 1610-1	
1. Name (Last, First MI Suffix)		2. Rate	3. Desig	4. SSN	
5. ACT	FTS	INACT	AI/ADSW/265	6. UIC	
7. Ship/Station		8. Promotion Status	9. Date Reported		
10. Periodic	11. Detachment of Individual	12. Promotion / Frocking	13. Special	14. From: 15. To:	
16. Not Observed Report	17. Regular	18. Concurrent	20. Physical Readiness	21. Billet Subcategory (if any)	
22. Reporting Senior (Last, FI MI)	23. Grade	24. Desig	25. Title	26. UIC 27. SSN	
28. Command employment and command achievements					
29. Primary/Collateral/Watchstanding duties. (Enter Primary duty abbreviation in box.)					
For Mid-term Counseling Use. (When completing EVAL Enter 30 and 31 from counseling worksheet sign 32.)		30. Date Counseled	31. Counselor	32. Signature of Individual Counseled	
PERFORMANCE TRAITS: 1.0 - Below standards / not progressing or UNSAT in any one standard; 2.0 - Does not yet meet all 3.0 standards; 3.0 - Meets all 3.0 standards; 4.0 - Exceeds most 3.0 standards; 5.0 - Meets overall criteria and most of the specific standards for 5.0. Standards are not all inclusive.					
PERFORMANCE TRAITS	1.0* Below Standards	2.0 Pro- gressing	3.0 Meets Standards	4.0 Above Standards	5.0 Greatly Exceeds Standards
33. PROFESSIONAL KNOWLEDGE: Technical knowledge and practical application. NOB <input type="checkbox"/>	- Marginal knowledge of rating, specialty or job. - Unable to apply knowledge to solve routine problems. - Fails to meet advancement/PQS requirements.		- Strong working knowledge of rating, specialty and job. - Reliably applies knowledge to accomplish tasks. - Meets advancement/PQS requirements on time.		- Recognized expert, sought out by all for technical knowledge. - Uses knowledge to solve complex technical problems. - Meets advancement/PQS requirements early/with distinction.
34. QUALITY OF WORK: Standard of work; value of end product. NOB <input type="checkbox"/>	- Needs excessive supervision. - Product frequently needs rework. - Wasteful of resources.		- Needs little supervision. - Produces quality work. - Few errors and resulting rework. - Uses resources efficiently.		- Needs no supervision. - Always produces exceptional work. - No rework required. - Maximizes resources.
35. COMMAND OR ORGANIZATIONAL CLIMATE/EQUAL OPPORTUNITY: Contributing to growth and development, human worth, community. NOB <input type="checkbox"/>	- Actions counter to Navy's retention/ reenlistment goals. - Uninvolved with mentoring or professional development of subordinates. - Actions counter to good order and discipline and negatively affect Command Organizational climate. - Demonstrates exclusionary behavior. - Fails to value differences from cultural diversity.		- Positive leadership supports Navy's increased retention goals. Active in decreasing attrition. - Actions adequately encourage/support subordinates' personal/professional growth. - Demonstrates appreciation for contributions of Navy personnel. Positive influence on Command climate. - Values differences as strengths. - Fosters atmosphere of acceptance/ inclusion per EO/EEO policy.		- Measurably contributes to Navy's increased retention and reduced attrition objectives. - Proactive leader/exemplary mentor. - Involved in subordinates' personal development leading to professional growth/ sustained commitment. - Initiates support programs for military, civilian, and families to achieve exceptional Command and Organizational climate. - The model of achievement. - Develops unit cohesion by valuing differences as strengths.
36. MILITARY BEARING/ CHARACTER: Appearance, conduct, physical fitness, adherence to Navy Core Values. NOB <input type="checkbox"/>	- Consistently unsatisfactory appearance. - Poor self-control, conduct resulting in disciplinary action. - Unable to meet one or more physical readiness standards. - Fails to live up to one or more Navy Core Values: HONOR, COURAGE, COMMITMENT.		- Excellent personal appearance. - Excellent conduct, conscientiously complies with regulations. - Complies with physical readiness program. - Always lives up to Navy Core Values: HONOR, COURAGE, COMMITMENT.		- Exemplary personal appearance. - Model of conduct, on and off duty. - A leader in physical readiness. - Exemplifies Navy Core Values: HONOR, COURAGE, COMMITMENT.
37. PERSONAL JOB ACCOMPLISHMENT/ INITIATIVE: Responsibility, quantity of work. NOB <input type="checkbox"/>	- Needs prodding to attain qualification or finish job. - Prioritizes poorly. - Avoids responsibility.		- Productive and motivated. - Completes tasks and qualifications fully and on time. - Plans/prioritizes effectively. - Reliable, dependable, willingly accepts responsibility.		- Energetic self-starter. Completes tasks or qualifications early, far better than expected. - Plans/prioritizes wisely and with exceptional foresight. - Seeks extra responsibility and takes on the hardest jobs.
NAVPERS 1616/26 (08-10)		FOR OFFICIAL USE ONLY-PRIVACY ACT SENSITIVE.			

Source: DON (n.d.-b)



EVALUATION REPORT & COUNSELING RECORD (E1 - E6) (cont'd)

RCS BUPERS 1610-1

1. Name (Last, First MI Suffix)			2. Rate		3. Desig		4. SSN	
PERFORMANCE TRAITS	1.0* Below Standards	2.0 Pro- gressing	3.0 Meets Standards		4.0 Above Standards	5.0 Greatly Exceeds Standards		
38. TEAMWORK: Contributions to team building and team results. NOB <input type="checkbox"/>	- Creates conflict, unwilling to work with others, puts self above team. - Fails to understand team goals or teamwork techniques. - Does not take direction well.	<input type="checkbox"/>	- Reinforces others' efforts, meets commitments to team. - Understands goals, employs good teamwork techniques. - Accepts and offers team direction.		<input type="checkbox"/>	- Team builder, inspires cooperation and progress. - Focuses goals and techniques for teams. - The best at accepting and offering team direction.		
39. LEADERSHIP: Organizing, motivating and developing others to accomplish goals. NOB <input type="checkbox"/>	- Neglects growth/development or welfare of subordinates. - Fails to organize, creates problems for subordinates. - Does not set or achieve goals relevant to command mission and vision. - Lacks ability to cope with or tolerate stress. - Inadequate communicator. - Tolerates hazards or unsafe practices.	<input type="checkbox"/>	- Effectively stimulates growth/development in subordinates. - Organizes successfully, implementing process improvements and efficiencies. - Sets/achieves useful, realistic goals that support command mission. - Performs well in stressful situations. - Clear, timely communicator. - Ensures safety of personnel and equipment.		<input type="checkbox"/>	- Inspiring motivator and trainer, subordinates reach highest level of growth and development. - Superb organizer, great foresight, develops process improvements and efficiencies. - Leadership achievements dramatically further command mission and vision. - Perseveres through the toughest challenges and inspires others. - Exceptional communicator. - Makes subordinates safety-conscious, maintains top safety record. - Constantly improves the personal and professional lives of others.		
40. Individual Trait Average. Total of trait scores divided by number of graded traits. 0.00	41. I recommend this individual for (maximum of two): Assignment in Rating, Sea Special Programs, Shore Special Programs, Commissioning Programs, Special Warfare Programs, Rating Instructor Duty, Other. (Be specific.)		42. Signature of Rater (Typed Name & Rate): I have evaluated this member against the above performance standards and have forwarded written explanation of marks of 1.0 and 5.0.		Date:			
43. COMMENTS ON PERFORMANCE. *All 1.0 marks, three 2.0 marks, and 2.0 marks in Block 37 must be specifically substantiated in comments. Comments must be verifiable. Font must be 10 or 12 pitch (10 to 12 point) only. Use upper and lower case. Font 10 <input type="checkbox"/>								
44. QUALIFICATIONS/ACHIEVEMENTS - Education, awards, community involvement, etc., during this period.								
Promotion Recommendation	NOB <input type="checkbox"/>	Significant Problems <input type="checkbox"/>	Progressing <input type="checkbox"/>	Promotable <input type="checkbox"/>	Must Promote <input type="checkbox"/>	Early Promote <input type="checkbox"/>	47. Retention: Not Recommended <input type="checkbox"/> Recommended <input type="checkbox"/>	
45. INDIVIDUAL							48. Reporting Senior Address	
46. SUMMARY								
49. Signature of Senior Rater (Typed Name & Grade/Rate): I have reviewed the evaluation of this member against these performance standards and have provided written explanation to support marks of 1.0 and 5.0.					50. Signature of Reporting Senior Date:			
					Summary Group Average: <input type="text"/>			
51. Signature of individual evaluated. "I have seen this report, been apprised of my performance, and understand my right to make a statement." I intend to submit a statement <input type="checkbox"/> do not intend to submit a statement <input type="checkbox"/>					52. Typed name, grade, command, UIC, and signature of Regular Reporting Senior on Concurrent Report Date:			

NAVPERS 1616/26 (08-10)

FOR OFFICIAL USE ONLY-PRIVACY ACT SENSITIVE.



APPENDIX D. USN CHIEFEVAL

EVALUATION & COUNSELING RECORD (E7 – E9)					Save Form	Clear Form	
RCS BUPERS 1610-1							
1. Name (Last, First MI Suffix)		2. Grade/Rate		3. Desig		4. SSN	
5. ACT FTS INACT AT/ADSW/265		6. UIC		7. Ship/Station		8. Promotion Status	
9. Date Reported							
10. Occasion for Report		11. Detachment of Individual		12. Detachment of Reporting Senior		13. Special	
14. From:		15. To:		16. Not Observed Report		17. Regular	
18. Concurrent		19. Ops Cdr		20. Physical Readiness		21. Billet Subcategory (if any)	
22. Reporting Senior (Last, FI MI)		23. Grade		24. Desig		25. Title	
26. UIC		27. SSN		28. Command employment and command achievements			
29. Primary/Collateral/Watchstanding duties. (Enter Primary duty abbreviation in box.)							
For Mid-term Counseling Use. (When completing FITREP Enter 30 and 31 from counseling worksheet sign 32.)				30. Date Counseled		31. Counselor	
32. Signature of Individual Counseled							
PERFORMANCE TRAITS: 1.0 – Below standards / not progressing or UNSAT in any one standard; 2.0 – Does not yet meet all 3.0 standards; 3.0 – Meets all 3.0 standards; 4.0 – Exceeds most 3.0 standards; 5.0 – Meets overall criteria and most of the specific standards for 5.0. Standards are not all inclusive.							
PERFORMANCE TRAITS	1.0* Below Standards	2.0 Pro- gressing	3.0 Meets Standards	4.0 Above Standards	5.0 Greatly Exceeds Standards		
33. DECKPLATE LEADERSHIP: - Organizing, motivating and developing others to accomplish goals. - Engaging and visible presence establishes positive tone for command. NOB <input type="checkbox"/>	- Neglects growth/development or welfare of Junior Officer and Enlisted Sailors. - Presence not felt on the deckplates. - Does not set or achieve goals relevant to command mission and vision. - Does not tailor leadership style to situation or individual. - Fails to organize, creates problems for subordinates. - Lacks ability to manage under stress.		- Effectively stimulates growth/development in Junior Officers and Enlisted Sailors. - Visible and engaged on the deckplate; sets positive tone. - Sets/achieves useful, realistic goals that support command mission. - Tailors leadership to situation to accomplish mission. - Organizes successfully, implementing process improvements and efficiencies. - Performs well in stressful situations.		- Inspiring motivator and trainer. Junior Officers and Enlisted Sailors reach highest level of growth and development. - Always visible and engaged on the deckplate; energetically sets positive tone across CMD. - Leadership achievements dramatically further command mission and vision. - Seamlessly tailors leadership to each Sailor's strengths, weaknesses and goals to maximize mission effectiveness. - Superc organizer, great foresight, develops process improvements and efficiencies. - Perseveres through the toughest challenges and inspires others.	<input type="checkbox"/>	<input type="checkbox"/>
34. INSTITUTIONAL AND TECHNICAL EXPERTISE: - Institutional, policy and technical knowledge. - Practical application, procedural compliance. NOB <input type="checkbox"/>	- Lacks basic Navy knowledge. - Unaware and unwilling to learn details of Navy programs and policies. - Lacks basic professional knowledge to perform effectively. - Cannot apply basic skills. - Tactical knowledge and skill in specialty are below standards compared to others of same rank and experience.		- Has thorough knowledge of Navy organization and structure. - Has thorough knowledge of Navy programs and policies. - Has detailed rating knowledge; resolves technical issues within rating. - Competently performs both routine and new tasks. - Tactical knowledge and skill in specialty equal to others of same rank and experience.		- Navy Expert, complete understanding of purpose, organization, and structure. - Detailed, current knowledge and strong advocate for all Navy programs and policies. - Recognized expert, sought after to solve difficult problems, executes innovative ideas. - Exceptionally skilled; complete accuracy and precision in all technical actions, duties and procedures. - Tactical knowledge and skill in command mission and function.	<input type="checkbox"/>	<input type="checkbox"/>
35. PROFESSIONALISM: - Standard enforcement, taking initiative, planning/prioritizing/solving challenges in Chief's Mess. - Continuous learning, Standards of appearance, conduct, physical fitness, qualifications. NOB <input type="checkbox"/>	- Fails to uphold and enforce standards. - Does not effectively utilize the Chief's Mess to plan and solve challenges. - Improvement of peers, subordinates, and self not a priority. - Unable to meet one or more physical readiness standards. - Consistently unsatisfactory appearance or unsatisfactory demeanor or conduct. - Creates conflict, unwilling to work with others, puts self above team.		- Actively teaches, upholds and enforces standards with peers and subordinates. - Participates in command planning and problem solving through the Chief's Mess. - Committed to professional education/training for self and subordinates. - Complies with physical readiness program. - Excellent personal appearance and representative of the Navy. - Reinforces others' efforts, meets personal commitments to team.		- Proactively teaches, upholds, and enforces standards throughout the command. - Actively leads command activities, solves command challenges, and drives mission accomplishment through the Chief's Mess. - Fosters an environment of improvement, education and professional development. - A leader in physical readiness. - Exemplary personal appearance and representative of the Navy. - Team builder, inspires cooperation and focus on mission accomplishment; leverages talents of all Sailors.	<input type="checkbox"/>	<input type="checkbox"/>
36. LOYALTY: - Loyalty to mission, seniors, peers and subordinates. - Dedication to Sailor success, Sailor advocacy. NOB <input type="checkbox"/>	- Does not consistently demonstrate loyalty to mission, seniors, peers or subordinates. - Not concerned about Sailor success. - Allows command challenges to impact Sailor readiness.		- Loyal to mission, seniors, peers and subordinates; moral courage to raise issues and support the outcome. - Effective mentor, actions adequately encourage/support subordinates' personal/professional growth. - Routinely solves command challenges before they significantly impact Sailor readiness.		- Loyal to mission, seniors, peers and subordinates; moral courage to raise issues and strength to fully support the outcome. - Exemplary mentor, creates environment with outstanding professional growth opportunities for each Sailor. - Proactively identifies and solves command challenges before they impact Sailor readiness.	<input type="checkbox"/>	<input type="checkbox"/>

NAVPERS 1616/27 (8-10)

FOR OFFICIAL USE ONLY-PRIVACY ACT SENSITIVE.

Source: DON (n.d.-b)



EVALUATION & COUNSELING RECORD (E7 – E9) (cont 'd)

RCS BUPERS 1610-1

1. Name (Last, First MI Suffix)		2. Grade/Rate		3. Desig		4. SSN	
PERFORMANCE TRAITS	1.0* Below Standards	2.0 Pro- gressing	3.0 Meets Standards	4.0 Above Standards	5.0 Greatly Exceeds Standards		
37. CHARACTER: - Integrity, adherence to Navy Core Values. - Recognition of Diversity: - Contributes to growth, human worth and community. NOB <input type="checkbox"/>	- Demonstrates exclusionary behavior, fails to value differences from cultural diversity. - Lacks personal integrity and does not take responsibility for actions or decisions. - Fails to live up to Navy Core Values: Honor, Courage and Commitment. <input type="checkbox"/>	<input type="checkbox"/>	- Diversity: values differences as strengths, fosters atmosphere of acceptance/inclusion per EO/EEO policy. - Trustworthy, ethical and honest. - Always lives up to Navy Core Values: Honor, Courage and Commitment. <input type="checkbox"/>	<input type="checkbox"/>	- Seamlessly integrates diversity into all aspects of the command. - Model of achievement. Develops unit cohesion by valuing differences as strengths. - Leads with an uncompromising code of integrity. - Exemplifies Navy Core Values: Honor, Courage and Commitment. <input type="checkbox"/>		
38. ACTIVE COMMUNICATION: - Communication, questioning attitude, energized information flow. NOB <input type="checkbox"/>	- Stifles information exchange, idea sharing and diversity of opinion. - Does not take advantage of the Chief's Mess to discuss, plan, or act on command issues. - Poor communicator; actions negatively impact mission goals and readiness. <input type="checkbox"/>	<input type="checkbox"/>	- Facilitates information exchange, idea sharing and diversity of opinion. - Uses Chief's Mess as an open forum to discuss, plan, and act on command issues. - Effectively communicates and listens to subordinates, peers, and seniors. <input type="checkbox"/>	<input type="checkbox"/>	- Actively facilitates information exchange, idea sharing and diversity of opinion. - Actively uses Chief's Mess as an open forum to discuss, plan, and act on command issues. - Energizes communication flow up and down the chain of command. <input type="checkbox"/>		
39. SENSE OF HERITAGE: - Know and teach customs and traditions, understand naval history. NOB <input type="checkbox"/>	- Lacks knowledge and understanding of naval customs and traditions. - Ignores naval traditions, customs, and practices when considering decisions, in training, or in daily leadership. - No grasp of naval history. <input type="checkbox"/>	<input type="checkbox"/>	- Good understanding of naval customs and traditions. - Integrates naval traditions, customs, and practices into decision making processes, training and daily leadership. - Occasionally uses naval history to demonstrate who we are as a service. <input type="checkbox"/>	<input type="checkbox"/>	- Thorough understanding of naval customs and traditions. - Proactively integrates naval traditions, customs, and practices into decision making processes, training and daily leadership. - Consistently uses naval history to demonstrate who we are as a service. <input type="checkbox"/>		
40. I recommend screening this individual for next career milestone(s) as follows: (Maximum of two) Recommendations may be for competitive schools or duty assignments such as LCPO, DEPT CPO, SEA, CMC							
41. COMMENTS ON PERFORMANCE. *All 1.0 marks, three 2.0 marks, and 2.0 marks in Block 37 must be specifically substantiated in comments. Comments must be verifiable. Font must be 10 or 12 pitch (10 to 12 point) only. Use upper and lower case. Font 10 <input type="text"/>							
Promotion Recommendation NOB <input type="checkbox"/> Significant Problems <input type="checkbox"/> Progressing <input type="checkbox"/> Promotable <input type="checkbox"/> Must Promote <input type="checkbox"/> Early Promote <input type="checkbox"/>		44. Reporting Senior Address					
42. INDIVIDUAL							
43. SUMMARY							
45. Signature of Reporting Senior _____ Date: _____				46. Signature of individual evaluated. "I have seen this report, been apprised of my performance, and understand my right to make a statement." I intend to submit a statement <input type="checkbox"/> do not intend to submit a statement <input type="checkbox"/>			
Member Trait Average: 0.00		Summary Group Average:		Date: _____			
47. Typed name, grade, command, UIC, and signature of Regular Reporting Senior on Concurrent Report _____ Date: _____							

NAVPERS 1616/27 (8-10)

FOR OFFICIAL USE ONLY-PRIVACY ACT SENSITIVE.



APPENDIX E. USMC FITREP

USMC FITNESS REPORT (1610) NAVMC 10635 (Rev. 7-11) (EF) PREVIOUS EDITIONS WILL NOT BE USED FOUO - Privacy sensitive when filled in.								DO NOT STAPLE THIS FORM	
COMMANDANT'S GUIDANCE									
<p>The completed fitness report is the most important information component in manpower management. It is the primary means of evaluating a Marine's performance and is the Commandant's primary tool for the selection of personnel for promotion, augmentation, resident schooling, command, and duty assignments. Therefore, the completion of this report is one of an officer's most critical responsibilities. Inherent in this duty is the commitment of each Reporting Senior and Reviewing Officer to ensure the integrity of the system by giving close attention to accurate marking and timely reporting. Every officer serves a role in the scrupulous maintenance of this evaluation system, ultimately important to both the individual and the Marine Corps. Inflationary markings only serve to dilute the actual value of each report. Reviewing Officers will not concur with inflated reports.</p>									
A. ADMINISTRATIVE INFORMATION									
1. Marine Reported On:									
a. Last Name	b. First Name	c. MI	d. SSN	e. Grade	f. DOR	g. PMOS	h. BILMOS		
2. Organization:									
a. MCC	b. RUC	c. Unit Description							
3. Occasion and Period Covered:									
a. OCC	b. From	To	c. Type	4. Duty Assignment (descriptive title):					
5. Special Case:									
a. Adverse	b. Not Observed	c. Extended	6. Marine Subject Of:				7. Recommended For Promotion:		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	a. Commendatory Material	b. Derogatory Material	c. Disciplinary Action	a. Yes	b. No	c. N/A	<input type="checkbox"/>
8. Special Information:									
a. QUAL	d. HT(in.)	g. Reserve Component	9. Duty Preference:						
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	a. Code	b. Descriptive Title					
b. PFT	e. WT	h. Status	1st						
c. CFT	f. Body Fat	i. Future Use	2nd						
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3rd						
10. Reporting Senior:									
a. Last Name	b. Init	c. Service	d. SSN	e. Grade	f. Duty Assignment				
11. Reviewing Officer:									
a. Last Name	b. Init	c. Service	d. SSN	e. Grade	f. Duty Assignment				
B. BILLET DESCRIPTION									
C. BILLET ACCOMPLISHMENTS									

Source: DON (n.d.-c)



1. Marine Reported On:				2. Occasion and Period Covered:			
a. Last Name		b. First Name	c. MI	d. SSN	a. OCC	b. From	To
D. MISSION ACCOMPLISHMENT							
1. PERFORMANCE. Results achieved during the reporting period. How well those duties inherent to a Marine's billet, plus all additional duties, formally and informally assigned, were carried out. Reflects a Marine's aptitude, competence, and commitment to the unit's success above personal reward. Indicators are time and resource management, task prioritization, and tenacity to achieve positive ends consistently.							
ADV	Meets requirements of billet and additional duties. Aptitude, commitment, and competence meet expectations. Results maintain status quo.	Consistently produces quality results while measurably improving unit performance. Habitually makes effective use of time and resources; improves billet procedures and products. Positive impact extends beyond billet expectations.	Results far surpass expectations. Recognizes and exploits new resources; creates opportunities. Emulated; sought after as an expert with influence beyond unit. Impact significant; innovative approaches to problems produce significant gains in quality and efficiency.				N/O
A	B	C	D	E	F	G	H
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. PROFICIENCY. Demonstrates technical knowledge and practical skill in the execution of the Marine's overall duties. Combines training, education and experience. Translates skills into actions which contribute to accomplishing tasks and missions. Imparts knowledge to others. Grade dependent.							
ADV	Competent. Possesses the requisite range of skills and knowledge commensurate with grade and experience. Understands and articulates basic functions related to mission accomplishment.	Demonstrates mastery of all required skills. Expertise, education and experience consistently enhance mission accomplishment. Innovative troubleshooter and problem solver. Effectively imparts skills to subordinates.	True expert in field. Knowledge and skills impact far beyond those of peers. Translates broad-based education and experience into forward thinking, innovative actions. Makes immeasurable impact on mission accomplishment. Peerless teacher, selflessly imparts expertise to subordinates, peers, and seniors.				N/O
A	B	C	D	E	F	G	H
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
JUSTIFICATION:							
E. INDIVIDUAL CHARACTER							
1. COURAGE. Moral or physical strength to overcome danger, fear, difficulty or anxiety. Personal acceptance of responsibility and accountability, placing conscience over competing interests regardless of consequences. Conscious, overriding decision to risk bodily harm or death to accomplish the mission or save others. The will to persevere despite uncertainty.							
ADV	Demonstrates inner strength and acceptance of responsibility commensurate with scope of duties and experience. Willing to face moral or physical challenges in pursuit of mission accomplishment.	Guided by conscience in all actions. Proven ability to overcome danger, fear, difficulty or anxiety. Exhibits bravery in the face of adversity and uncertainty. Not deterred by morally difficult situations or hazardous responsibilities.	Uncommon bravery and capacity to overcome obstacles and inspire others in the face of moral dilemma or life-threatening danger. Demonstrated under the most adverse conditions. Selfless. Always place conscience over competing interests regardless of physical or personal consequences.				N/O
A	B	C	D	E	F	G	H
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. EFFECTIVENESS UNDER STRESS. Thinking, functioning and leading effectively under conditions of physical and/or mental pressure. Maintaining composure appropriate for the situation, while displaying steady purpose of action, enabling one to inspire others while continuing to lead under adverse conditions. Physical and emotional strength, resilience and endurance are elements.							
ADV	Exhibits discipline and stability under pressure. Judgment and effective problem-solving skills are evident.	Consistently demonstrates maturity, mental agility and willpower during periods of adversity. Provides order to chaos through the application of intuition, problem-solving skills, and leadership. Composure reassures others.	Demonstrates seldom-matched presence of mind under the most demanding circumstances. Stabilizes any situation through the resolute and timely application of direction, focus and personal presence.				N/O
A	B	C	D	E	F	G	H
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. INITIATIVE. Action in the absence of specific direction. Seeing what needs to be done and acting without prompting. The instinct to begin a task and follow through energetically on one's own accord. Being creative, proactive and decisive. Transforming opportunity into action.							
ADV	Demonstrates willingness to take action in the absence of specific direction. Acts commensurate with grade, training and experience.	Self-motivated and action-oriented. Foresight and energy consistently transform opportunity into action. Develops and pursues creative, innovative solutions. Acts without prompting. Self-starter.	Highly motivated and proactive. Displays exceptional awareness of surroundings and environment. Uncanny ability to anticipate mission requirements and quickly formulate original, far-reaching solutions. Always takes decisive, effective action.				N/O
A	B	C	D	E	F	G	H
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
JUSTIFICATION:							
NAVMC 10835 (Rev. 7-11) (EF)		FOR OFFICIAL USE ONLY - Privacy sensitive when filled in.				PAGE 2 OF 5	



1. Marine Reported On:				2. Occasion and Period Covered:		
a. Last Name	b. First Name	c. MI	d. SSN	a. OCC	b. From	To

F. LEADERSHIP

1. LEADING SUBORDINATES. The inseparable relationship between leader and led. The application of leadership principles to provide direction and motivate subordinates. Using authority, persuasion and personality to influence subordinates to accomplish assigned tasks. Sustaining motivation and morale while maximizing subordinates' performance.

ADV	Engaged; provides instructions and directs execution. Seeks to accomplish mission in ways that sustain motivation and morale. Actions contribute to unit effectiveness.	Achieves a highly effective balance between direction and delegation. Effectively tasks subordinates and clearly delineates standards expected. Enhances performance through constructive supervision. Fosters motivation and enhances morale. Builds and sustains teams that successfully meet mission requirements. Encourages initiative and candor among subordinates.	Promotes creativity and energy among subordinates by striking the ideal balance of direction and delegation. Achieves highest levels of performance from subordinates by encouraging individual initiative. Engenders willing subordination, loyalty, and trust that allow subordinates to overcome their perceived limitations. Personal leadership fosters highest levels of motivation and morale, ensuring mission accomplishment even in the most difficult circumstances.		N/O		
A	B	C	D	E	F	G	H
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. DEVELOPING SUBORDINATES. Commitment to train, educate, and challenge all Marines regardless of race, religion, ethnic background, or gender. Mentorship. Cultivating professional and personal development of subordinates. Developing team players and esprit de corps. Ability to combine teaching and coaching. Creating an atmosphere tolerant of mistakes in the course of learning.

ADV	Maintains an environment that allows personal and professional development. Ensures subordinates participate in all mandated development programs.	Develops and institutes innovative programs, to include PME, that emphasize personal and professional development of subordinates. Challenges subordinates to exceed their perceived potential thereby enhancing unit morale and effectiveness. Creates an environment where all Marines are confident to learn through trial and error. As a mentor, prepares subordinates for increased responsibilities and duties.	Widely recognized and emulated as a teacher, coach and leader. Any Marine would desire to serve with this Marine because they know they will grow personally and professionally. Subordinate and unit performance far surpassed expected results due to MRC's mentorship and team building talents. Attitude toward subordinate development is infectious, extending beyond the unit.		N/O		
A	B	C	D	E	F	G	H
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3. SETTING THE EXAMPLE. The most visible facet of leadership: how well a Marine serves as a role model for all others. Personal action demonstrates the highest standards of conduct, ethical behavior, fitness, and appearance. Bearing, demeanor, and self-discipline are elements.

ADV	Maintains Marine Corps standards for appearance, weight, and uniform wear. Sustains required level of physical fitness. Adheres to the tenets of the Marine Corps core values.	Personal conduct on and off duty reflects highest Marine Corps standards of integrity, bearing and appearance. Character is exceptional. Actively seeks self-improvement in wide-ranging areas. Dedication to duty and professional example encourage others' self-improvement efforts.	Model Marine, frequently emulated. Exemplary conduct, behavior, and actions are tone-setting. An inspiration to subordinates, peers, and seniors. Remarkable dedication to improving self and others.		N/O		
A	B	C	D	E	F	G	H
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4. ENSURING WELL-BEING OF SUBORDINATES. Genuine interest in the well-being of Marines. Efforts enhance subordinates' ability to concentrate on unit mission accomplishment. Concern for family readiness is inherent. The importance placed on welfare of subordinates is based on the belief that Marines take care of their own.

ADV	Deals confidently with issues pertinent to subordinate welfare and recognizes suitable courses of action that support subordinates' well-being. Applies available resources, allowing subordinates to effectively concentrate on the mission.	Instills and/or reinforces a sense of responsibility among junior Marines for themselves and their subordinates. Actively fosters the development of and uses support systems for subordinates which improve their ability to contribute to unit mission accomplishment. Efforts to enhance subordinate welfare improve the unit's ability to accomplish its mission.	Noticeably enhances subordinates well-being, resulting in a measurable increase in unit effectiveness. Maximizes unit and base resources to provide subordinates with the best support available. Proactive approach serves to energize unit members to "take care of their own," thereby correcting potential problems before they can hinder subordinates' effectiveness. Widely recognized for techniques and policies that produce results and build morale. Builds strong family atmosphere. Puts motto <i>Mission first, Marines always</i> , into action.		N/O		
A	B	C	D	E	F	G	H
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. COMMUNICATION SKILLS. The efficient transmission and receipt of thoughts and ideas that enable and enhance leadership. Equal importance given to listening, speaking, writing, and critical reading skills. Interactive, allowing one to perceive problems and situations, provide concise guidance, and express complex ideas in a form easily understood by everyone. Allows subordinates to ask questions, raise issues and concerns and venture opinions. Contributes to a leader's ability to motivate as well as counsel.

ADV	Skilled in receiving and conveying information. Communicates effectively in performance of duties.	Clearly articulates thoughts and ideas, verbally and in writing. Communication in all forms is accurate, intelligent, concise, and timely. Communicates with clarity and verve, ensuring understanding of intent or purposes. Encourages and considers the contributions of others.	Highly developed facility in verbal communication. Adroit in composing written documents of the highest quality. Combines presence and verbal skills which engender confidence and achieve understanding irrespective of the setting, situation, or size of the group addressed. Displays an intuitive sense of when and how to listen.		N/O		
A	B	C	D	E	F	G	H
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

JUSTIFICATION:



1. Marine Reported On:				2. Occasion and Period Covered:		
a. Last Name	b. First Name	c. MI	d. SSN	a. OCC	b. From	To

--	--	--

G. INTELLECT AND WISDOM
1. PROFESSIONAL MILITARY EDUCATION (PME). Commitment to intellectual growth in ways beneficial to the Marine Corps. Increases the breadth and depth of writing and leadership aptitude. Resources include resident schools; professional qualifications and certification processes; nonresident and other extension courses; civilian educational institution coursework; a personal reading program that includes (but is not limited to) selections from the Commandant's Reading List; participation in discussion groups and military societies; and involvement in learning through new technologies.

ADV	Maintains currency in required military skills and related developments. Has completed or is enrolled in appropriate level of PME for grade and level of experience. Recognizes and understands new and creative approaches to service issues. Remains abreast of contemporary concepts and issues.	PME outlook extends beyond MOS and required education. Develops and follows a comprehensive personal program which includes broadened professional reading and/or academic course work; advances new concepts and ideas.	Dedicated to life-long learning. As a result of active and continuous efforts, widely recognized as an intellectual leader in professionally related topics. Makes time for study and takes advantage of all resources and programs. Introduces new and creative approaches to service issues. Engages in a broad spectrum of forums and dialogues.			N/O
------------	---	--	---	--	--	------------

A	B	C	D	E	F	G	H
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. DECISION MAKING ABILITY. Viable and timely problem solution. Contributing elements are judgment and decisiveness. Decisions reflect the balance between an optimal solution and a satisfactory, workable solution that generates tempo. Decisions are made within the context of the commander's established intent and the goal of mission accomplishment. Anticipation, mental agility, intuition, and success are inherent.

ADV	Makes sound decisions leading to mission accomplishment. Actively collects and evaluates information and weighs alternatives to achieve timely results. Confidently approaches problems; accepts responsibility for outcomes.	Demonstrates mental agility; effectively prioritizes and solves multiple complex problems. Analytical abilities enhanced by experience, education, and intuition. Anticipates problems and implements viable, long-term solutions. Steadfast, willing to make difficult decisions.	Widely recognized and sought after to resolve the most critical, complex problems. Seldom matched analytical and intuitive abilities; accurately foresees unexpected problems and arrives at well-timed decisions despite fog and friction. Completely confident approach to all problems. Masterfully strikes a balance between the desire for perfect knowledge and greater tempo.			N/O
------------	---	--	--	--	--	------------

A	B	C	D	E	F	G	H
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3. JUDGMENT. The discretionary aspect of decision making. Draws on core values, knowledge, and personal experience to make wise choices. Comprehends the consequences of contemplated courses of action.

ADV	Majority of judgments are measured, circumspect, relevant and correct.	Decisions are consistent and uniformly correct, tempered by consideration of their consequences. Able to identify, isolate and assess relevant factors in the decision making process. Opinions sought by others. Subordinates personal interest in favor of impartiality.	Decisions reflect exceptional insight and wisdom beyond this Marine's experience. Counsel sought by all; often an arbiter. Consistent, superior judgment inspires the confidence of seniors.			N/O
------------	--	--	--	--	--	------------

A	B	C	D	E	F	G	H
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

JUSTIFICATION:

H. FULFILLMENT OF EVALUATION RESPONSIBILITIES

1. EVALUATIONS. The extent to which this officer serving as a reporting official conducted, or required others to conduct, accurate, uninfated, and timely evaluations.

ADV	Occasionally submitted untimely or administratively incorrect evaluations. As RS, submitted one or more reports that contained inflated markings. As RO, concurred with one or more reports from subordinates that were returned by HQMC for inflated marking.	Prepared uninfated evaluations which were consistently submitted on time. Evaluations accurately described performance and character. Evaluations contained no inflated markings. No reports returned by RO or HQMC for inflated marking. No subordinates' reports returned by HQMC for inflated marking. Few, if any, reports were returned by RO or HQMC for administrative errors. Section Cs were void of superlatives. Justifications were specific, verifiable, substantive, and where possible, quantifiable and supported the markings given.	No reports submitted late. No reports returned by either RO or HQMC for administrative correction or inflated markings. No subordinates' reports returned by HQMC for administrative correction or inflated markings. Returned procedurally or administratively incorrect reports to subordinates for correction. As RO nonconcurred with all inflated reports.			N/O
------------	--	---	---	--	--	------------

A	B	C	D	E	F	G	H
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

JUSTIFICATION:



1. Marine Reported On:				2. Occasion and Period Covered:		
a. Last Name	b. First Name	c. MI	d. SSN	a. OCC	b. From	To
I. DIRECTED AND ADDITIONAL COMMENTS						
J. CERTIFICATION						
1. I CERTIFY that to the best of my knowledge and belief all entries made hereon are true and without prejudice or partiality and that I have provided a signed copy of this report to the Marine Reported on.				_____		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
				(Signature of Reporting Senior)		(Date in YYYYMMDD format)
2. I ACKNOWLEDGE the adverse nature of this report and						
<input type="checkbox"/> I have no statement to make						
<input type="checkbox"/> I have attached a statement						
				_____		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
				(Signature of Marine Reported On)		(Date in YYYYMMDD format)
K. REVIEWING OFFICER COMMENTS						
1. OBSERVATION: <input type="checkbox"/> Sufficient <input type="checkbox"/> Insufficient			2. EVALUATION: <input type="checkbox"/> Concur <input type="checkbox"/> Do Not Concur			
3. COMPARATIVE ASSESSMENT: Provide a comparative assessment of potential by placing an "X" in the appropriate box. In marking the comparison, consider all Marines of this grade whose professional abilities are known to you personally.	DESCRIPTION		COMPARATIVE ASSESSMENT			
	THE EMINENTLY QUALIFIED MARINE		<input type="checkbox"/>			
	ONE OF THE FEW		<input type="checkbox"/>			
	EXCEPTIONALLY QUALIFIED MARINES		<input type="checkbox"/>			
	ONE OF THE MANY HIGHLY QUALIFIED		<input type="checkbox"/>			
	PROFESSIONALS WHO FORM THE MAJORITY OF THIS GRADE		<input type="checkbox"/>			
A QUALIFIED MARINE		<input type="checkbox"/>				
UNSATISFACTORY		<input type="checkbox"/>				
4. REVIEWING OFFICER COMMENTS: Amplify your comparative assessment mark; evaluate potential for continued professional development to include: promotion, command, assignment, resident PME, and retention; and put Reporting Senior marks and comments in perspective.						
5. I CERTIFY that to the best of my knowledge and belief all entries made hereon are true and without prejudice or partiality.				_____		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
				(Signature of Reviewing Officer)		(Date in YYYYMMDD format)
6. I ACKNOWLEDGE the adverse nature of this report and						
<input type="checkbox"/> I have no statement to make						
<input type="checkbox"/> I have attached a statement						
				_____		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
				(Signature of Marine Reported On)		(Date in YYYYMMDD format)
L. ADDENDUM PAGE						
ADDENDUM PAGE ATTACHED: <input type="checkbox"/> YES						
NAVMC 10835 (Rev. 7-11) (EF)			FOR OFFICIAL USE ONLY - Privacy sensitive when filled in.			PAGE 5 OF 5



USMC FITNESS REPORT					DO NOT STAPLE THIS FORM			
NAVMC 11297 (Rev. 7-11) (EF) FOUO - Privacy sensitive when filled in.					ADDENDUM PAGE			
A. PURPOSE								
1. Marine Reported On:					2. Occasion and Period Covered:			
a. Last Name		b. First Name	c. M.I.	d. SSN	e. Grade	a. OCC	b. From To	
3. Purpose:								
a. Continuation of Comments Justification		b. Accelerated Promotion Justification		c. Adverse Report MRO Statement 3rd Officer Sighter		d. Admin Review	e. Supplemental Material	f. HQMC Use
<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B. TEXT								
C. SUBMITTED BY								
1. a. Last Name		b. First Name		c. MI	2. SSN	3. Service	4. Grade	
Signature						<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> (Date in YYYYMMDD format)		
D. GENERAL/SENIOR OFFICER ADVERSE REPORT SIGHTING								
1. a. Last Name		b. First Name		c. MI	2. SSN	3. Service	4. Grade	
5. Title						<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> (Date in YYYYMMDD format)		
Signature								
FOR OFFICIAL USE ONLY - Privacy sensitive when filled in.								
							PAGE <input type="checkbox"/> OF <input type="checkbox"/>	



APPENDIX F. USA OER (DA-67-10-1)

HQDA#:	Attachments Menu				
COMPANY GRADE PLATE (O1 - O3; WO1 - CW2) OFFICER EVALUATION REPORT					
For use of this form, see AR 623-3; the proponent agency is DCS, G-1.					
See Privacy Act Statement in AR 623-3.					
PART I - ADMINISTRATIVE (Rated Officer)					
a. NAME (Last, First, Middle Initial)	b. SSN (or DOD ID No.)	c. RANK	d. DATE OF RANK (YYYYMMDD)	e. BRANCH	f. COMPONENT (Status Code)
g. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND			h. UIC	i. REASON FOR SUBMISSION	
j. PERIOD COVERED FROM (YYYYMMDD) THRU (YYYYMMDD)		k. RATED MONTHS	l. NON RATED CODES	m. NO. OF ENCLOSURES	n. RATED OFFICER'S EMAIL ADDRESS (.gov or .mil)
PART II - AUTHENTICATION (Rated officer's signature verifies officer has seen completed OER Parts I-VI and the administrative data is correct)					
a1. NAME OF RATER (Last, First, Middle Initial)		a2. SSN (or DOD ID No.)	a3. RANK	a4. POSITION	
a5. EMAIL ADDRESS (.gov or .mil)		a6. RATER SIGNATURE			a7. DATE (YYYYMMDD)
b1. NAME OF INTERMEDIATE RATER (Last, First, Middle Initial)		b2. SSN (or DOD ID No.)	b3. RANK	b4. POSITION	
b5. EMAIL ADDRESS (.gov or .mil)		b6. INTERMEDIATE RATER SIGNATURE			b7. DATE (YYYYMMDD)
c1. NAME OF SENIOR RATER (Last, First, Middle Initial)		c2. SSN (or DOD ID No.)	c3. RANK	c4. POSITION	
c5. SENIOR RATER'S ORGANIZATION		c6. BRANCH	c7. COMPONENT		c9. EMAIL ADDRESS (.gov or .mil)
		c8. SENIOR RATER PHONE NUMBER		c10. SENIOR RATER SIGNATURE	
c11. DATE (YYYYMMDD)					
d. This is a referred report, do you wish to make comments? <input type="checkbox"/> Referred <input type="checkbox"/> Yes, comments are attached <input type="checkbox"/> No		e1. RATED OFFICER SIGNATURE		e2. DATE (YYYYMMDD)	
f1. Supplementary Review Required? <input type="checkbox"/> Yes <input type="checkbox"/> No		f2. NAME OF REVIEWER (Last, First, Middle Initial)			
f3. RANK	f4. POSITION		f5. Comments Enclosed		
f6. SUPPLEMENTARY REVIEWER SIGNATURE		f7. DATE (YYYYMMDD)	g. MSAF Date (YYYYMMDD)		
PART III - DUTY DESCRIPTION					
a. PRINCIPAL DUTY TITLE			b. POSITION AOC/BRANCH		
c. SIGNIFICANT DUTIES AND RESPONSIBILITIES					
PART IV - PERFORMANCE EVALUATION - PROFESSIONALISM, COMPETENCIES, AND ATTRIBUTES (Rater)					
a. APFT Pass/Fail/Profile: _____ Date: _____ Height: _____ Weight: _____ Within Standard? _____ Comments required for "Failed" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards? Reset Item a. APFT/Pass/Fail/Profile					
b. This Officer's overall Performance is Rated as: (Select one box representing Rated Officer's overall performance compared to others of the same grade whom you have rated in your career. Managed at less than 50% in EXCELS.)					
I currently rate _____ Army Officers in this grade.					
A completed DA Form 67-10-1A was received with this report and considered in my evaluation and review: <input type="checkbox"/> Yes <input type="checkbox"/> No (explain in comments below)					
EXCELS (49%) <input type="checkbox"/>		PROFICIENT <input type="checkbox"/>		CAPABLE <input type="checkbox"/>	
				UNSATISFACTORY <input type="checkbox"/>	
Comments:					

DA FORM 67-10-1, NOV 2015

Page 1 of 2
APD.LC.v1.00E1

Source: DOA (n.d.)



HQDA#:

NAME:		SSN (or DOD ID No.)	PERIOD COVERED: FROM (YYYYMMDD)	THRU (YYYYMMDD)
c. 1) Character: <i>(Adherence to Army Values, Empathy, and Warrior Ethos/ Service Ethos and Discipline. Fully supports SHARP, EO, and EEO.)</i>				
c. 2) Presence: <i>(Military and Professional Bearing, Fitness, Confident, Resilient)</i>				
c. 3) Intellect: <i>(Mental Agility, Sound Judgment, Innovation, Interpersonal Tact, Expertise)</i>				
c. 4) Leads: <i>(Leads Others, Builds Trust, Extends Influence beyond the Chain of Command, Leads by Example, Communicates)</i>				
c. 5) Develops: <i>(Creates a positive command/ workplace environment; Fosters Esprit de Corps, Prepares Self, Develops Others, Stewards the Profession)</i>				
c. 6) Achieves: <i>(Gets Results)</i>				
PART V - INTERMEDIATE RATER				
PART VI - SENIOR RATER				
a. POTENTIAL COMPARED WITH OFFICERS SENIOR RATED IN SAME GRADE (OVERPRINTED BY DA) <input type="checkbox"/> MOST QUALIFIED <i>(limited to 49%)</i> <input type="checkbox"/> HIGHLY QUALIFIED <input type="checkbox"/> QUALIFIED <input type="checkbox"/> NOT QUALIFIED	b. I currently senior rate _____ Army Officers in this grade.			
	c. COMMENTS ON POTENTIAL: d. List 3 future <u>SUCCESSIVE</u> assignments for which this Officer is best suited:			

DA FORM 67-10-1, NOV 2015

Page 2 of 2
APD LC v1.00ES



APPENDIX G. USA NCOER (DA-2166-9-2)

NCO EVALUATION REPORT (SSG-1SG/MSG) <small>For use of this form, see AR 623-3; the proponent agency is DCS, G-1.</small>					SEE PRIVACY ACT STATEMENT IN AR 623-3					
PART I - ADMINISTRATIVE DATA										
a. NAME (Last, First, Middle Initial)			b. SSN (or DOD ID No.)		c. RANK		d. DATE OF RANK		e. PMOSC	
f. UNIT, ORG, STATION, ZIP CODE OR APO, MAJOR COMMAND					g. STATUS CODE		h. UIC		i. REASON FOR SUBMISSION	
j. PERIOD COVERED			k. RATED MONTHS	l. NONRATED CODES	m. NO OF ENCLOSURES		n. RATED NCO'S EMAIL ADDRESS (.gov or .mil)			
FROM		THRU								
YEAR MONTH DAY		YEAR MONTH DAY								
PART II - AUTHENTICATION										
a1. NAME OF RATER (Last, First, Middle Initial)				a2. SSN (or DOD ID No.)		a3. RATER'S SIGNATURE			a4. DATE (YYYYMMDD)	
a5. RANK		PMOSC/BRANCH		ORGANIZATION		DUTY ASSIGNMENT		a6. RATER'S EMAIL ADDRESS (.gov or .mil)		
b1. NAME OF SENIOR RATER (Last, First, Middle Initial)				b2. SSN (or DOD ID No.)		b3. SENIOR RATER'S SIGNATURE		b4. DATE (YYYYMMDD)		
b5. RANK		PMOSC/BRANCH		ORGANIZATION		DUTY ASSIGNMENT		b6. SENIOR RATER'S EMAIL ADDRESS (.gov or .mil)		
c1. SUPPLEMENTARY REVIEW REQUIRED?	c2. NAME OF SUPPLEMENTARY REVIEWER (Last, First, Middle Initial)			c3. RANK		PMOSC/ BRANCH		ORGANIZATION DUTY ASSIGNMENT		
<input type="checkbox"/> YES <input type="checkbox"/> NO										
c4. COMMENTS ENCLOSED?		c5. SUPPLEMENTARY REVIEWER'S SIGNATURE			c6. DATE (YYYYMMDD)		c7. SUPPLEMENTARY REVIEWER'S EMAIL ADDRESS (.gov or .mil)			
<input type="checkbox"/> YES <input type="checkbox"/> NO										
<small>RATED NCO: I understand my signature does not constitute agreement or disagreement with the assessments of the rater and senior rater. I further understand my signature verifies that the administrative data in Part I, the rating officials and counseling dates in Part II, the duty description in Part III, and the APFT and height/weight entries in Part IVa and IVb are correct. I have seen the completed report. I am aware of the appeals process of AR 623-3.</small>										
d1. COUNSELING DATES		INITIAL	LATER	LATER	LATER	d2. RATED NCO'S SIGNATURE		d3. DATE (YYYYMMDD)		
PART III - DUTY DESCRIPTION (Rater)										
a. PRINCIPAL DUTY TITLE					b. DUTY MOSC					
c. DAILY DUTIES AND SCOPE (To include, as appropriate, people, equipment, facilities, and dollars)										
d. AREAS OF SPECIAL EMPHASIS										
e. APPOINTED DUTIES										
PART IV - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES (Rater)										
a. APFT Pass/Fail/Profile: _____				Date: _____		b. Height: _____		Weight: _____		Within Standard? _____
<small>(Comments required for "Failed" APFT, "No" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards.)</small>										
c. CHARACTER (Include bullet comments addressing Rated NCO's performance as it relates to adherence to Army Values, Empathy, Warrior Ethos/Service Ethos, and Discipline. Fully supports SHARP, EO, and EEO.)					COMMENTS:					
MET STANDARD		DID NOT MEET STANDARD								
<input type="checkbox"/>		<input type="checkbox"/>								

DA FORM 2166-9-2, NOV 2015

Page 1 of 2
APD LC v1.00ES

Source: DOA (n.d.)



RATED NCO'S NAME (Last, First, Middle Initial)		SSN (or DOD ID No.)	THRU DATE
PART IV - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES (Rater)			
d. PRESENCE: (Military and professional bearing, Fitness, Confidence, Resilience)		COMMENTS:	
FAR EXCEEDED STANDARD	EXCEEDED STANDARD	MET STANDARD	DID NOT MEET STANDARD
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. INTELLECT: (Mental agility, Sound judgement, Innovation, Interpersonal tact, Expertise)		COMMENTS:	
FAR EXCEEDED STANDARD	EXCEEDED STANDARD	MET STANDARD	DID NOT MEET STANDARD
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. LEADS: (Leads others, Builds trust, Extends influence beyond the chain of command, Leads by example, Communicates)		COMMENTS:	
FAR EXCEEDED STANDARD	EXCEEDED STANDARD	MET STANDARD	DID NOT MEET STANDARD
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. DEVELOPS: (Creates a positive command/workplace environment, Fosters esprit de corps, Prepares self, Develops others, Stewards the profession)		COMMENTS:	
FAR EXCEEDED STANDARD	EXCEEDED STANDARD	MET STANDARD	DID NOT MEET STANDARD
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. ACHIEVES: (Gets results)		COMMENTS:	
FAR EXCEEDED STANDARD	EXCEEDED STANDARD	MET STANDARD	DID NOT MEET STANDARD
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
RATER OVERALL PERFORMANCE			
i. Select one box representing Rated NCO's overall performance compared to others in the same grade whom you have rated in your career. I currently rate Army NCOs in this grade.			
FAR EXCEEDED STANDARD	EXCEEDED STANDARD	MET STANDARD	DID NOT MEET STANDARD
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j. COMMENTS:			
PART V - SENIOR RATER OVERALL POTENTIAL			
a. Select one box representing Rated NCO's potential compared to others in the same grade whom you have rated in your career. I currently senior rate Army NCOs in this grade.		b. COMMENTS:	
<input type="checkbox"/> MOST QUALIFIED (limited to 24%) <input type="checkbox"/> HIGHLY QUALIFIED <input type="checkbox"/> QUALIFIED <input type="checkbox"/> NOT QUALIFIED			
c. List two successive assignments and one broadening assignment (3-5 years). Successive Assignment: 1) _____ 2) _____ Broadening Assignment: _____			



APPENDIX H. USAF OPR (AF-707)

OFFICER PERFORMANCE REPORT (Lt thru Col)						
I. RATEE IDENTIFICATION DATA (Read AFI 36-2406 carefully before filling in any item)						
1. NAME (Last, First, Middle Initial)	2. SSN	3. RANK	4. DAFSC	5. REASON FOR REPORT	6. PAS CODE	
7. ORGANIZATION, COMMAND, LOCATION, AND COMPONENT				8. PERIOD OF REPORT FROM THRU	9. NO. DAYS SUPV. NO. DAYS NON-RATED	
II. JOB DESCRIPTION (Limit text to 4 lines) DUTY TITLE					10. SRID	
III. PERFORMANCE FACTORS						
Job Knowledge, Leadership Skills (to include Promoting a Healthy Organizational Climate), Professional Qualities, Organizational Skills, Judgment and Decisions, Communication Skills (see reverse if marked Does Not Meet Standards)				DOES NOT MEET STANDARDS	MEETS STANDARDS	
				<input type="checkbox"/>	<input type="checkbox"/>	
IV. RATER OVERALL ASSESSMENT (Limit text to 6 lines)						
Last performance feedback was accomplished on: _____ (IAW AFI 36-2406) (If not accomplished, state the reason)						
NAME, GRADE, BR OF SVC, ORGN, COMMAND & LOCATION		DUTY TITLE			DATE	
		SSN	SIGNATURE			
V. ADDITIONAL RATER OVERALL ASSESSMENT (Limit text to 4 lines) <input type="checkbox"/> CONCUR <input type="checkbox"/> NON-CONCUR						
NAME, GRADE, BR OF SVC, ORGN, COMMAND & LOCATION		DUTY TITLE			DATE	
		SSN	SIGNATURE			
VI. REVIEWER (If required, limit text to 3 lines) <input type="checkbox"/> CONCUR <input type="checkbox"/> NON-CONCUR						
NAME, GRADE, BR OF SVC, ORGN, COMMAND & LOCATION		DUTY TITLE			DATE	
		SSN	SIGNATURE			
VII. FUNCTIONAL EXAMINER/AIR FORCE ADVISOR (Indicate applicable review by marking the appropriate box) <input type="checkbox"/> FUNCTIONAL EXAMINER <input type="checkbox"/> AIR FORCE ADVISOR						
NAME, GRADE, BR OF SVC, ORGN, COMMAND & LOCATION		DUTY TITLE			DATE	
		SSN	SIGNATURE			
VIII. RATEE'S ACKNOWLEDGMENT						
I understand my signature does not constitute agreement or disagreement. I acknowledge all required feedback was accomplished during the reporting period and upon receipt of this report.				Yes No <input type="checkbox"/> <input type="checkbox"/>	SIGNATURE	DATE

AF FORM 707, 20150731, V1

(PREVIOUS EDITIONS ARE OBSOLETE)

PRIVACY ACT INFORMATION: The information in this form is FOR OFFICIAL USE ONLY. Protect IAW the Privacy Act of 1974.

Source: DOAF (n.d.)



RATEE NAME:		
IX. PERFORMANCE FACTORS (If Section III is marked Does Not Meet Standards, fill in applicable block(s))		DOES NOT MEET STANDARDS
1. Job Knowledge. Has knowledge required to perform duties effectively. Strives to improve knowledge. Applies knowledge to handle non-routine situations.		<input type="checkbox"/>
2. Leadership Skills. Sets and enforces standards. Promotes a Healthy Organizational Climate. Works well with others. Fosters teamwork. Displays initiative. Self-confident. Motivates Subordinates. Has respect and confidence of subordinates. Fair and consistent in evaluation of subordinates.		<input type="checkbox"/>
3. Professional Qualities. Exhibits loyalty, discipline, dedication, integrity, honesty, and officership. Adheres to Air Force Standards (i.e. Fitness standards, dress and appearance, customs and courtesies, and professional conduct.) Accepts personal responsibility. Is fair and objective.		<input type="checkbox"/>
4. Organizational Skills. Plans, coordinates, schedules and uses resources effectively. Meets suspenses. Schedules work for self and others equitably and effectively. Anticipates and solves problems.		<input type="checkbox"/>
5. Judgment and Decisions. Makes timely and accurate decisions. Emphasizes logic in decision making. Retains composure in stressful situations. Recognizes opportunities. Adheres to safety and occupational health requirements. Acts to take advantage of opportunities.		<input type="checkbox"/>
6. Communication Skills. Listens, speaks, and writes effectively.		<input type="checkbox"/>
X. REMARKS (use this section to spell out acronyms from the front)		
XI. REFERRAL REPORT (Complete only if report contains referral comments or the overall standards block is marked as does not meet standards)		
I am referring this OPR to you according to AFI 36-2406, para 1.10. It contains comment(s)/rating(s) that make(s) the report a referral as defined in AFI 36-2406, para, 1.10. Specifically,		
Acknowledge receipt by signing and dating below. Your signature merely acknowledges that a referral report has been rendered; it does not imply acceptance of or agreement with the ratings or comments on the report. Once signed, you are entitled to a copy of this memo. You may submit rebuttal comments. Send your written comments to:		
not later than 3 duty days (30 for non-EAD members) from your date below. If you need additional time, you may request an extension from the individuals named above. You may submit attachments (limit to 10 pages), but they must directly relate to the reason this report was referred. Pertinent attachments not maintained elsewhere will remain attached to the report for file in your personnel record. Copies of previous reports, etc. submitted as attachments will be removed from your rebuttal package prior to filing since these documents are already filed in your records. Your rebuttal comments/attachments may not contain any reflection on the character, conduct, integrity, or motives of the evaluator unless you can fully substantiate and document them. Contact the MPS, Force Management section, or the AF Contact Center if you require any assistance in preparing your reply to the referral report. It is important for you to be aware that receiving a referral report may affect your eligibility for other personnel related actions (e.g. assignments, promotions, etc.). You may consult your commander and/or MPS or Air Force Contact Center if you desire more information on this subject. If you believe this report is inaccurate, unjust, or unfairly prejudicial to your career, you may apply for a review of the report under AFI 36-2406, Chapter 10, Correction of Officer and Enlisted Evaluation Reports, once the report becomes a matter of record as defined in AFI 36-2406, Attachment 2.		
NAME, GRADE, BR OF SVC OF REFERRING EVALUATOR	DUTY TITLE	DATE
	SIGNATURE	
SIGNATURE OF RATEE		DATE
INSTRUCTIONS		
ALL: Recommendations must be based on performance and the potential based on that performance. Promotion recommendations are prohibited. Do not comment on completion of or enrollment in Developmental Education, advanced education, previous or anticipated promotion recommendations on AF Form 709, OPR endorsement levels, family activities, marital status, race, sex, ethnic origin, age, religion or sexual orientation. Evaluators enter only the last four numbers of SSN.		
RATER: Focus your evaluation in Section IV on what the officer did, how well he or she did it, and how the officer contributed to mission accomplishment. Write in concise "bullet" format. Your comments in Section IV may include recommendations for assignment. Provide a copy of the report to the ratee prior to the report becoming a matter of record and provide follow-up feedback to let the ratee know how their performance resulted in this final product.		
ADDITIONAL RATER: Carefully review the rater's evaluation to ensure it is accurate, unbiased and uninflated. If you disagree, you may ask the rater to review his or her evaluation. You may not direct a change in the evaluation. If you still disagree with the rater, mark "NON-CONCUR" and explain. You may include recommendation for assignment.		
REVIEWER: Carefully review the rater's and additional rater's ratings and comments. If their evaluations are accurate, unbiased and uninflated, mark "CONCUR" and sign the form. If you disagree with previous evaluators, you may ask them to review their evaluations. You may not direct them to change their appraisals. If you still disagree with the additional rater, mark "NON-CONCUR" and explain in Section VI. Do not use "NON-CONCUR" simply to provide comments on the report.		
RATEE: Your signature is merely an acknowledgement of receipt of this report. It does not constitute concurrence. If you disagree with the content, you may file an evaluation appeal through the Evaluation Reports Appeals Board IAW AFI 36-2406 Chapter 10 (Correcting Officer and Enlisted Evaluation Reports), or through the Air Force Board for Correction of Military Records IAW AFI 36-2603 (Air Force Board for Correction of Military Records) and AFPAM 36-2607 (Applicants' Guide to the Air Force Board for Correction of Military Records (AFBCMR)).		
PRIVACY ACT STATEMENT		
AUTHORITY: Title 10 United States Code (U.S.C.) 8013, Secretary of the Air Force: AFI 36-2406, and Executive Order 9397 (SSN), as amended. PURPOSE: Used to document effectiveness/duty performance history; promotion, school and assignment selection; reduction-in-force, control roster; reenlistment; separation; research and statistical analysis. ROUTINE USES: May specifically be disclosed outside the DoD as a routine use pursuant to 5 U.S.C. 552a(b)(3). DoD Blanket Routine Uses apply. DISCLOSURE: Voluntary. Not providing SSN may cause form to not be processed or to positively identify the person being evaluated. SORN: F036 AF PC A, Effectiveness/Performance Reporting Records		

AF FORM 707, 20150731, V1

(PREVIOUS EDITIONS ARE OBSOLETE)

PRIVACY ACT INFORMATION: The information in this form is FOR OFFICIAL USE ONLY. Protect IAW the Privacy Act of 1974.



APPENDIX J. USCG EER (CG-3788C)

DEPARTMENT OF HOMELAND SECURITY U.S. Coast Guard ENLISTED EVALUATION REPORT SECOND CLASS PETTY OFFICER		
INSTRUCTIONS		
<ul style="list-style-type: none"> Use a pen or pencil. Darken the oval completely. Do not make any stray marks on this form. 		
		CORRECT MARK
		INCORRECT MARKS
Reference: (a) Enlistments, Evaluations, and Advancements, COMDTINST M1000.2 (series) (b) Enlisted Evaluation System Procedures Manual, PSCINST 1611.2 (series)		
MEMBER: Submit a copy of current Rating Performance Qualifications (RPQ); billet assigned competencies, watch quarter station bill assignments; collateral duties; and significant achievements that are objective, accurate, and timely. Please note significant accomplishments or aspects of performance that occurred during this marking period.		
RATING CHAIN: Review reference (a), reference (b), and other pertinent directives that establish policies and procedures for completing enlisted evaluation reports and assigning marks against written performance standards. All competencies within each performance factor must be evaluated.		
COMMENTS: Written comments are required to support each mark of 1, 2, 3, 7, unsatisfactory conduct, and not ready or not recommended for advancement. Supporting comments for a 1, 2, 3, or 7 should be in the space provided after each factor, are limited to two lines of text for each competency and should be concise and provide specific examples of performance or behavior. Written comments for unsatisfactory conduct must be provided on a separate page and must be specific and sufficient enough to fully describe the conduct that led to an unsatisfactory mark. Written comments for not ready or not recommended for advancement must be provided on a separate page, and must be specific and sufficient enough to describe why the member is not ready or not recommended for advancement.		
FUTURE POTENTIAL: Required. Provide written, succinct comments describing potential for future leadership responsibilities, including potential to successfully serve in future special, independent, or command cadre assignments, for all personnel. This block is not a substitute for a command endorsement for such assignments; commands should seek to limit comments to the extent necessary to describe the member's future leadership potential.		
SUPERVISOR: After observing and gathering input on member's performance and behavior, evaluate member's performance against the written performance standards and recommend marks by darkening the appropriate ovals. Provide the completed report with recommended marks and written comments to the Marking Official.		
MARKING OFFICIAL: Review the marks recommended by the Supervisor and, considering other information on the member's performance and behavior, recommend marks by darkening the appropriate ovals and entering the numerical equivalent in the "Mark" column. Provide the completed report with recommended marks and written comments to the Approving Official.		
APPROVING OFFICIAL: Review the marks recommended by the Marking Official. Marks not concurred with must be discussed with the Marking Official. To change a mark, assign the new mark, and change the "Mark" column. Confirm that required written comments are provided when required. Ensure that the member is counseled on the marks and the member signs the worksheet. Verify that the marks are entered into the Coast Guard Direct Access System and that the evaluation is marked final within the timeframe specified in reference (a).		
1. RATE, FIRST NAME, LAST NAME	2. EMPLOYEE ID #	
3. UNIT NAME	4. PERIOD ENDING (MM/DD/YYYY)	5. PAY GRADE E5
6. REASON (choose only one reason):		
REGULAR:		
<input type="radio"/> SEMI ANNUAL		
UNSCHEDULED (review references to determine when required):		
<input type="radio"/> DISCIPLINE		
<input type="radio"/> CHANGE OF COMMANDING OFFICER'S RECOMMENDATION		
<input type="radio"/> TRANSFER		
<input type="radio"/> REDUCTION (OTHER THAN DISCIPLINARY)		
<input type="radio"/> SERVICEWIDE EXAM (SWE)		
<input type="radio"/> CHANGE IN RATE		
<input type="radio"/> PERMANENT RELIEF FOR CAUSE		
<input type="radio"/> PROBATION		
<input type="radio"/> ADVANCEMENT (DAY PRIOR TO ADVANCEMENT)		
<input type="radio"/> CHANGE IN APPROVING OFFICIAL		
<input type="radio"/> RESERVE ADOS		
CG-3788C (02/19)	Reset	Page 1 of 5

Source: DHS (n.d.)



MILITARY: Measures a member's ability to bring credit to the Coast Guard through personal demeanor and professional actions.								
MILITARY BEARING: The degree to which the member adhered to uniform and grooming standards, and projected a professional image that brought credit to the Coast Guard.	1 <input type="radio"/>	Failed to consistently adhere to uniform or grooming standards. Actions brought discredit to the Coast Guard.	3 <input type="radio"/>	Complied with uniform and grooming standards. Projected a professional image that brought credit to the Coast Guard.	5 <input type="radio"/>	Consistently exceeded standards for uniform and grooming. Inspired similar standards in others. Performance of subordinates, if assigned, was exceptional.	7 <input type="radio"/>	MARK
CUSTOMS, COURTESIES, AND TRADITIONS: The extent to which the member conformed to military customs, courtesies, and traditions and set and enforced standards for others.	1 <input type="radio"/>	Failed to conform to military customs, courtesies, or traditions. Failed to address substandard performance of subordinates, if assigned.	3 <input type="radio"/>	Consistently conformed to military customs, courtesies and traditions. Demonstrated respect to rank and privilege, and required the same of others.	5 <input type="radio"/>	Exemplified military customs, courtesies, traditions and protocols in all situations. Inspired similar standards in others. Performance of subordinates, if assigned, was exceptional.	7 <input type="radio"/>	MARK
Comments (Limited to a maximum of two lines of text per competency):								
PERFORMANCE: Measures a member's willingness to acquire knowledge and the ability to use knowledge, skill, and direction to accomplish work.								
QUALITY OF WORK: The degree to which the member utilized knowledge, skills, and expertise to effectively organize and prioritize tasks. Completed quality work and met customer needs.	1 <input type="radio"/>	Needed help in prioritizing routine tasks. Work frequently failed to meet expectations. Failed to stand proper watches, if assigned. Repeatedly failed to meet customer needs.	3 <input type="radio"/>	Used training, experience, and proper procedures to produce finished work of good quality. Worked efficiently. Stood responsible watches, if assigned. Met customer needs.	5 <input type="radio"/>	Consistently produced expert-quality work that exceeded expectations and standards. Successfully resolved challenging situations while on duty. Effectively set priorities for new or complex tasks. Anticipated and continually met customer needs.	7 <input type="radio"/>	MARK
TECHNICAL PROFICIENCY: The degree to which the member demonstrated technical competency and proficiency for rating or current assignment.	1 <input type="radio"/>	Knowledge and skill of rate or current assignment was below standard. Failed to acquire or maintain required qualifications.	3 <input type="radio"/>	Demonstrated solid grasp of the knowledge, skills, and expertise for rate or current assignment. Met or maintained required qualifications.	5 <input type="radio"/>	Demonstrated exceptional knowledge, skills, and expertise for current assignment. Achieved or maintained advanced qualifications. Technical expertise significantly contributed to unit's mission success.	7 <input type="radio"/>	MARK
INITIATIVE: The degree to which the member was a self starter, acted on new ideas to make improvements, pursued opportunities to learn, and sought additional responsibility.	1 <input type="radio"/>	Avoided additional responsibility. Required constant supervision to complete tasks. Implemented and supported improvements only when directed to do so.	3 <input type="radio"/>	Took action without waiting for someone to tell them what to do. Acted on opportunities and volunteered for additional tasking.	5 <input type="radio"/>	Proactively sought additional responsibility from supervisors or others. Identified and acted upon opportunities to make improvements. Enthusiastically took on additional tasks or collateral duties.	7 <input type="radio"/>	MARK
Comments (Limited to a maximum of two lines of text per competency):								



PROFESSIONAL QUALITIES: Measures those qualities the Coast Guard values in its people.								
DECISION MAKING AND PROBLEM SOLVING: The degree to which the member made sound decisions and provided valid recommendations by using facts, experience, risk assessment, and analytical thought.	1 <input type="radio"/>	Failed to make necessary decisions or did not consider facts, alternatives, or impact. Did not weigh risk, cost, or time. Problem solving often displayed poor analysis. Did not reflect on or learn from mistakes.	3 <input type="radio"/>	Solved Issues promptly within own authority and referred others to supervisor; provided recommendations based on all pertinent information. Asked clarifying questions when needed to make decisions. Used facts and experience to solve problems while considering risk, cost, and time.	5 <input type="radio"/>	Combined keen analytical thought and insight to make appropriate decisions with little or no guidance. Critical thinker who consistently focused on key issues and the most relevant information to solve complex problems. Actions indicated awareness of impact of decisions on others.	7 <input type="radio"/>	MARK
MILITARY READINESS: The degree to which the member effectively identified and managed stress and engaged in activities that promoted physical fitness and emotional well-being. Maintained compliance with personal readiness standards.	1 <input type="radio"/>	Lacked effort to comply with readiness standards. Performance suffered due to lack of compliance with health, well-being, or readiness standards.	3 <input type="radio"/>	Managed stress to prevent negative impact on job performance and emotional well-being. Maintained compliance with medical and readiness standards, mandated training, and qualifications. Complied with weight standards throughout the entire period. Demonstrated financial responsibility. Used alcohol responsibly, if at all. Participated in physical fitness activities.	5 <input type="radio"/>	Supported a healthy workplace culture by promoting physical and emotional well-being. Actively assisted others with readiness standards. Demonstrated a significant commitment to the physical and emotional well-being of self and others.	7 <input type="radio"/>	MARK
SELF-AWARENESS AND LEARNING: The degree to which the member continued to assess self, develop professionally, improve current skills and knowledge, and acquire new skills.	1 <input type="radio"/>	Failed to assess personal strengths or weaknesses. Lacked motivation or desire to further knowledge or self improvement.	3 <input type="radio"/>	Routinely assessed self and prepared for greater responsibilities. Used available opportunities to increase professional knowledge and develop skills. Showed personal growth through education or training.	5 <input type="radio"/>	Proactively sought opportunities on or off duty for personal and professional development. Used training to develop others. Encouraged others toward self improvement.	7 <input type="radio"/>	MARK
TEAM BUILDING: The degree to which the member contributed to a group process, and worked cooperatively in a collaborative, inclusive, and outcome-oriented manner.	1 <input type="radio"/>	Unwilling to consider the ideas of others. Not a team player. Failed to maintain partnerships.	3 <input type="radio"/>	Engaged team player. Worked cooperatively in group environments; collaborated to achieve goals. Teamwork resulted in the successful completion of assigned tasks.	5 <input type="radio"/>	Strong team leader who achieved results through collaboration, fostering cooperation among subordinates and peers. Recognized team member efforts. Skillfully used knowledge of group dynamics to achieve maximum performance.	7 <input type="radio"/>	MARK
Comments (Limited to a maximum of two lines of text per competency):								
<div style="display: flex; justify-content: space-between;"> CG-3788C (02/19) <input type="button" value="Reset"/> Page 3 of 5 </div>								



LEADERSHIP: Measures a member's ability to direct, guide, develop, influence, and support others in performing work.								
RESPECT FOR OTHERS: The degree to which the member contributed to an environment that supported diversity, fairness, dignity, compassion, and creativity.	1 <input type="radio"/>	Showed apathy to the importance of diversity, fairness, dignity, compassion, and creativity. Treated others unfairly or with bias. <input type="radio"/>	3 <input type="radio"/>	Supported an environment of diversity, fairness, dignity, compassion, and creativity. Showed respect for cultural differences. Supported a workplace climate that promoted inclusion, equity, and respect. <input type="radio"/>	5 <input type="radio"/>	Demonstrated, through leadership, a strong personal commitment to fair and equal treatment of others in all situations. Actively campaigned against prejudicial actions or behavior by others. <input type="radio"/>	7 <input type="radio"/>	MARK
ACCOUNTABILITY AND RESPONSIBILITY: The degree to which the member took responsibility of assigned duties and work area. Held self and others accountable to Coast Guard standards.	1 <input type="radio"/>	Did not support policies or displayed a poor attitude towards assigned work. Personal behavior was detrimental to job or workgroup performance. Failed to enforce or adhere to standards through personal conduct. <input type="radio"/>	3 <input type="radio"/>	Applied Coast Guard policies and regulations and took accountability for performance, including completion of assigned work. Supported policies and decisions of senior personnel. <input type="radio"/>	5 <input type="radio"/>	Demonstrated strong ethical principles and convictions by personal actions. Self-motivated, results-oriented performer who demonstrated accountability for self and others. Outstanding leader who ensured that standards were uniformly enforced. Initiated appropriate administrative and disciplinary action when necessary. <input type="radio"/>	7 <input type="radio"/>	MARK
INFLUENCING OTHERS: The effectiveness of the member to persuade and motivate others to achieve a desired outcome.	1 <input type="radio"/>	Had difficulty influencing others effectively. Did not instill confidence in others. Unable to achieve desired outcomes. <input type="radio"/>	3 <input type="radio"/>	Positively influenced and earned respect of others. Kept self and others motivated toward completion of work and achieved desired outcomes. Adapted leadership style to maximize effectiveness. <input type="radio"/>	5 <input type="radio"/>	Inspired others for higher performance through personal example and motivation. Leveraged ability of others to achieve superior results for assigned tasks. Actively participated in mentoring. <input type="radio"/>	7 <input type="radio"/>	MARK
EFFECTIVE COMMUNICATION: The degree to which the member effectively utilized all forms of communication in formal and informal settings.	1 <input type="radio"/>	Used inappropriate communication. Written correspondence often needed correction. Unwilling to accept feedback; failed to listen. Disorganized in verbal or written communications. <input type="radio"/>	3 <input type="radio"/>	Effectively utilized clear, concise, and appropriate communication in formal and informal settings to accomplish tasks. Listened attentively and accepted feedback from others. <input type="radio"/>	5 <input type="radio"/>	Wrote succinctly and produced written materials that were clear and articulate. Spoke in a concise, effective, organized manner tailored to the audience and situation. Effectively presented complex issues; communicated comfortably with all levels of command. <input type="radio"/>	7 <input type="radio"/>	MARK
Comments (Limited to a maximum of two lines of text per competency):								



CONDUCT The degree to which this member, through personal behavior, conformed to the rules, regulations, military standards, and Coast Guard Core Values, both on and off duty.	UNSATISFACTORY <i>(Comments must be provided on a separate page. Comments should be specific and sufficient to describe the conduct that led to an "Unsatisfactory" mark.)</i> Failed to meet minimum standards as evidenced by NJP, CM, or civil conviction; or brought discredit to the Coast Guard as evidenced by adverse CG-3307 entries, including financial irresponsibility, non-support to dependents, or alcohol incidents; or failed to conform to civilian and military rules, regulations, and standards.	SATISFACTORY No NJP, CM, or civil conviction; promoted and supported respect for rules, regulations, and civilian and military standards.				
FUTURE POTENTIAL: Provide succinct, written comments describing the member's potential for future leadership responsibilities including their potential to successfully serve in future special, independent, or command cadre assignments.						
Comments <i>(Limited to a maximum of five lines of text; comments are required, however all lines are not required to be used):</i> <div style="background-color: #e0e0ff; height: 60px;"></div>						
ADVANCEMENT POTENTIAL <i>(Comments must be provided on a separate page for not ready and not recommended):</i> READY: Assign this mark if, in the view of the rating official, at the time of this evaluation the individual has the capability and capacity to carry out the duties and responsibilities of the next higher grade, and has satisfied all eligibility and qualification requirements for the next higher grade. Required time in grade shall not be considered when determining overall eligibility for advancement. NOT READY: Assign this mark if, in the view of the rating official, at the time of this evaluation the individual is satisfactorily performing their required duties but is not yet ready to carry out the duties and responsibilities of the next higher grade, or has not satisfied all eligibility and qualification requirements for the next higher grade. Required time in grade shall not be considered when determining overall eligibility for advancement. NOT RECOMMENDED: Assign this mark if, in the view of the rating official, the individual should not be advanced to the next higher grade, regardless of qualification or eligibility, due to negative conduct or poor performance, including an unsatisfactory conduct mark, or good order and discipline issues.						
SUPERVISOR: <input type="radio"/> Ready <input type="radio"/> Not Ready <input type="radio"/> Not Recommended	I CERTIFY THAT I HAVE EVALUATED THIS MEMBER AGAINST THE WRITTEN PERFORMANCE STANDARDS AND I HAVE PROVIDED WRITTEN DOCUMENTATION FOR SUPPORT OF EACH MARK OF 1, 2, 3, 7, OR UNSATISFACTORY CONDUCT AND TERMINATION OF GOOD CONDUCT ELIGIBILITY. <table border="1" data-bbox="597 926 1334 993"> <tr> <td data-bbox="597 926 857 993">SUPERVISOR'S NAME</td> <td data-bbox="857 926 1057 993"><input type="text"/></td> <td data-bbox="1057 926 1198 993">RATE/RANK</td> <td data-bbox="1198 926 1334 993">DATE</td> </tr> </table>		SUPERVISOR'S NAME	<input type="text"/>	RATE/RANK	DATE
SUPERVISOR'S NAME	<input type="text"/>	RATE/RANK	DATE			
MARKING OFFICIAL: <input type="radio"/> Ready <input type="radio"/> Not Ready <input type="radio"/> Not Recommended	I CERTIFY THAT I HAVE EVALUATED THIS MEMBER AGAINST THE WRITTEN PERFORMANCE STANDARDS AND I HAVE PROVIDED WRITTEN DOCUMENTATION FOR SUPPORT OF EACH MARK OF 1, 2, 3, 7, OR UNSATISFACTORY CONDUCT AND TERMINATION OF GOOD CONDUCT ELIGIBILITY. <table border="1" data-bbox="597 1066 1334 1136"> <tr> <td data-bbox="597 1066 857 1136">MARKING OFFICIAL'S NAME</td> <td data-bbox="857 1066 1057 1136"><input type="text"/></td> <td data-bbox="1057 1066 1198 1136">RATE/RANK</td> <td data-bbox="1198 1066 1334 1136">DATE</td> </tr> </table>		MARKING OFFICIAL'S NAME	<input type="text"/>	RATE/RANK	DATE
MARKING OFFICIAL'S NAME	<input type="text"/>	RATE/RANK	DATE			
APPROVING OFFICIAL: <input type="radio"/> Ready <input type="radio"/> Not Ready <input type="radio"/> Not Recommended	<input type="radio"/> Concur <input type="radio"/> Do Not Concur, changes made <input type="radio"/> Required comments for unsatisfactory conduct, not ready, or not recommended for advancement attached on separate page. <table border="1" data-bbox="597 1255 1334 1325"> <tr> <td data-bbox="597 1255 857 1325">APPROVING OFFICIAL'S NAME</td> <td data-bbox="857 1255 1057 1325"><input type="text"/></td> <td data-bbox="1057 1255 1198 1325">RATE/RANK</td> <td data-bbox="1198 1255 1334 1325">DATE</td> </tr> </table>		APPROVING OFFICIAL'S NAME	<input type="text"/>	RATE/RANK	DATE
APPROVING OFFICIAL'S NAME	<input type="text"/>	RATE/RANK	DATE			
MEMBER: I ACKNOWLEDGE HAVING BEEN COUNSELED ON AND REVIEWED MY ENLISTED EVALUATION REPORT FOR THIS PERIOD. I HAVE BEEN BRIEFED ON AND FULLY UNDERSTAND THE SIGNIFICANCE THAT THE ASSIGNED MARKS HAVE ON MY GOOD CONDUCT ELIGIBILITY. I UNDERSTAND THAT I HAVE 15 CALENDAR DAYS IN WHICH TO SUBMIT A MARKS APPEAL. I HAVE BEEN BRIEFED ON AND FULLY UNDERSTAND THE ACTION TAKEN ON MY ADVANCEMENT RECOMMENDATION AND LEADERSHIP POTENTIAL.						
SIGNATURE <input type="text"/>		DATE <input type="text"/>				
<p style="text-align: center;">PRIVACY ACT STATEMENT</p> Authority: 14 USC 633 and COMDTINST M1000.2 (series). Purpose: To provide feedback on enlisted member's performance and to assist in determining suitability for advancement, selection and assignments. Routine Uses: Same. Disclosure: Mandatory. Failure to disclose required information may adversely affect advancement, selection and assignment decisions.						



THIS PAGE INTENTIONALLY LEFT BLANK



APPENDIX K. USCG OER (CG-5310A)

DEPARTMENT OF HOMELAND SECURITY U.S. Coast Guard OFFICER EVALUATION REPORT (W2/W3/O3-O5)		Validation <input type="button" value="SIGN IN"/>						
OER GUIDANCE The Officer Evaluation Report is the single most significant document in the management of an officer's career. It is the official record of performance used to determine an officer's potential for promotion, retention, advanced education, command screening and for selection to positions of increased responsibility. Accordingly, our Officer Evaluation System demands integrity, fairness, accuracy, and timeliness. The responsibility for preserving these tenets rests upon all parties. In addition to regular feedback and mid-period counseling, providing timely, accurate, evaluations is a basic leadership function. While every member is responsible for providing carefully crafted supporting material, it is incumbent upon the OER rating chain to draft the appropriate sections and ensure each officer receives the feedback he or she deserves.								
1. ADMINISTRATIVE INFORMATION:								
a. REPORTED-ON OFFICER NAME (Last) (Initials)		b. UNIT						
<input style="width: 100%;" type="text"/>		<input style="width: 100%;" type="text"/>						
c. PERIOD OF REPORT to	d. OCCASION FOR REPORT	e. GRADE						
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>						
f. EMPLID		g. DATE OF RANK						
<input style="width: 100%;" type="text"/>		<input style="width: 100%;" type="text"/>						
h. DATE REPORTED		i. MID-TERM COUNSELING DOCUMENTATION						
<input style="width: 100%;" type="text"/>		j. DATE COUNSELED						
Mandated. See PSCINST M1611.1(series) for guidance.		k. COUNSELOR NAME						
<input style="width: 100%;" type="text"/>		l. ROO SIGNATURE						
<input style="width: 100%;" type="text"/>		<input style="width: 100%;" type="text"/>						
2. DESCRIPTION OF DUTIES: List primary duty and summarize all duties and responsibilities.								
a. PRIMARY DUTY:		b. PAL TITLE:						
<input style="width: 100%; height: 100px;" type="text"/>		<input style="width: 100%; height: 100px;" type="text"/>						
3. EVALUATION: Provide sufficient justification to support marks assigned in action/result statement. Avoid acronyms, do not use prohibited comments.								
3a. PERFORMANCE OF DUTIES: Measures an officer's ability to manage and get things done and to communicate in a positive, clear, and convincing manner.								
Open	1	2	3	4	5	6	7	N/O
a. Planning and Preparedness:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Using Resources:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Results/Effectiveness:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Adaptability:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Professional Competence:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Speaking and Listening:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. Writing:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3b. LEADERSHIP SKILLS: Measures an officer's ability to support, develop, direct, and influence others in performing work.								
Open	1	2	3	4	5	6	7	N/O
a. Looking Out for Others:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Developing Others:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Directing Others:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Teamwork:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Workplace Climate:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Evaluations:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
CG-5310A (02/19)								
		<input type="button" value="Reset"/>						

Source: DHS (n.d.)



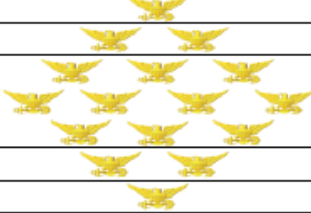
Open	1	2	3	4	5	6	7	N/O
a. Initiative:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Judgment:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Responsibility:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Professional Presence:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Health and Well-Being:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

4. SUPERVISOR AUTHENTICATION: [Click here - email form to RO](#)

b. FIRST, MIDDLE INITIAL, LAST NAME [Sign here](#) b. GRADE c. EMPLID d. POSITION TITLE e. DATE

5. REPORTING OFFICER AUTHENTICATION: a. EVALUATION Concur Do not concur RO is Supervisor

b. COMPARISON SCALE: Compare this officer with others of the same grade whom you have known in your career. c. PROMOTION SCALE: (Mark one only)

Best officer of this grade	<input type="radio"/>		<input type="radio"/> Already selected to next pay grade <input type="radio"/> Recently promoted (<12 months in rank annual; <6 months in rank semi-annual)	<input type="radio"/> Below zone select <input type="radio"/> In-zone reorder <input type="radio"/> Promote w/top 20% of peers <input type="radio"/> Promote <input type="radio"/> Promotion potential <input type="radio"/> Do not promote
One of few distinguished officers	<input type="radio"/>			
One of the many high performing officers who form the majority of this grade.	<input type="radio"/>			
Marginally performing officer	<input type="radio"/>			
Unsatisfactory	<input type="radio"/>			

I provided my comparison scale history to the Reviewer (CG Reporting Officer's only; available via Direct Access).

d. REPORTING OFFICER COMMENTS: Supplement or amplify Supervisor's evaluation. Describe ability to assume greater leadership roles/responsibilities (e.g. command, special assignment, and special skills).

[Click here - email form to Reviewer](#)

e. FIRST, MIDDLE INITIAL, LAST NAME [Sign here](#) f. GRADE g. EMPLID h. POSITION TITLE i. DATE

6. REVIEWER AUTHENTICATION: a. Concur Comments regarding performance and/or potential significantly different than Supervisor or RO

b. FIRST, MIDDLE INITIAL, LAST NAME [Sign here](#) c. GRADE d. EMPLID e. POSITION TITLE f. DATE

g. ATTACHMENTS: [Click here - email form to RO](#)

7. REPORTED-ON OFFICER: I understand my signature does not constitute agreement or disagreement. I acknowledge I have reviewed the report.

a. SIGNATURE: [Sign here](#) b. DATE Active duty click here - email form to PSC-OPM-3 Reserve click here - email form to PSC-RPM-1

PRIVACY ACT STATEMENT
 Authority: 14 USC 633 and COMDTINST M1000.3 (series). Purpose: To determine an officer's suitability for promotion, selection and assignment. Routine Uses: Same. Disclosure: Mandatory. Failure to disclose required information may adversely affect promotion, selection and assignment decisions.



APPENDIX L. NAVY'S UPPER LIMITS OF EP AND MP

Maximum Limits on "Early Promote" and "Must Promote" Recommendations

Summary Group Size	Early Promote	Must Promote (May be increased by one for each Early Promote recommendation not used)				Promotable
	E1-E9 LDO O1-O2 W1-W5 O3-O6	E1-E4 W1-W2 LDO O1-O2	E5-E6 O3	E7-E9 W3-W5 O4	O5-O6	O1-O2 (ALL EXCEPT LDO)
1	1					
2	1		1	1	1	No Limit
3	1	No Limit	1	1	1	No Limit
4	1		2	1	1	
5	1		2	2	1	
6	2		2	1	1	
7	2		3	2	1	
8	2		3	2	2	
9	2		4	3	2	
10	2		4	3	2	
11	3		4	3	2	
12	3		5	3	2	
13	3		5	4	3	
14	3		6	4	3	
15	3		6	5	3	
16	4		6	4	3	
17	4		7	5	3	
18	4		7	5	4	
19	4		8	6	4	
20	4		8	6	4	
21	5		8	6	4	
22	5		9	6	4	
23	5		9	7	5	
24	5		10	7	5	
25	5		10	8	5	
26	6		10	7	5	
27	6		11	8	5	
28	6		11	8	6	
29	6		12	9	6	
30	6		12	9	6	

Table 1-2

Source: CNO (2019)



THIS PAGE INTENTIONALLY LEFT BLANK



APPENDIX M. USAF ENLISTED UPPER LIMITS OF PN AND MP

Table 4.7. Forced Distribution Allocation Table (SrA).

Total Eligible	Total PN	Total MP	Total Eligible	Total PN	Total MP	Total Eligible	Total PN	Total MP
11 - 12	1	1	178 - 182	9	27	343 - 347	17	52
13 - 17	1	2	183 - 187	9	28	348 - 349	17	53
18 - 22	1	3	188 - 189	9	29	350 - 357	18	53
23 - 27	1	4	190 - 197	10	29	358 - 362	18	54
28 - 29	1	5	198 - 202	10	30	363 - 369	18	56
30 - 37	2	5	203 - 207	10	31	370 - 377	19	56
38 - 42	2	6	208 - 209	10	32	378 - 382	19	57
43 - 47	2	7	210 - 217	11	32	383 - 387	19	58
48 - 49	2	8	218 - 222	11	33	388 - 389	19	59
50 - 57	3	8	223 - 227	11	34	390 - 397	20	59
58 - 62	3	9	228 - 229	11	35	398 - 402	20	60
63 - 67	3	10	230 - 237	12	35	403 - 407	20	61
68 - 69	3	11	238 - 242	12	36	408 - 409	20	62
70 - 77	4	11	243 - 247	12	37	410 - 417	21	62
78 - 82	4	12	248 - 249	12	38	418 - 422	21	63
83 - 87	4	13	250 - 257	13	38	423 - 427	21	64
88 - 89	4	14	258 - 262	13	39	428 - 429	21	65
90 - 97	5	14	263 - 267	13	40	430 - 437	22	65
98 - 102	5	15	268 - 269	13	41	438 - 442	22	66
103 - 107	5	16	270 - 277	14	41	443 - 447	22	67
108 - 109	5	17	278 - 282	14	42	448 - 449	22	68
110 - 117	6	17	283 - 287	14	43	450 - 457	23	68
118 - 122	6	18	288 - 289	14	44	458 - 462	23	69
123 - 127	6	19	290 - 297	15	44	463 - 467	23	70
128 - 129	6	20	298 - 302	15	45	468 - 469	23	71
130 - 137	7	20	303 - 307	15	46	470 - 477	24	71
138 - 142	7	21	308 - 309	15	47	478 - 482	24	72
143 - 147	7	22	310 - 317	16	47	483 - 487	24	73
148 - 149	7	23	318 - 322	16	48	488 - 489	24	74
150 - 157	8	23	323 - 327	16	49	490 - 497	25	74
158 - 162	8	24	328 - 329	16	50	498 - 500	25	75
163 - 167	8	25	330 - 337	17	50			
168 - 177	9	26	338 - 342	17	51			

Note: Table is subject to change. Utilize allocations on the final Master Eligibility Listing(s).

Source: DOAF (2019)



THIS PAGE INTENTIONALLY LEFT BLANK



APPENDIX N. USN PERFORMANCE EVALUATION SCHEDULE

	PERIODIC FITREP/CHIEFEVAL/EVAL	
	Officers (All)	Enlisted (All)
Jan	O3	
Feb	O2	
Mar	W5, W4, W3	E5
Apr	O5	E9
May	O1	
Jun		E4
Jul	O6	E3, E2, E1
Aug		
Sep	W1, W2	E8, E7
Oct	O4	
Nov		E6
Dec		

Table 1

Source: CNO (2019)



THIS PAGE INTENTIONALLY LEFT BLANK



APPENDIX O. USN MIDTERM COUNSELING SCHEDULE

Mid-term Counseling Schedule

Officers		Enlisted	
Rank	Active ¹ FTS ² Inactive ³	Rank	Active ¹ FTS ² Inactive ³
CAPT	January	E9	October
CDR	October	E8/E7	March
LCDR	April	E6	May
LT	July	E5	September
LTJG	August	E4	December
ENS	November	E3/2/1	January
CWO5/4/ 3/2/1	September		
CWO2	March		

Source: CNO (2019)



THIS PAGE INTENTIONALLY LEFT BLANK



LIST OF REFERENCES

- Baker, B. (2017). *Performance Evaluation Inflation: Factors Affecting the Exaggeration of Performance Ratings in the Air Force*. [Doctoral dissertation, University Honors College, Middle Tennessee State University].
<https://jewlscholar.mtsu.edu/items/a8a99535-7571-43e3-96bf-3aa88d227d76>
- Department of Homeland Security. (n.d.) *Coast Guard Authorized Forms*. United States Coast Guard. <https://www.dcms.uscg.mil/forms/>
- Department of the Air Force. (n.d.) *Department of the Air Force E-Publishing*.
<https://www.e-publishing.af.mil/>
- Department of the Air Force. (2019, November 14). *Officer and Enlisted Evaluation Systems*. (Air Force Instruction 36-2406), Department of the Air Force.
https://static.e-publishing.af.mil/production/1/af_a1/publication/afi36-2406/afi36-2406.pdf
- Department of the Air Force. (2021). *Effective March 31, 2022 Airman Leadership Qualities will be integrated into feedback*. <https://www.af.mil/News/Article-Display/Article/2862927/effective-march-31-2022-airman-leadership-qualities-will-be-integrated-into-fee/>
- Department of the Army. (n.d.). *Army Publishing Directorate*.
<https://armypubs.army.mil/default.aspx>
- Department of the Army. (2019, June 14). *Evaluation Reporting System*. (Army Regulation 623-3). https://armypubs.army.mil/epubs/DR_pubs/DR_a/pdf/web/ARN14342_AR623-3_FINAL.pdf
- Department of the Navy. (n.d.-a). *eNAVFIT*. MyNavy HR. <https://www.mynavyhr.navy.mil/Career-Management/Performance-Evaluation/eNAVFIT/>
- Department of the Navy. (n.d.-b). *Software & Forms*. MyNavy HR.
<https://www.mynavyhr.navy.mil/Career-Management/Performance-Evaluation/Software-Forms/>
- Department of the Navy. (n.d.-c). *USMC Fitness Report*. Headquarters Marine Corps.
<https://www.hqmc.marines.mil/Portals/133/Blank%20FITREP.pdf>
- Department of the Navy. (2015). *Performance Evaluation System (Short Title: PES)*. (Marine Corps Order 1610.7). <http://www.marines.mil/Portals/59/Publications/MCO%201610.7.pdf>



- Department of the Navy (2019a). *CNO FRAGO*. (FRAGO 01-2019 A Design for Maintaining Maritime Superiority). https://media.defense.gov/2020/Jul/23/2002463491/-1/-1/1/CNO%20FRAGO%2001_2019.PDF
- Department of the Navy (2019b). *Marine Corps Martial Arts Program (MCMAP)*. (MCO 1500.59A). <https://www.marines.mil/Portals/1/Publications/MCO%201500.59A.pdf?ver=2019-09-27-154522-420>
- Department of the Navy (2020). *Junior Enlisted Performance Evaluation System (JEPES)*. (Marine Corps Order 1616.1). <https://www.marines.mil/Portals/1/Publications/MCO%201616.1.pdf?ver=2pWMQ3wSas3g628sXsBV4g%3d%3d>
- Department of the Navy. (2021). *Task Force One Navy Final Report: Our Navy Team - Navigating a Course to True North*. <https://media.defense.gov/2021/Jan/26/2002570959/-1/-1/1/TASK%20FORCE%20ONE%20NAVY%20FINAL%20REPORT.PDF>
- Dunst, W. L. (2018). *Evolution of the Marine officer fitness report: a multivariate analysis*. [Master's thesis, Naval Postgraduate School]. NPS Archive: Calhoun. <https://calhoun.nps.edu/handle/10945/58292>
- Ellison, J. C. (2014). *Improving the signal for U.S. Navy officer productivity*. [Master's thesis, Naval Postgraduate School]. NPS Archive: Calhoun. <https://calhoun.nps.edu/handle/10945/44554>
- Evans, L. A. (2018). Simulation-based analysis and optimization of the United States Army performance appraisal system. <https://ir.library.louisville.edu/etd/2906/>
- Evans, L., & Bae, K. H. (2018). Simulation-based analysis of a forced distribution performance appraisal system. *Journal of Defense Analytics and Logistics*. <https://www.emerald.com/insight/content/doi/10.1108/JDAL-10-2017-0022/full/html>
- Evans, L., & Robinson, G. L. (2020). Evaluating our Evaluations: Recognizing and Countering Performance Evaluation Pitfalls. *Military Review*, 100(1), 89. https://digitalcommons.usmalibrary.org/usma_research_papers/316/
- Hardison, C. M., Zaydman, M., Oluwatola, T., Saavedra, A. R., Bush, T., Peterson, H., & Straus, S. G. (2015). *360-degree assessments: Are they the right tool for the U.S. military?*. RAND National Defense Research Inst Santa Monica CA. <https://apps.dtic.mil/sti/citations/ADA617217>
- Katz, I. M., Rauvola, R. S., & Rudolph, C. W. (2021). Feedback environment: A meta-analysis. *International Journal of Selection and Assessment*, 29(3-4), 305-325. <https://onlinelibrary.wiley.com/doi/abs/10.1111/ijsa.12350>



- Larger, R. B. (2017). Effectiveness of the Marine Corps' junior enlisted performance evaluation system. An evaluation of Proficiency and Conduct marks. [Master's thesis, Naval Postgraduate School]. NPS Archive: Calhoun. <https://calhoun.nps.edu/handle/10945/53006>
- Marsh, D. (2020). Evaluating the Evaluation System. *Proceedings Magazine Vol. 146/5/1,407*. <https://www.usni.org/magazines/proceedings/2020/may/evaluating-evaluation-system>
- Moran, B. (2014). Once again... a moment ripe for change. *U.S. Naval Institute Proceedings, 140/12/1342*. <https://www.usni.org/magazines/proceedings/2014/december/once-again-moment-ripe-change>
- Office of the Chief of Naval Operations. (2021, December 1). *Navy Performance Evaluation System* (BUPERS Instruction 1610.10F). Department of the Navy. <https://www.mynavyhr.navy.mil/Portals/55/Reference/Instructions/BUPERS/BUPERSINST%201610.10F%20Signed%201%20Dec%2021.pdf?ver=Rr-9rEY3g1RUBmcuGoJsjQ%3d%3d>
- Reinke, S. J., & Baldwin, J. N. (2001). Is anybody listening? Performance evaluation feedback in the U.S. Air Force. *Journal of Political & Military Sociology*, 160-176. https://www.jstor.org/stable/45292831?casa_token=8BhgQ4vqcYAAAAA%3AZ-NJmv2RGvaB-GmuY7sYuoLBxjTRwtvooKTEgoF36tad57p8OrXYnqkIIPQvCJvt5HWVry0H2wOs8foIZPuYGWaf0qJi3NJMifyU4mgjDKyiGQMLlofh&seq=1#metadata_info_tab_contents
- Small, L. C. (2020). *Successful Practices for Employee Performance Evaluations*. [Master's thesis, Naval Postgraduate School]. NPS Archive: Calhoun. <https://calhoun.nps.edu/handle/10945/64880>
- Swysgood, C. (2022). *eNavFit Announced for the Active Fleet Component of the Fleet*. United States Navy. <https://www.navy.mil/Press-Office/News-Stories/Article/2901084/enavfit-announced-for-the-active-component-of-the-fleet/>
- United States Coast Guard. (2018). *Officer Evaluation System Procedures Manual*. (PSCINST M1611.1D). Department of Homeland Security. https://www.dcms.uscg.mil/Portals/10/CG-1/psc/rpm/RPM-1/OES/Manuals/PSCINST_M1611.1D_Change_1.pdf?ver=2018-05-10-113311-190
- United States Coast Guard. (2020a). *Enlistments, Evaluations, and Advancements*. (COMDTINST M1000.2C). Department of Homeland Security. https://media.defense.gov/2020/Feb/06/2002245088/-1/-1/0/CIM_1000_2C.PDF
- United States Coast Guard. (2020b). *Officer Accessions, Evaluations, and Promotions*. (COMDTINST M1000.3). Department of Homeland Security. https://media.defense.gov/2020/Feb/06/2002245088/-1/-1/0/CIM_1000_2C.PDF



United States Marine Corps. (2020). *Junior Enlisted Performance Evaluation Implementation*. (MARADMIN 505/20). Department of the Navy. https://www.rand.org/pubs/monograph_reports/MR1184.html

Woehr, D. J., & Huffcutt, A. I. (1994). Rater training for performance appraisal: A quantitative review. *Journal of occupational and organizational psychology*, 67(3), 189-205. https://bpspsychub.onlinelibrary.wiley.com/doi/abs/10.1111/j.2044-8325.1994.tb00562.x?casa_token=i3XIRMWT90wAAAAA:jU9qcpGd45GmacshVtbcDGgVo3CiT0EpWR-5ufUMFffle0z6rr6s_8njmw9Tgw7Y7uw9xMpm46gdJR0





ACQUISITION RESEARCH PROGRAM
DEPARTMENT OF DEFENSE MANAGEMENT
NAVAL POSTGRADUATE SCHOOL
555 DYER ROAD, INGERSOLL HALL
MONTEREY, CA 93943

WWW.ACQUISITIONRESEARCH.NET