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The Navy Fitrep: The Development and Testing of a Performance Evaluation Portotype

December 2022

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ABSTRACT

The U.S. Navy currently faces the challenge of redesigning the Navy performance evaluation tool to best assess sailors for promotion eligibility. Navy Personnel Command has partnered with a research team at Naval Postgraduate School to create a performance evaluation tool that utilizes a behavior-based performance method and reflects the organizational goals of the Navy. This thesis integrates academic literature to support the development of a performance evaluation prototype. It examines the prototype's ability across numerous demographics to assess a sailor's current performance, their potential performance at the next paygrade, and their performance compared to their peers, for the purpose of promotion. The prototype was fielded by employing two recruitment methods for identifying and recruiting participants: snowballing and a social media campaign. This thesis investigates the utilization of behaviorally anchored rating scales for the purpose of performance evaluation, the demographic make-up of our sample, and the distributions of ratings within the three areas of assessment: performance, potential, and peer comparison. Based on the data, I recommend future research be conducted to evaluate the efficacy of performance appraisal ratings feeding directly into RSCA, in counteracting rater subjectivity and complacency. Subsequent testing should then be fielded to assess rater subjectivity and potential adverse impacts on the efficacy of the prototype.

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LIST OF ACRONYMS AND ABBREVIATIONS

BARS	Behaviorally Anchored Rating Scale
BZ	Below Zone
CNA	Center for Naval Analyses
CNO	Chief of Naval Operations
CNP	Chief of Naval Personnel
CO	Commanding Officer
CWB	Counterproductive Work Behavior
FITREP	Fitness Report
IRC	Independent Review Commission
IZ	In Zone
NAVPLAN	Naval Plan
NPC	Naval Personnel Command
OCB	Organizational Citizenship Behavior
PES	Performance Evaluation System
PET-TM	Performance Evaluation Transformation - Talent Management
RSCA	Reporting Senior Cumulative Average
SECNAV	Secretary of the Navy
SGA	Summary Group Average
SME	Subject Matter Expert
SRO	Sailor Reported On
TF1N	Task Force One - Navy
TVS	Trait and Value Statements
TD	Trait Descriptions
USCG	United States Coast Guard
USMC	United States Marine Corps

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I. INTRODUCTION

A. MOTIVATION

> We can never fall short when it comes to recruiting, hiring, maintaining, and growing our workforce. It is the employees who make our organization's success a reality."
>
> —Vern Dosch, Author of *Wired Differently*

The Navy's sailors are undoubtedly its greatest asset. Our warfighting and information systems are the most advanced and capable in the world, and as such, our sailors must be as well.

The CNO's updated NAVPLAN 2022, released on July 26, 2022, emphasizes readiness, capability, capacity, and our sailors as the four main priorities to achieve a larger, more lethal, and more ready naval fighting force, but with a new strategic mindset: Get Real, Get Better. With regard to sailors, the intent is not only to ensure our sailors are highly trained and qualified, but also that they exhibit a strict adherence to Navy core values. CNO Admiral Gilday's "Get Real, Get Better" initiative drives a hard focus on process improvement through a learning mindset to modernize efforts and accelerate our capabilities (Gilday, 2022). Moreover, with respect to our sailors, he recognizes an acute and "unacceptable variability in our performance—the gap between our best and worst performers is too great" (Gilday, 2022 p. 1).

Sailor 2025 was originally a group of change initiatives intended to modernize the Navy's personnel system. It has since expanded its number of change initiatives as well as broadened its intended scope to include mitigating the challenges of talent acquisition and retention in today's market. One of the ongoing, prioritized Sailor 2025 initiatives is to "improve the performance evaluation system to empower sailors with more immediate performance feedback and a clearer understanding of development opportunities within their career" (Commander of Naval Education Training Command [NETC], n.d.).

"Get Real, Get Better" places a currency on creating a culture of excellence through a learning mindset rooted in Sailor 2025 process improvement initiatives, which include

our sailors. This new strategic mindset is in line with the approach our NPS research team has been executing to vastly improve the Navy performance evaluation system (PES), with the end goal being a PES that successfully assesses sailors for promotion through trait and value statements (TVS) that capture not only current performance, but leadership and future performance potential as well. An effective, new Navy PES, will undoubtedly contribute to a culture of excellence, rooted in process improvement.

B.   BACKGROUND

TVS are traits and value statements, used to assess an individual's behavior and performance in the Navy's PES. This concept is not new to the Navy as the current PES format utilizes a form of TVS in its rating scale. Navy Personnel Command (NPC) maintains a partnership with a research team at Naval Postgraduate School in an effort to create a Navy performance evaluation system (PES) that modernizes the TVS to fit current organizational goals of the Navy. Initial efforts towards this end are described in Luke's (2022) thesis. "The new performance traits began as a list of more than 200 before being narrowed down to the current 82 TVS," 39 sub-traits, and 8 broad traits (Luke, 2022 p. 2). This process was executed by NPC's performance evaluation team prior to Luke's (2022) research, which focused on ensuring alignment with "Navy doctrine and other military services' officer evaluations to evaluate TVS validity" (Luke, 2022 p. V). NPC's reduced set of 82 TVS and 39 sub-traits were dimensionally reduced by our NPS research team to 28 trait descriptions (TD) which holistically encompass the sub-traits and their associated value statements. These 28 TDs were then used to create behaviorally anchored rating scales (BARS) for the 8 broad traits as well as 6 dimensions of potential. The process of dimension reduction and creation of BARS for the 8 broad traits and 6 dimensions of potential are described in detail in the methodology section of this thesis. The research team spent the next eight months engineering a prototype PES model and testing its ability to assist in rating sailors according to performance and potential.

C.   PURPOSE

The purpose of this thesis is to describe the development and field testing of a performance evaluation prototype that will effectively assist raters in assessing sailors on

their performance and potential. This thesis integrates academic literature to support the design of the performance evaluation prototype. Evaluations are complex and any PES tool is subject to user biases and heuristics. Thus, this thesis examines the performance evaluation prototype's ability, across numerous ranks and demographics, to assess a sailor's current performance, their future potential performance at the next paygrade, and their performance compared to their peers, for the purposes of promotion. A valid rating scale, with a valid set of rating scale anchors, is critical to effectively and accurately evaluating the performance and potential of our sailors, as well as guiding them in their development.

1.   Validity Defined

For a performance evaluation tool, particularly one rooted in behavioral psychology such as the performance evaluation prototype, efficacy and quality are assessed through tests of measurement validity. In general terms, validity refers to how well a scale assesses the variable/s it claims to measure. A measure is only valid when it meets the respective validity criteria. Examples of validity that can be assessed are construct, face, predictive, convergent, and divergent validity.

"Construct validity describes the degree to which the evaluation tool measures the appropriate theoretical constructs" that are not directly measurable (Luke, 2022 p. 3). Face validity assesses whether the items comprising the evaluation tool appear, on their face, to measure what they are purported to measure. Predictive validity is the ability of the prototype to predict relevant job performance outcomes. In this thesis, our test of predictive validity will be whether TVS ratings predict indicators of job performance. Convergent validity reveals if the prototype is consistent with notionally similar performance assessments that test the same constructs (IE: behaviors). In this thesis, convergent validity asks the question: Do TVS ratings correlate with analogous characteristics of a sailor, such as leadership? Finally, divergent validity assesses the degree to which the prototype is inconsistent with notionally dissimilar performance constructs. In the context of this thesis, divergent validity will determine if TVS are free from any adverse impact (IE: demographics). Utilizing predictive and convergent validity in this thesis, I will determine

if some or all of the TVS can be linked to markers of workplace performance and behaviors. In essence, do ratings on the TVS correlate with behaviors exhibited by sailors in the workplace environment? For example, if higher ratings of leadership are correlated with higher workplace productivity and responsibility, then the TVS have exhibited predictive validity. If they are associated with connected facets of a sailor's traits (IE: leadership), this indicates the presence of convergent validity. Finally, divergent validity will help determine if the utilization of TVS result in any adverse impacts within Navy demographics (IE: higher or lower TVS ratings for individuals from a particular race, gender, rank, service type, etc.).

Luke's (2022) foundational research focused on assessing construct and face validity. The measures of validity that will be assessed in this thesis are predictive validity, convergent validity, and divergent validity.

D.   RESEARCH QUESTIONS

The research questions addressed in this thesis are:

1.   What are the best methods for developing a performance appraisal rating system that assesses performance and identifies top and bottom performers?

2.   Did our sampling procedure result in sufficient demographic representation for testing our prototype? Questions will include:

- Distribution of enlisted/officer?

- Distribution of junior/senior sailors?

3.   How well does this instrument assist in rating sailors according to performance and potential?

- What is the distribution of rating of the 8 broad character traits?

- What is the distribution of ratings of the 6 potential dimensions?

- What is the distribution of the comparative ranking?

4.   What is the distribution of positive or negative work behaviors, such as organizational citizenship behaviors (OCB) and counterproductive work behaviors (CWB)?

E.   ORGANIZATION

The subsequent four chapters of this thesis are organized in the following manner:

1.   Chapter II is a detailed review of academic literature reviewed when creating the prototype's areas of assessment, rating scales, and rating scale anchors. The subject areas covered are BARS, rated performance and rated potential, comparative rankings, and OCBs and CWBs.

2.   Chapter III contains a brief synopsis of the foundational research conducted by the research team as well as a detailed description of the methods used to create and field the prototype.

3.   Chapter IV provides the descriptive statistics for the results of the prototype testing. This chapter also contains descriptive statistics about the validity of this prototype in assessing performance and potential as well as predicting CWB and OCB.

4.   Chapter V contains a brief summary of conclusions and recommendations for future research.

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II. LITERATURE REVIEW

A. RATED PERFORMANCE AND POTENTIAL

1. Introduction

Performance assessment has been the subject of analytical studies for decades. From 1950 to 1980, the majority of research focused on enhancing the tools used in developing ratings of performance (Arvey & Murphy, 1998). After 1980, researchers shifted their focus towards a better comprehension of rater biases and heuristics involved in levying performance assessments of ratees (Arvey & Murphy, 1998). Since then, research has focused on these same areas but has trended towards narrower scopes of study, such as the impact of structural and functional changes within an organization on performance evaluation (Arvey & Murphy, 1998). These studies have provided the foundation upon which organizations in the public and private sector have built performance management systems to ascertain the performance levels of their employees, and for good reason. For an organization to be productive, effective, and exhibit growth, its personnel must perform accordingly. Especially in today's rapidly growing market, organizations must manage their talent and see that the best talent rises through the ranks to provide them the best chances for success. Performance evaluation systems are the primary means of identifying levels of talent for the purposes of job placement, promotion selection, and financial incentives such as annual bonuses (Black et al., 2019).

2. Rated Performance

In simplest terms, job performance is a measure of how well an individual executes their duties within their respective role. Measurements of performance come in different forms. Three common methods of rating performance are the trait-focused, BARS, and comparative ranking (Griffin, 2019). The trait-focused method focuses on a set of attributes and rates the individual on how well an individual exhibits them (Griffin, 2019). The BARS method centers on observed performance behaviors (Griffin, 2019). The comparative ranking method ranks individuals based on a set of performance standards with the goal of identifying the top performers down to the worst performers (Griffin, 2019). Each method

provides a slightly different means for assessing the ultimate construct of interest, job performance. Literature proposes two major, definitional themes of job performance. The first theme offers that there are different determinants and dimensions of performance. Campbell et al. (1993), as cited by Arvey and Murphy (1998), suggested that job performance had a multidimensional nature and proposed a number of distinct factors of performance "(i.e. Declarative Knowledge, Procedural Knowledge and Skill, and Motivation)" (Arvey & Murphy, 1998 p. 145). The second major theme of work performance suggests that the realm of work performance is evolving and growing (Arvey & Murphy, 1998). Ilgen and Hollenbeck (1991) held this view. It was their contention that since the fundamental aspects of work are ever changing, then the dimensions and definitions of work performance change out of necessity (Arvey & Murphy, 1998).

Many organizations utilize performance evaluation systems that rely on absolute ratings, on a scale of 1 to 5, which evaluate employees against relevant performance standards. Raters typically rate individuals against an absolute standard that is task oriented and can be expressed in behavior-based or trait-like terms (Roch et al., 2007). These criteria are based upon work behaviors or traits that are valuable to the individual's organization. Two common rating scale models for absolute ratings are BARS and graphic rating scales, as these scales do not address the relative performance of an individual's peers (Goffin & Olson, 2011).

It is important to note some of the critical concepts relevant to any method of measuring job performance. These concepts include psychometric properties, rating accuracy, rating bias, and rating fairness. Psychometric properties, such as validity and reliability, are those that measure the quality and effectiveness of the performance evaluation tool. Rating accuracy, rating bias, and rating fairness are the measured outcomes of ratings that consider and assess rater subjectivity. Countless research studies have investigated these concepts. A meta-analysis of interrater and intra-rater reliabilities was conducted by Viswesvaran et al. (1996). In the context of rated performance, intra-rater reliability refers to the reliability of ratings by a single rater over multiple tests and inter-rater reliability refers to the reliability of ratings by two or more raters assessing the same ratee in a single test (Scheel et al., 2018). They found that supervisor ratings had higher

interrater reliability than peer ratings and that the values of intra-rater reliability were higher than interrater reliability (Arvey & Murphy, 1998). A study conducted by Bommer et al. (1995) evaluated the relationship between objective and subjective measures of job performance. Bommer et al. (1995) hypothesized that four concepts could serve as moderators of objective/subjective performance measure relationship (job type, objective measure's content, rating format, and rating method); however, the results of the study found that none of these variables had any notable effect on the relationship strength between objective and subjective measures of performance (Bommer et al., 1995). Bommer et al. (1995) concluded that objective and subjective measures of performance were not interchangeable. An interesting study by Sanchez and De La Torre (1996) investigated whether accurate memories affected the accuracy of performance ratings levied by raters. They concluded that a rater's accurate recollection of performance does influence the performance ratings they administer to a ratee (Arvey & Murphy, 1998).

In addition to the more traditional studies mentioned previously, there have been some studies that investigated the effects of "frame of reference" training on rated performance. Woehr (1994) examined the effect that "frame of reference" training could have on performance ratings provided by supervisors (Arvey & Murphy, 1998). The intent of "frame of reference training" is to educate raters on how to share and utilize conventional notions of performance when executing performance appraisals (Arvey & Murphy, 1998). Woehr and Huffcutt (1994) found that the performance ratings given by trained individuals were significantly more accurate than those of untrained individuals (Arvey & Murphy, 1998). These results suggest that "frame of reference" training could act as a level set on performance standards.

Other research suggests that a person's subjective beliefs about individuals' capacity for change and growth can impact assessments of behavior. A study by Heslin et al. (2005) explored the potential effects of *implicit person theory* on a supervisor's recognition of change in an employee's behavior based on their performance (Heslin et al., 2005). This study examined two key implicit theories identified by past research: entity and incremental. Individuals with an entity implicit theory believe the behaviors of another are static whereas individuals with an incremental implicit theory believe individuals'

behavior can change and improve (Heslin et al., 2005). They found that managers with an incremental mindset held that view relative to the observed behavior of the employee behavior observed across two study groups (Heslin et al., 2005). Managers with an entity mindset were split into a control group and a group that received self-persuasion training aimed at shifting their mindset toward incrementalism. The results showed that the managers who received training were more willing to recognize improved behavior and performance in employees (Heslin et al., 2005). In the context of performance evaluations, the study implied that supervisors' mindsets matter for performance evaluation, with the potential to improve the accuracy and fairness of ratings (Heslin et al., 2005).

3.   Rated Potential

Rated potential refers to the ability to assess an individual's future performance at the next level of an organization. Due to the contextual and qualitative nature of performance appraisal, it is inherently difficult to predict an individual's potential (future) performance. Scant research exists on the rating of potential performance, as it pertains to performance appraisals. However, some literature does exist on predicting career potential and performance, the factors involved in assessing them, and the relationship to individual potential.

A meta-analysis conducted by Kuncel et al. (2004) evaluated whether the Miller Analogies Test (Miller 1960) is predictive of behaviors and performance in both the academic and work environments (Kuncel et al., 2004). The Miller Analogies Test (MAT) is a timed test of cognitive ability, designed for the academic environment, that contains analogies that require knowledge of an array of areas such as sciences, vernacular, literature, and history (Kuncel et al., 2004). Through their meta-analyses they examined the validity of the MAT for predicting numerous criteria in the educational and occupational environments, including appraisals of creativity and career potential (Kuncel et al., 2004). The results of the meta-analyses illustrated "that the abilities measured by the MAT are shared with other cognitive ability instruments and that these abilities are generalizably valid predictors of academic and vocational criteria, as well as evaluations of career potential and creativity" (Kuncel et al., 2004 p. 148).

A literature review study conducted by Leutner and Chamorro-Premuzic (2018) discussed the value of intelligence and personality in understanding and assessing career potential in the organizational context (Leutner & Chamorro-Premuzic, 2018). As cited by Leutner and Chamorro-Premuzic, Schmidt and Hunter conducted a meta-analysis of the predictors of job performance and found reliable associations with intelligence (Schmidt & Hunter, 1998). Leutner and Chamorro-Premuzic also cited a study by Gonzalez-Mulé et al. which found that measures of intelligence can be used to predict counterproductive workplace behaviors (CWB) since they are more prevalent in individuals with lower intelligence (Gonzalez-Mulé et al., 2014). Through their research on personality, Leutner and Chamorro-Premuzic found that the validity of individual personality traits as predictors of career potential were modest but significant (Leutner & Chamorro-Premuzic, 2018). However, they argued that this stemmed from meta-analyses failing to fit personality traits to career outcomes such as performance, conscientiousness, and openness (Leutner & Chamorro-Premuzic, 2018). They argued that personality is an important indicator of an individual's personal effectiveness and career potential (Leutner & Chamorro-Premuzic, 2018). Leutner and Chamorro-Premuzic concluded that both intelligence and personality are consistent predictors of job performance and offer a theoretical framework for assessing individual potential (Leutner & Chamorro-Premuzic, 2018).

Notwithstanding these findings, the sparse research on this question suggests either a lack of interest or methodological difficulty of assessing potential performance in employee performance appraisals. The use of current performance ratings can provide the foundation for projecting an individual's future performance. Utilizing numerous prior performance evaluations can indicate a trend in performance (up or down) over time and provide a supervisor with more information from which they can better assess the future performance of an individual. However, other variables still exist that can affect the validity of a supervisor's appraisal of an individual's potential. For example, suppose an employee who was a high performer in the finance division of a department is reassigned to the training division. Prior high-scoring performance evaluations from the finance division will not necessarily predict high future performance of that employee in the training

division because there is an inherent learning curve stemming from new duties. This example underpins the need to better assess future potential.

Though there are some variables that cannot predict future performance, there are some variables that could potentially increase the predictive validity of future performance ratings. As noted previously, rated performance appraisals can provide the foundation for rating future performance, since they are rooted in absolute ratings based on performance criteria. OCBs and CWBs, which are explained later in this chapter, are contextual in nature and help identify behaviors that are beneficial or harmful to the organization. Therefore, rated performance, in conjunction with OCBs and CWBs, can provide a supervisor with a more holistic view of an individual when rating future performance.

4. Relevance to the Navy

For the Navy to be productive, effective, and exhibit growth it must manage its talent and see that talent rise through the ranks to provide it the best chance for success. It may be beneficial to the Navy to incorporate "frame of reference training" to increase the accuracy of performance appraisal ratings. Though rated performance has various limitations, it is mostly effective in its intended purpose. Therefore, rated performance has maintained its place in the prototype PES model. Though scant research exists on rated potential, its inclusion in the prototype PES, in conjunction with rated performance, can help the Navy gauge talent levels for the purposes of job placement, promotion selection, and the possibility of paying for superior performance.

B. COMPARATIVE RANKINGS

1. Introduction

Comparative rankings are not a new concept to the United States Navy. This forced distribution methodology, also called the ranking method, is a fundamental principle used in the promotion board process (Griffin, 2019). Often times the phrase "rack and stack" is used by those serving on promotion boards. As it pertains to performance evaluations, the basic concept underpinning this methodology is that a supervisor must take a group of employees that have received individual performance evaluations, and then assess each

employee against the other, placing them in a hierarchical structure, or ranking system. This process serves as a means to determine the highest, mid-level, and lowest performers within that organization. In order for comparative ranking methodology to be successful and mitigate potential rater biases, each individual must be assessed using the same performance evaluation criteria (Stewart et al., 2010).

2. Theory

Comparative rank performance appraisals originate from the theory of social comparison, stemming from the early work of Leon Festinger in 1954. Festinger's work focused on "opinion influence processes in social groups" in the context of "appraisal and evaluation of abilities" (Festinger, 1954 p. 117). Years later, in 1990, researchers Kruglanski and Mayseless realized that this theory could have greater application. Their work made it evident that social comparison theory could be used to help develop performance appraisals (Goffin et al., 2009). Flash forward, comparative ranking systems are quite common in the private sector. The Jacksonville Business Journal conducted a study in which they surveyed employees across a wide range of organizational levels (Hadden, 2004). The study concluded that 60% of survey participants revealed that their organizations utilized a comparative ranking system in performance appraisals (Hadden, 2004). Though not beyond reproach, this format of performance appraisal offers organizations the ability to identify their best and worst performers. This is because comparative ratings rely on relative judgements of an individual against their peers. Though some performance appraisal methods rely on absolute ratings, which utilize judgments of an individual on scales, they do not address the relative performance of their peers (Goffin & Olson, 2011).

According to social comparison theory, in the absence of an objective evaluation, one based on standards, individuals will tend to formulate relative evaluations, comparing the behavior or performance of one individual to those of their peers. This typically originates from a scarcity of objective evaluation measures in many performance evaluations (Goffin et al., 2009). According to Landy and Farr (1980), efforts to significantly increase objectivity in performance evaluations has not yielded considerable

results (Goffin et al., 2009). Festinger, Mayseless, and Kruglanski, among others, have concluded that social comparisons occur naturally in most people and social groups. This suggests that people are already comfortable with a comparative ranking structure since it occurs naturally. Though there has been minimal recent research done on comparative ranking formats, a study conducted by Nathan and Alexander (1988) investigated the "validity coefficients from clerical selection tests using several criteria, including conventional supervisor ratings and comparative rankings" (Goffin et al., 2009). The data utilized in this study was collected by Pearlman (1979) and contained a subset of 2,795 validity coefficients for proficiency criteria (Nathan & Alexander, 1988). "The Pearlman data set was based on an extensive search of published and unpublished validity studies pertaining to clerical jobs" (Nathan & Alexander, 1988 p. 520). They concluded that the comparative ranking method validities were typically higher than that of the "supervisor ratings and ratings of production quantity" (Goffin et al., 2009 p. 252). Based on this, it stands to reason that comparative rank performance evaluations will be effective in identifying top-, mid-level, and bottom-level performers.

Comparative ranking systems can be executed in a variety of ways, but two methods are typically utilized most frequently. One method of execution involves rating each individual on their respective performance, and then stack ranking them from the top performer down to the worst performer (Stewart et al., 2010). The second method necessitates that individuals must first be rated on their respective performance using a set of performance criteria. Individuals are then placed into performance percentile groups. To accomplish this percentile placement, raters are obligated to review each individual's performance against that of their peers. This second method of execution allows organizations to better differentiate between their top-, mid-level, and bottom-level performers (Stewart et al., 2010).

3. Relevance to the Navy

A Federal News Network article published in 2017 illustrated the need for a revision of the Navy's PES. Then CNO, Vice Adm. Robert Burke, was quoted emphasizing the need for a PES "with enough fidelity that we could do things like pay-for-performance"

(Serbu, 2017). Another issue the Navy must contend with are promotion quotas. These quotas limit the number of sailors for selection to the next paygrade. Therefore, a system must be integrated into the Navy's PES to help mitigate these issues. As a result, the research team adopted the comparative assessment concept from the USMC FITREP and modified it to include tiered percentiles. This form of comparative assessment is in line with that of the second method of implementation noted in the previous section. This process will be discussed in detail in the next chapter.

C.   BARS DEVELOPMENT

1.   Introduction

The BARS acronym refers to behaviorally anchored rating scales, commonly used to elicit ratings of an employee's performance. By design, BARS utilize "statements of behavior instead of general adjectives on regular or graphic ratings scales" (Fechter, 2022). These statements of behavior represent occurrences of actions and performance dimensions deemed critical to a particular organization, which are then used as benchmarks in evaluating the employee's performance, typically on a 1 to 5 numerical rating scale. Most organizations and companies typically have a mission statement or set of core values that best captures their identity, culture, and intentions. In turn, these organizations want their employees and their customers to associate these specific core values with the business. Therefore, an organization that utilizes a BARS methodology in their performance evaluations would want the statements of behavior to reflect the core values and/or mission statement of their business. For example, a company that values customer service would likely have statements of behavior that measure performance dimensions such as genuineness, integrity, and initiative. Adapting these adjective-based rating criteria to a BARS methodology requires retranslation into statements of desired performance behaviors. Using the performance dimension of genuineness as an example, a behavior statement for genuineness might say "Shows true interest in the concerns of a customer."

2. Supporting Research

A 1973 study by John P. Campbell at the University of Minnesota focused on the development and evaluation of behaviorally anchored rating scales. The goal of the study was to develop and evaluate BARS for the role of a retail store department manager. His intent was to determine if BARS "would yield less leniency and halo errors than a rating procedure that was not behaviorally anchored and whether they would exhibit significant convergent and discriminate validity" (Campbell et al., 1973 p. 15-16). In survey methodology, leniency refers to the tendency of a rater to evaluate everyone more forgivingly (Kentucky Personnel Cabinet, 2020). Halo refers to the tendency of the rater to weigh a positive attribute of an individual very high, which results in a "spill over" effect on other rated attributes (Kentucky Personnel Cabinet, 2020).

Campbell makes the distinction between three concepts: behavior, performance, and effectiveness. Behavior is the actions of people in the workplace, such as sending correspondence. Performance is evaluated behavior as it pertains to the objectives of the organization itself. Finally, effectiveness refers to organizational outcomes that an individual employee is indirectly responsible for, such as net profit. When developing BARS, Campbell notes that it is critical to understand the distinction between performance and effectiveness, since effectiveness itself is not indicative of behavior. Instead, effectiveness is the culmination of behaviors and other factors that are external to and outside the control of the individual employees.

Campbell's assertion was that efforts be focused on measuring and predicting the key dimensions of performance, not effectiveness (Campbell et al., 1973). His study utilized a form of critical incident theory which refers to a set of practices used in the collection of direct observations of human behavior that captures their potential utility in problem solving and the development of psychological principles (Flanagan, 1954). To generate BARS, Campbell utilized the method of behavioral expectation scaling which necessitates that organizational personnel reflect upon the elements of performance for the organizational role in question and define anchors for the performance dimensions in precise behavioral terms (Campbell et al., 1973).

Campbell had study participants write down five effective and ineffective critical incidents of department manager performance, without any prior knowledge of what the performance dimensions were (Campbell et al., 1973). This could include things such as "provides clear and concise direction" or "fails to resolve problems." Participants then performed a sorting procedure to group like behaviors together into categories. This resulted in performance dimension definitions. A second group of participants then reviewed those dimensions and definitions for importance, overlap, misrepresentation, and alignment with organization language. Following the sort and review steps, the Smith and Kendall retranslation step was executed. This step entails taking vetted observed behaviors, or incidents, and translating them into expected behaviors in the form of a scale, or BARS. These represent the anchors, which were then assigned a scale value (1 to 9).

Campbell also utilized the performance dimension definitions in a summated rating scale (without behavioral anchors) to contrast these results to results obtained using the BARS infused method of scaled expectations. The results of the study showed that the summated rating scale yielded higher leniency error since the scores given were mostly on the high end of the 4-point scale (scores between 3 and 4). Conversely, the scores utilizing a BARS scale ranging from 1 to 9, were closer to 6, which was less than one standard deviation from a mean score of 5. The study also revealed less halo error and less method variance in the behaviorally anchored rating scale than in the summated rating scale. Campbell concluded that this method has many potential applications, stating that "the scales can serve as criteria against which to evaluate predictors for selection and promotion decisions" (Campbell et al., 1973 p. 22).

Numerous researchers, aside from Campbell, have conducted studies comparing BARS to various forms of graphic rating scales to evaluate their validity and efficacy. Borman and Vallon (1974) found that BARS illustrated superiority in reliability and rater confidence but concluded that simpler numerical formats (without behavioral anchors) yielded less leniency and improved ratee discrimination (Landy & Farr, 1980). Burnaska and Hollman (1974) conducted a study utilizing three separate formats: BARS, a format that used the same dimensions and definitions but with adjectival anchors instead of behavioral anchors, and a graphic rating scale using prior dimensions which are based upon

theory rather than observation. In all three cases, they found that BARS exhibited less leniency and increased variance attributable to ratee differences (Landy & Farr, 1980). Keaveny and McGann (1975) found that the BARS method yielded less halo and no meaningful difference in leniency compared to graphic rating scales (Landy & Farr, 1980). Borman and Dunnette (1975) conducted a study similar to Burnaska and Hollman (1974) and concluded that despite insignificant quantities of rating variance, the BARS method "was psychometrically superior (in terms of halo, leniency, and reliability)" (Landy & Farr, 1980 p. 19).

3.   Relevance to the Navy

The United States Navy is an organization built upon a foundation of expected behaviors associated with intangible attributes. Thus, a revision of the Navy PES utilizing BARS methodology is the logical decision. The research team, building off previous research from NPC, created a behaviorally anchored rating scale in line with research and theory. Performance dimension definitions and scale anchors were ultimately designed by retranslating observed behaviors (trait and value statements) into expected behaviors (behavioral anchors) with assigned scale values. This process will be discussed in detail in the next chapter.

D.   ORGANIZATIONAL CITIZENSHIP BEHAVIORS (OCB) AND COUNTERPRODUCTIVE WORKPLACE BEHAVIORS (CWB)

1.   Introduction

Behaviors in the work environment are often viewed from the perspective of value to the organization. Traditional performance-oriented behaviors, such as proactively addressing a problem, are one example of value-added behaviors that are built into and assessed in performance appraisals. However, there are other observable behaviors, positive and negative, that occur but are not typically translated into performance criteria due to their cultural, sociological, and psychological nature. Because of this, it is important for organizations to be cognizant of these behaviors and the effects they can have on the organization's culture and productivity. These behaviors are referred to as organizational citizenship behaviors (OCB) and counterproductive work behaviors (CWB). In simple

terms, OCBs and CWBs are positive and negative forms of active and willful behaviors (Sypniewska, 2020). These behaviors typically fall outside the realm of performance appraisal criteria (Dalal, 2005). For example, an OCB might say "Helps sailors who have too much to do," whereas a CWB might say "creates disruptive conflict with others at work."

2. Theory

OCBs and CWBs are heavily rooted in contextual performance rather than task performance. Bormon and Motowidlo (1997) make the clear distinction between task performance and contextual performance in their study titled *Task performance and contextual performance: The Meaning for Personnel Selection Research*. Task performance refers to the efficiency that employees exhibit when executing duties that contribute to the organization's overall productivity and effectiveness (Borman & Motowidlo, 1997). Contextual performance refers to the exhibition of behaviors that serve as cultural, sociological, and psychological catalysts for task-oriented behaviors that ultimately contribute to the organization's effectiveness and productivity (Borman & Motowidlo, 1997). In this sense, they are indirect behaviors that can positively or negatively impact an organization's overall climate and performance.

Organ (1988) defined OCBs as behaviors exhibited at the discretion of an individual that are disconnected from any formal award system but positively impact the organizations effectiveness. He believed discretionary behavior to be those behaviors that are not required by formal performance requirements, and if omitted, are not subject to punitive action (Organ, 1988). Literature suggests that OCBs have nearly 30 separate forms (Podsakoff et al., 2000). Podsakoff, MacKenzie, Paine, and Bachrach (2000) identified dimensional overlap and narrowed the list down to seven common OCB dimensions: helping behavior, sportsmanship, organizational loyalty, organizational compliance, individual initiative, civic virtue, and self-development (Podsakoff et al., 2000).

Literature also identifies counterproductive work behaviors. As cited by Sypniewska (2020), Spector and Fox (2005) defined CWBs as those discretionary behaviors that negatively impact the organization as well as its employees and clients

(Sypniewska, 2020). Like OCBs, CWBs also have different forms. Spector, Penney, Goh, Fox, Kessler, and Bruursema (2006) revealed five CWB dimensions: abuse against others, production deviance, sabotage, theft, and withdrawal (Spector et al., 2006). Therefore, CWBs are harmful behaviors stemming from the volitional decisions of an individual (Sypniewska, 2020).

Although OCBs and CWBs are opposing constructs, they are not mutually exclusive within individuals in the workplace. A meta-analysis conducted by Dalal (2005) revealed CWBs and OCBs, at the individual level, were negatively correlated. However, Dalal (2005) argued that individuals exhibiting OCBs might concurrently engage in CWBs in the form of unethical behaviors (Sypniewska, 2020). For example, one OCB dimension is organizational compliance, which refers to the acceptance of an organization's cultural norms and business practices (Sypniewska, 2020). If that organization's cultural norms and practices are unethical, then an individual accepting and following those norms (OCB) could be simultaneously engaging in a CWB dimension such as abuse against others. Though important to note this possibility, literature supports the inverse relationship between OCBs and CWBs. A study conducted by Kelloway et al. (2002) analyzed the relationship between self-reported OCBs and CWBs and concluded that they were negatively correlated (Kelloway et al., 2002). In similar fashion, a study by Sypniewska (2020) also evaluated the relationship between OCBs and CWBs. Her study included participants from small, medium, and large corporations (Sypniewska, 2020). The results of her study yielded negative correlations between OCB and CWB dimensions but did note a positive correlation between the dimensions of sportsmanship (OCB) and all dimensions of CWB (Sypniewska, 2020). It is also worth noting that some research, though scant, has argued that job satisfaction and inclusivity may play a role in the occurrence of CWBs in the work environment, such that individuals who feel less satisfied or less included in their organizations are more likely to engage in counterproductive workplace behaviors.

3. Relevance to the Navy

While the current Navy FITREP format measures task-oriented performance, it fails to capture the dimensions of behavior, positive or negative, that are unrelated to

performance requirements, and if omitted, are not subject to punitive action (Organ, 1988). The inclusion of organizational citizenship behaviors and counterproductive work behaviors in the prototype PES can help identify behaviors that are beneficial or harmful to the organization, but that are not necessarily captured by more direct measures of job performance. Research has recognized the distinct natures of OCBs and CWBs and, therefore, has revealed a predominantly negative correlation between them in studies. The ability to identify and isolate these behaviors is essential to improving the Navy's organizational culture and growth. For example, the presence of CWBs could indicate job dissatisfaction or a lack of inclusion, which are areas the Navy is currently trying to improve in. The inclusion of OCBs and CWBs in the performance evaluation system could serve as a litmus test on whether the Navy is hitting the mark in those aforementioned areas. Furthermore, OCBs and CWBs, in conjunction with rated performance, can provide a supervisor with a more holistic view of an individual when assessing potential performance at the next paygrade.

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III. METHODOLOGY

A. OVERVIEW

In 2021, following the 2019 Navy Personnel Command PERS-3 Performance Evaluation Transformation-Talent Management conference (TVS Summit), a sponsored research team at Naval Postgraduate School was formed to continue efforts to improve the Navy's Performance Evaluation System (PES). The initial groundwork executed by the team was summarized by Luke (2022) in his thesis, which aimed to "establish a framework that grounds the Navy's new PES in the theory of performance evaluations" (Luke 2022, p. 3). Luke (2022) sought to lay the foundations for a prototype that would reduce 82 proposed TVS down to an impartial, validated set by cross referencing the 82 proposed TVS with current Navy doctrine and service equivalent officer performance evaluations. This thesis continues with the PES process improvement, not only in assessing performance, but assessing promotion potential as well.

B. STRATEGY

The original list of eight broad character traits and 82 associated value statements (see Appendix A) was the result of NPC efforts, systematically reducing them from 200 associated value statements. This was crucial work aimed at focusing our research team's efforts on a reduced subset of associated value statements, from which we could create a clear, concise, and user-friendly format for a Navy FITREP.

The original TVS were written in a nested structure. Each of the 8 broad traits were comprised of multiple related sub-traits. For each of the 8 broad traits, some of the related sub-traits have multiple associated value statement accompanying them. For example, leadership, a broad trait, is comprised of the following sub-traits: inclusion, wellness, delegation, motivation, feedback, change management, personnel development, and goals and expectations. Each of these sub-traits contains respective associated value statements (2-3 statements per sub-trait). Inherently, there is cross over in some of these sub-traits and their respective associated value statements. For example, the associated value statements for the sub-trait "Personnel Development" are:

1. Addresses performance issues promptly and corrects poor performance

2. Holds others accountable to job performance standards

Similar sub-traits, as well as similar associated value statements, could be distilled into a simpler set of sub-traits and associated value statements through dimension reduction. To minimize subjectivity in this process, we applied a modified version of a sorting method known as the q-sort technique, across all associated TVS statements.

C.   TVS MODIFIED Q-SORT

A "Q-sort," is a systematic approach to deducing the various perspectives of individuals by having them "rank and sort a series of statements" (Better Evaluation, 2014). Q-sort methodology is broken down in five simple steps:

1. Define the area of study

2. Develop the set of statements to be used in the modified Q-sort

3. Select participants with various/differing perspectives

4. Execute the modified Q-sort by the participants

5. Analyze and interpret the results of the modified Q-sort

Since the first two steps had been accomplished through the efforts of the TVS summit and Luke's (2022) thesis work, we adopted a modified Q-sort process. For Step 1, the area of debate was already defined—which associated value statements best define each trait respectively? For Step 2, the value statements associated with each trait served as our set of statements to be used in the modified Q-sort, negating the need to create new statements. To accomplish Step 3, the research team, composed of one psychologist, one economist, and one active-duty sailor each performed a sorting process, utilizing the 82 associated value statements. Step 4 included two additional execution steps to complete the modified Q-sort process.

(4a) Sort all associated value statements into like groups, disregarding designated sub-traits from the TVS table.

(4b) Reduce each of the groups created to a single statement per respective group; combine across factors for a holistic definition.

These two steps were applied to all eight traits using the 82 associated value statements respectively. See Table 1 for an example of a modified Q-sort for a single trait, character.

Table 1.   Modified Q-Sort Example

TRAIT: CHARACTER	
Step 1: Sort all associated value statements into like groups, disregarding designated sub-traits from TVS document (Appendix A.)	
Group 1	Takes responsibility for actions regardless of consequences
	Acknowledges and corrects mistakes
Group 2	Demonstrates high standard of personal and professional behavior
	Adheres to the Navy standards of ethical conduct at all times
	Holds self accountable to Navy core values
Group 3	Does the right thing, even when it is difficult
	Morally steadfast in the face of opposing pressure
	Avoids situations and actions considered inappropriate
	Uses discretion when handling the sensitive personal information of others
Group 4	Is honest and forthcoming
	Displays actions that are in-line with stated intent
	Does not misrepresent self or use position or authority for personal gain
Group 5	Treats others with dignity and respect
	Demonstrates respect for others' values and customs
Step 2: Reduce each of the groups created to a single statement per respective group; combine across factors for a holistic definition.	
Result: Takes responsibility for actions regardless of consequences; Holds self accountable to Navy core values and ethical standards; Does the right thing, even when it is difficult; Uses discretion and avoids inappropriate situations and actions; Is honest and forthcoming; Treats others with dignity and respect	

The modified Q-sort process yielded a reduced set of 28 trait descriptions (TD). See Table 2 for the compiled list of the 28 TDs. Finally, for Step 5, we discussed the results

of the modified Q-sort to refine definitions for each sub-trait and the associated value statements. I then compiled the 28 holistic TDs into an Excel template, reminiscent of the block section of the current Navy FITREP for future use, which will be explained in the next section.

Table 2. Compiled List of 28 TDs

TRAIT	New Holistic TDs
Character	Takes responsibility for actions regardless of consequences; holds self accountable to Navy core values and ethical standards.
	Does the right thing, even when it is difficult; uses discretion and avoids inappropriate situations and actions.
	Is honest and forthcoming; treats others with dignity and respect.
Leadership	Ensures all members understand their roles and responsibilities; maintains performance standards; delegates tasks and responsibilities appropriately.
	Creates a constructive, professional, and respectful positive work environment where all are motivated toward achieving desired results.
	Provides and encourages feedback appropriate to performance.
	Guides others to seek support through available wellness resources.
	Effectively leads in times of change or crisis.
Initiative & Drive	Proactively addresses problems in the absence of specific direction; willingly puts in extra time and effort; seeks opportunities to contribute and innovate.
	Seeks learning opportunities to acquire new competencies, methods, and information to enhance job performance.
	Identifies and recommends innovative solutions to address problems and inefficiencies
Teamwork	Demonstrates inclusion and support of teamwork; collaborates with and assists teammates in identifying solutions; develops productive working relationships.
	Actively supports unit cohesion and group decisions even when not in complete agreement.
Communication	Actively listens to people's ideas and concerns to ensure comprehension; allows others to speak without unnecessary interruptions; asks for clarification when unsure of what is being said or asked.
	Demonstrates appropriate use of nonverbal communication; reads body language and adjusts tone and style accordingly.
	Addresses sensitive issues in an open, constructive, professional manner allowing for rational and open discussion.

TRAIT	New Holistic TDs
	Keeps leadership informed about progress and problems; consults with supervisor when necessary to determine priorities.
	Communicates clear, well-defined expectations for others' work; provides open and honest feedback.
	Presents information clearly, concisely, and logically.
	Responds positively to feedback.
Critical Thinking & Decision Making	Manages time and risk effectively to produce optimal decisions.
	Remains flexible and objective in response to changing circumstances.
	Effectively integrates best available information in planning and execution.
Mission Accomplishment & Productivity	Ensures safe and secure mission execution through knowledge and adherence to policy and procedure.
	Effectively integrates time management and subject matter expertise to provide a quality product.
Resiliency & Toughness	Exhibits poise and flexibility while executing duties in the face of adversity.
	Seeks and engages in positive coping mechanisms when under stress.
	Recovers from setbacks with tenacity and renewed purpose.

D.   INTERSERVICE TVS CROSS-TEXTUAL ANALYSIS

Upon completion of the modified Q-Sort process, the research team wanted to ensure continuity with the research and groundwork executed by Luke (2022). Luke (2022) established a framework for cross referencing the proposed 82 Navy TVS and the TVS within officer evaluations from the USMC, USAF, and USA. By executing a cross-textual analysis, through comprehensive key word and phrase searches, he was able to identify similarities between the Navy's proposed TVS and their service equivalents.

Adhering to this framework, the research team executed a similar cross-textual analysis of our own between the newly created, proposed, 28 Navy TDs and the traits utilized within officer evaluations from other services. We focused on the current Navy FITREP, USMC FITREP, and USCG OER, which we identified as services with similar PES values to the Navy. The goal of this step was to look at the respective traits of each service and identify any commonalities with our newly created 28 TDs. This was a two-part process, parts A and B, each with its own respective steps. I executed Part A

immediately following the modified Q-sort process. I compiled the new 28 TDs, and the original 8 broad trait definitions into an excel template, reminiscent of the block section of the current Navy FITREP. Part B focused on the USMC and USCG and was conducted by the other members of the research team. Below are the steps that served as guidelines for the execution of Part B:

1. Identify service TVS equivalents

2. Place new Navy TDs next to corresponding service equivalent TVS

3. Identify common valued verbiage, as well as any useful differences in verbiage

Appendix B serves as a visual reference for Part A and Part B. Upon completion of this process, the research team shifted focus towards engineering the prototype rating scale.

E.   RATING SCALE MODELS

1.   Individual Performance Appraisal

a.   *New TVS Definitions*

The modified Q-Sort process served as a means to reduce similar sub-traits, as well as similar associated value statements, and distill them into more holistic sub traits and associated value statements. However, the results of this process posed two new questions—Are these newly formed holistic sub-traits and associated value statements representative of the original broad trait definition? Do the original broad trait definitions themselves need to undergo transformation to meet the criteria set forth by the 10 Signature Behaviors of the 21st Century Sailor?

The research team discussed the merits and benefits of reevaluating the original trait definitions in an effort to maintain process validity. The decision was made to revise the original broad trait definitions to be more reflective of the Get Real, Get Better vision. Utilizing the Signature Behaviors of the 21st Century Sailor, the topic sponsor, and project representative at Naval Personnel Command, we infused each broad trait with components of the signature behaviors, yielding broad trait definitions that were indicative of the Get Real, Get Better vision.

This process was executed for each of the 8 broad character traits. The original trait definitions and new trait definitions were compiled into a side-by-side format for easy comparison. See Table 3 for a side-by-side comparison of the original and new broad trait definitions.

Table 3.   Broad Trait Definition Side-By-Side. Adapted from Fleet Forces
Command (2020), Navy Personnel Command (2020)

Original Definitions	New Definitions *Italicized = Signature Behavior or Get Real, Get Better action
Character: Conduct in accordance with the Navy Ethos and Navy Core Values. Includes the combination of traits and moral and ethical qualities that are revealed through an individual's consistent behaviors, on and off duty.	**Character:** *Taking responsibility for actions regardless of consequences*; holding self accountable to Navy core values and ethical standards. *Upholding the highest degree of integrity in professional and personal life.* Doing the right thing, even when it is difficult; using discretion and avoiding inappropriate situations and actions. Being honest and forthcoming; *treating others with dignity and respect.*
Leadership: The ability to influence and inspire others by providing a shared sense of purpose, direction, and vision. Includes the knowledge and appropriate use of motivational resources for guiding others toward achievement of a goal or objective.	**Leadership:** Ensuring others understand their roles and responsibilities. Maintaining performance standards, *holding others accountable for their actions.* Delegating tasks and responsibilities appropriately. *Embracing the diversity of ideas, experience, and backgrounds of all*, creating a positive, motivating work environment. *Acting as a leader and encouraging leadership in others.* Providing and encouraging appropriate performance feedback. Guiding others to seek support through available wellness resources. Effectively leading in times of change or crisis; demonstrating courage by *intervening when necessary.*
Initiative & Drive: Takes independent and proactive action to contribute to the accomplishment of objectives and goals. Includes the identification, ownership, and follow-through of activities with little to no direction.	**Initiative & Drive:** Proactively addressing problems in the absence of specific direction; willingly putting in extra time and effort; seeking opportunities to contribute and innovate. *"Embracing the red," being curious and taking pride in fixing problems.*

Original Definitions	New Definitions *Italicized* = Signature Behavior or Get Real, Get Better action
	Seeking learning opportunities to acquire new competencies, methods, and information to enhance job performance; *growing personally and professionally every day. Exercising discipline in conduct and performance,* striving for continual improvement, self-control, and balance in mental, physical, and spiritual readiness.
Teamwork: Develops, supports, participates in, and maintains positive work relationships to facilitate the accomplishment of shared goals. Includes collaboration with others, inside and outside of the organization.	**Teamwork:** *Contributing to team success through actions and attitudes.* Demonstrating inclusion and support of teamwork, assisting teammates in identifying solutions, developing productive working relationships. *Honoring and valuing team members, recognizing others' supportive behavior.* Actively supporting unit cohesion and group decisions even when not in complete agreement. *Working collaboratively, building trust, and creating opportunities for the team to progress.*
Communication: The exchange of information and ideas. Includes all messages that an individual sends and receives, through verbal, written, and non-verbal channels.	**Communication:** Actively listening to people's ideas and concerns to ensure comprehension, allowing others to speak without unnecessary interruptions, asking for clarification when unsure of what is being said or asked. *Quickly elevating barriers, transparently sharing knowledge and skills.* Presenting information clearly, concisely, and logically. Addressing sensitive issues in an open, constructive, professional manner allowing for rational and open discussion. Keeping leadership informed about progress and problems; consulting with others as necessary to determine priorities.
Critical Thinking: Seeks, identifies, and analyzes information from appropriate sources to understand issues, problems, and opportunities. Uses this information to make timely and informed choices to ensure the optimal course of action is taken.	**Critical Thinking:** Managing time and risk effectively to produce optimal decisions. Remaining flexible and objective in response to changing circumstances. *Being honest, humble, and transparent about current performance; supporting others in ongoing, honest assessment of self and situations.* Effectively integrating best available

Original Definitions	New Definitions *Italicized* = Signature Behavior or Get Real, Get Better action
	information in planning and execution. *Knowing one's own capabilities and limitations, challenging own beliefs using data, facts, and diverse input.*
Mission Accomplishment & Productivity: Performance in assigned duties, roles, functions, and completion of tasks and assignments in accordance with established standards. Includes the rate of production and the quality of the output and the development, application, and sustainment of job-relevant knowledge, skills, and abilities.	**Mission Accomplishment & Productivity:** Getting the job done at an acceptable level of quality and timeliness. *Self-correcting, continually identifying and fixing small problems at the lowest level.* Ensuring safe and secure mission execution through knowledge and adherence to policy and procedure. Effectively integrating time management and subject matter expertise to get results. *Applying Navy problem solving tools and best practices to shift from more activity to better outcomes.*
Resiliency & Toughness: The ability to maintain performance and self-control under pressure. Includes the ability to recover from or adjust to adversity or change.	**Resiliency & Toughness:** Exhibiting poise and flexibility while executing duties in the face of adversity. Seeking and engaging in positive coping mechanisms when under stress. *Courageously aiming high despite risk of failure.* Recovering from setbacks with tenacity and renewed purpose, *learning from misses and bouncing back. Pushing to find and fix root causes, not just symptoms.*

b.   BARS

Following the completion of the cross-textual analysis and new trait definition process, the team shifted its focus towards constructing a protype rating scale utilizing BARS methodology. BARS are behaviorally anchored ratings scales, assessing both desired and undesired behaviors as determined by the values of the organization.

To generate a scale utilizing BARS methodology, the research team decided to use the 28 proposed TDs and structure them into a scalable format, using a 1 to 5 response scale. The goal was to have a scale that assessed the degree to which a sailor executed and/ or exhibited the proposed traits and values, as defined in the broad trait definitions. Below are the steps that served as guidelines for the execution of this process:

1. Review the respective TDs for each of the 8 broad traits

2. Identify the key values and behaviors in each respective TD

3. Transform the respective key values and behaviors into a scalable action for 1 (low performance), 3 (average performance), and 5 (high performance) of the rating scale

4. Review each scaled value and behavior action for consistency with its respective broad character trait

5. Compare the new scaled value and behavior action with the original FITREP equivalent to ensure an optimal scaled action and behavior is achieved

It is important to note that the original FITREP rated performance, the value and behavior actions, on a scale of 1 to 5, based on standards of performance, from below standards (1) to greatly exceeding standards (5). For our new prototype, the research team opted for a 1 to 5 rating scale, utilizing levels of performance. Additionally, the performance section ratings do not result in an average that feeds into the Reporting Senior Cumulative Average (RSCA) of the rater. This will be discussed later in the recommendations section.

2. Individual Potential Appraisal

A great leader can perform, but a great performer does not necessarily equate to a great leader. This concept, as well as CNO Admiral Gilday's vision for process improvement, served as the impetus for designing a potential appraisal that follows the performance appraisal. Based on the current knowledge a reporting senior has of an individual, potential appraisal affords them the ability to assess an individual's potential at the next paygrade. This is different from ratings of past performance because these ratings can be used to project talent levels for the purposes of job placement, promotion selection, and the possibility of paying for superior performance.

The research team discussed how best to create a scalable rubric that assesses an individual's potential for promotion within the organization. This rubric utilized a rating

scale of 1 (not ready) to 5 (ready now) and included 6 dimensions of potential: learning mindset and adaptability, leadership and teamwork, character development, judgement and decision-making, experience and competence, and motivation and drive. Each of the 6 dimensions of potential was defined using key facets of the 8 broad trait definitions and the 28 trait descriptions. Appendix D shows the scalable rubric that was ultimately created by the topic sponsor.

Upon completion of Part I of the potential appraisal, the research team discussed the merits of a rating scale that offered actionable feedback for dimensional improvement. After much discussion, the topic sponsor opted to utilize the concept of readiness on a scale of 1 to 5, where ratings of *not yet ready* (1 or 2), prompted the rater to provide actionable feedback explaining how the SRO can improve to become ready on that dimension. Ratings for each of the respective 6 dimensions of potential can be averaged together to create a score, just like the Member Trait Average in the current Navy FITREP. For example, an individual who receives ratings of 4, 3, 3, 4, 4, 5 for each of the 6 dimensions of potential, receives a total rating of 23. This is then divided by 6 (each dimension rated), for an average score of 3.83. That score could feed into the reporting senior's RSCA. The next phase of the process was to conceive the optimal format of comparative assessment for peer-to-peer potential rating.

3.   Comparative Assessment

Promotion quotas are an inherent limiting factor in determining which sailors will advance to the next rank. For each promotion to the next rank, there are fewer promotion slots than there are sailors to potentially fill them. Due to this limiting factor, the research team felt it necessary to devise a comparative assessment mechanism that affords the rater the ability to rate an individual's past performance amongst that of their peers. This overarching concept of comparative assessment was adapted from the USMC FITREP. Block K "Reviewing Officer Comments" provides a comparative assessment which also utilizes a "Christmas tree" diagram with a tiered structure and associated rating scale. See Appendix C for the USMC FITREP Block K. The research team adapted this comparative assessment model and included percentiles attached to each tier of the diagram. The team

opted for a tiered hierarchy conceptualized in the form of a Christmas tree diagram. An individual's past performance is comparatively assessed against that of their peers, and rated on a scale of "An Unqualified Sailor" (bottom of the tree) to "One of the very few best and most qualified" (top of the tree). The tiers within the tree represent percentiles, from top 5, 10, and 20% to the modal category (55%), and bottom 10 percent.

4. Promotion Recommendation

The final section of this appraisal focuses on promotion recommendations. The goal of this section is to separate individuals by a form of "promotion status." Individuals who will be in-zone for promotion are then assigned a designator. For example, an individual who received a Christmas tree ranking of "One of the very few best and most qualified," who will also be in-zone for promotion, may be assigned the designation of "Promote now." See Appendix D for the list of rankings and designators.

F. SURVEY DEVELOPMENT

To validate the research conducted by Luke (2022) and prototype PES we created, we began the development of a performance evaluation assessment prototype in Qualtrics. The purpose of the prototype was to evaluate and improve upon the proposed modifications to the current Navy PES. We organized the prototype into four distinct areas of assessment: Individual Performance, Individual Potential, Comparative Assessment (Christmas Tree), and Promotion Recommendation. The prototype was then disseminated to our sample population of raters who assessed the sailor reported on (SRO). Our raters were nominated by SROs, as described below. We also ensured psychological safety in our survey by adding a disclaimer of voluntary participation, confidentiality of responses, and confidentiality of the data collected. See Appendix D for our survey.

The first assessment of the survey focused on individual performance, with participants considering the actual workplace performance of the SRO they were rating. We utilized the 8 broad traits, their respective value and behavior actions, and the 1 to 5 BARS. Survey participants rated their SRO for each of the 8 broad character traits.

The second assessment focused on individual potential, with participants considering their SRO's potential to succeed at the next paygrade. We utilized the 6 dimensions of potential, their respective definitions, and the 1 to 5 readiness rating scale. Survey participants then rated their SRO for each of the 6 dimensions of potential.

The third assessment consisted of the comparative assessment and promotion recommendation. This section presented the Christmas Tree diagram, used to execute a historical comparative assessment of the SRO's potential against that of their peers. The comparative assessment was then followed up with the assignment of a designator for promotion recommendation.

The final assessment consisted of two parts, ratings of organizational citizenship behaviors (OCB) and counterproductive work behaviors (CWB). For example, an OCB would be "Helps sailors who have too much to do," whereas a CWB would be "creates disruptive conflict with others at work." Each section employed a 1 to 5 rating scale, utilizing the concept of frequency of engagement in each respective OCB and CWB anchors.

G. SURVEY ADMINISTRATION

Our research team employed two recruitment methods for identifying and recruiting participants: snowballing and a social media campaign. At the time, another ongoing, N1 sponsored research team was preparing to administer a survey for their project. We employed the snowball method at the end of their survey by asking participants to voluntarily nominate individuals who they felt could accurately and honestly assess their performance in the Navy. The invitation requested that individuals provide contact information for three sailors that might be willing to participate in our research team's prototype testing. Our second method, a social media campaign, was requested by our topic sponsor and executed with assistance from the Navy N1 PAO Office. Interested sailors gave responses to questions regarding their opinion of the current Navy PES, offered self-assessments of their personal job performance, and provided contact information for three potential participants for the prototype PES survey.

The prototype was fielded to nominated participants in three waves using the email addresses provided to us. Nominees received a personalized email asking if they would be willing to participate in our prototype evaluation. Nominees were told that their participation would help the Navy to assess the quality of the new prototype, that their responses would be seen by the study team only, and that ratings would not impact the career or record of the sailor reported on.

IV. RESULTS AND ANALYSIS

A. INTRODUCTION

Upon completion of the prototype PES testing, the research team collected the raw data for analysis. Using the collected data as well as reviewed literature, in this Chapter I will answer the four research questions laid out in the first chapter of this thesis. Each subsection in this chapter will address a specific research question.

B. PERFORMANCE APPRAISAL RATING SYSTEMS

The first research question asked what the best methods were for developing a performance appraisal rating system that not only assesses performance but identifies top and bottom performers. After reviewing relevant literature, the best methods for developing a performance appraisal rating system that assesses current and future performance is the behaviorally anchored rating scale method. This method affords the rater the ability to rate an individual based upon a set of performed behavior statements rooted in organizational values. The performance dimensions and their respective definitions provide benchmarks for the rater to assess current and future performance. The comparative rating method was found to be the best method for identifying top and bottom performers within an organization. When looking at an individual's current and future performance ratings, a rater can then rate individuals against their peers and place them in a hierarchical structure, otherwise known as stack ranking. This hierarchical structure provides supervisors with a visual of the best (top) and worst (bottom) performers within the organization.

C. SAMPLING PROCEDURE

The second research question asked if our sampling procedure resulted in sufficient demographic representation for testing our prototype. The demographics analyzed include the distributions of enlisted and officer personnel as well as junior and senior sailors.

1. Survey Sample Characteristics

A total of 606 raters provided usable data for our research. The 606 raters provided evaluations of 416 individual SROs. Figure 1 below shows a preliminary analysis of the sample characteristics. An immediate overview of the sample characteristics showed that our sample population of SROs captured both enlisted and officer personnel, from junior rank to senior rank, including Warrant Officers. In terms of supervisory roles (direct, indirect, peer, junior, other), the total sample population of raters skewed heavily in favor of direct supervisors: 57% of the raters were supervisors of the SRO, 16% were peers, and 23% were junior to the SRO (Helzer & Bacolod, 2022). Additionally, 84% of raters felt confident in their ability to rate the sailor's job performance, skewing quite favorably in the range of very confident and extremely confident (Helzer & Bacolod, 2022).
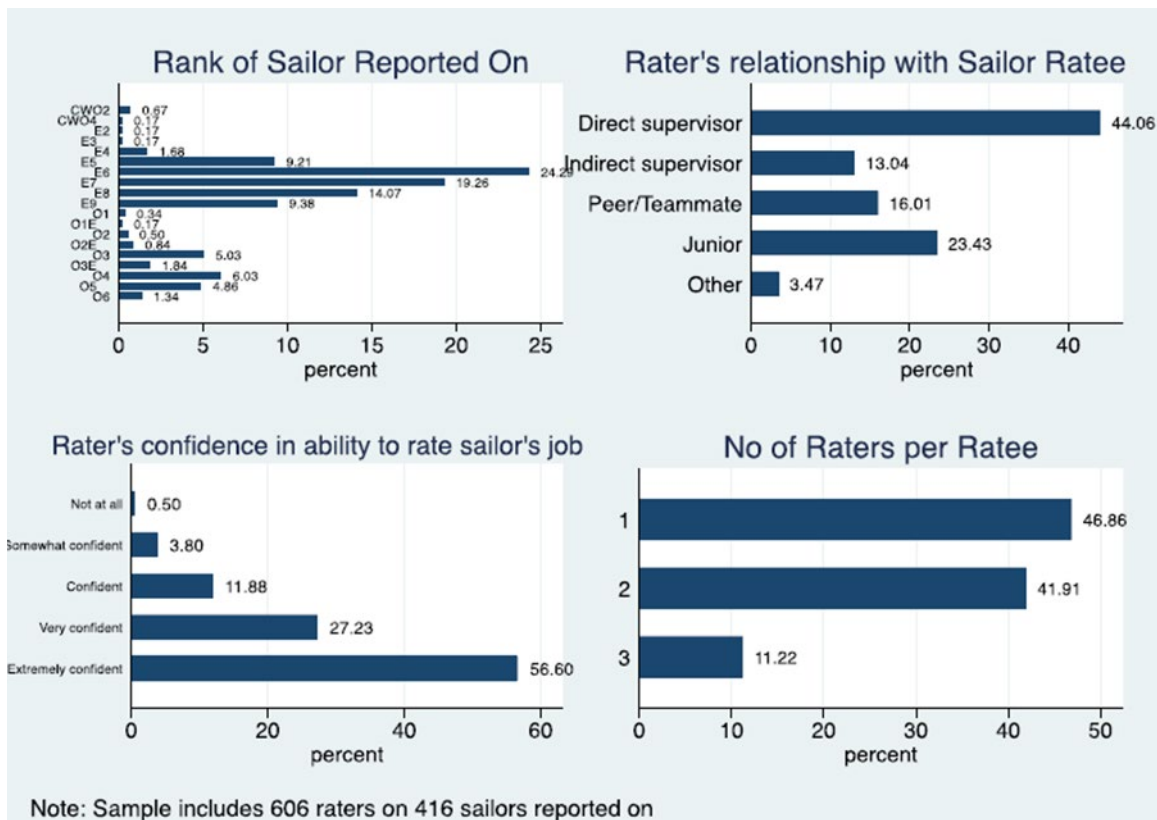
Figure 1. Characteristics of Survey Respondent. Source: Helzer and Bacolod (2022).

2. Demographic Distributions

According to the Defense Manpower Data Center's latest active-duty strength tables, the current total force of the Navy is 344,441 personnel (DMDC, 2022). Figure 1 shows the breakdown of SROs from our study by rank and grade while Table 4 shows the breakdown of active-duty Navy personnel by rank and grade.

Table 4. Navy Rank/Grade Population Distribution. Adapted from DMDC (2022).

Most Recent Population Distribution (September 30, 2022)		
Rank/Grade	Personnel by Number	Personnel by Percentage
O-10	10	0.003%
O-9	34	0.010%
O-8	68	0.020%
O-7	104	0.030%
O-6	3,265	0.948%
O-5	6,760	1.963%
O-4	10,837	3.146%
O-3	18,895	5.486%
O-2	7,324	2.126%
O-1	7,241	2.102%
Chief Warrant Officer W-5	85	0.025%
Chief Warrant Officer W-4	479	0.139%
Chief Warrant Officer W-3	747	0.217%
Chief Warrant Officer W-2	680	0.197%
Warrant Officer W-1	20	0.006%
TOTAL OFFICER	**56,549**	**16.42%**
E-9	2,765	0.80%
E-8	7,249	2.10%
E-7	22,890	6.65%
E-6	51,172	14.86%
E-5	70,452	20.45%
E-4	53,894	15.65%
E-3	50,210	14.58%
E-2	13,085	3.80%
E-1	11,799	3.43%
TOTAL ENLISTED	**283,516**	**82.31%**
Cadets/Midshipmen	4,376	1.27%
GRAND TOTAL	**344,441**	**100%**

Enlisted personnel make up 82.31% of the total force while officers make up 16.42%, with cadets and midshipmen make up the remaining 1.27%. The 416 SROs in our study represent .12% of the total population of the Navy. Though all ranks were not captured in the survey sample, the 416 SROs were comprised of paygrades O-1 to O-6, E-2 to E-9, and Warrant Officers at the paygrades of CWO-2 and CWO-4 respectively. As illustrated in Figure 1, most SROs were enlisted personnel, at roughly 78% (total), followed by officer personnel at roughly 22% (total). Considering enlisted ranks make up 82.31% of the total navy personnel population and officers make up 16.42% of the total population, I believe our sampling procedure resulted in sufficient overall demographic representation of both grades. The SRO enlisted population skewed heavy from E-5 to E-9 which is inverse to the distribution of enlisted in Table 5, which skews heavier from E-1 to E-5. Based on this, our sampling procedure resulted in an overrepresentation of enlisted personnel by rank. The SRO officer population skewed heavy from O-3 to O-5 which mostly parallels the distribution of officers in Table 5, which also skews heavier from O3 to O-5. Based on this, our sampling procedure resulted in a sufficient representation of officer personnel by rank.

D.   DISTRIBUTION OF RATINGS

The third research question asked how well the prototype PES assisted in rating sailors according to performance and potential. This section will answer this question based on the rating distributions of the 8 broad character traits, the 6 dimensions of potential, the comparative assessment (Christmas tree designation), and promotion recommendations.

1.   Broad Character Traits

Figure 2 illustrates the rating distributions of the 8 broad character traits. Resiliency and Toughness had a skewed distribution, with 80% of all ratings for this trait falling at either 4 or 5, or 1 to 2 scale points above the scale midpoint of 3. The remaining 20% of ratings were at the scale midpoint of 3 or 1 to 2 scale points below the scale midpoint. Productivity and Mission Accomplishment had a skewed distribution, with about 85% of all ratings for this trait falling at either 4 or 5, or 1 to 2 scale points above the scale midpoint of 3. The remaining 15% of ratings were at the scale midpoint of 3 or 1 to 2 scale points

below the scale midpoint. Critical Thinking had a skewed distribution, with 84% of all ratings for this trait falling at either 4 or 5, or 1 to 2 scale points above the scale midpoint of 3. The remaining 16% of ratings were at the scale midpoint of 3 or 1 to 2 scale points below the scale midpoint. Of the 8 traits, Communication had the least skewed distribution, with about 73% of all ratings for this trait falling at either 4 or 5, or 1 to 2 scale points above the scale midpoint of 3. The remaining 27% of ratings were at the scale midpoint of 3 or 1 to 2 scale points below the scale midpoint. Teamwork had a skewed distribution, with 83% of all ratings for this trait falling at either 4 or 5, or 1 to 2 scale points above the scale midpoint of 3. The remaining 17% of ratings were at the scale midpoint of 3 or 1 to 2 scale points below the scale midpoint. Initiative and Drive had a skewed distribution, with 87% of all ratings for this trait falling at either 4 or 5, or 1 to 2 scale points above the scale midpoint of 3. The remaining 13% of ratings were at the scale midpoint of 3 or 1 to 2 scale points below the scale midpoint. Leadership had a skewed distribution, with 81% of all ratings for this trait falling at either 4 or 5, or 1 to 2 scale points above the scale midpoint of 3. The remaining 19% of ratings were at the scale midpoint of 3 or 1 to 2 scale points below the scale midpoint. Of the 8 traits, Character had the most skewed distribution, with 92% of all ratings for this trait falling at either 4 or 5, or 1 to 2 scale points above the scale midpoint of 3. The remaining 8% of ratings were at the scale midpoint of 3 or 1 to 2 scale points below the scale midpoint.
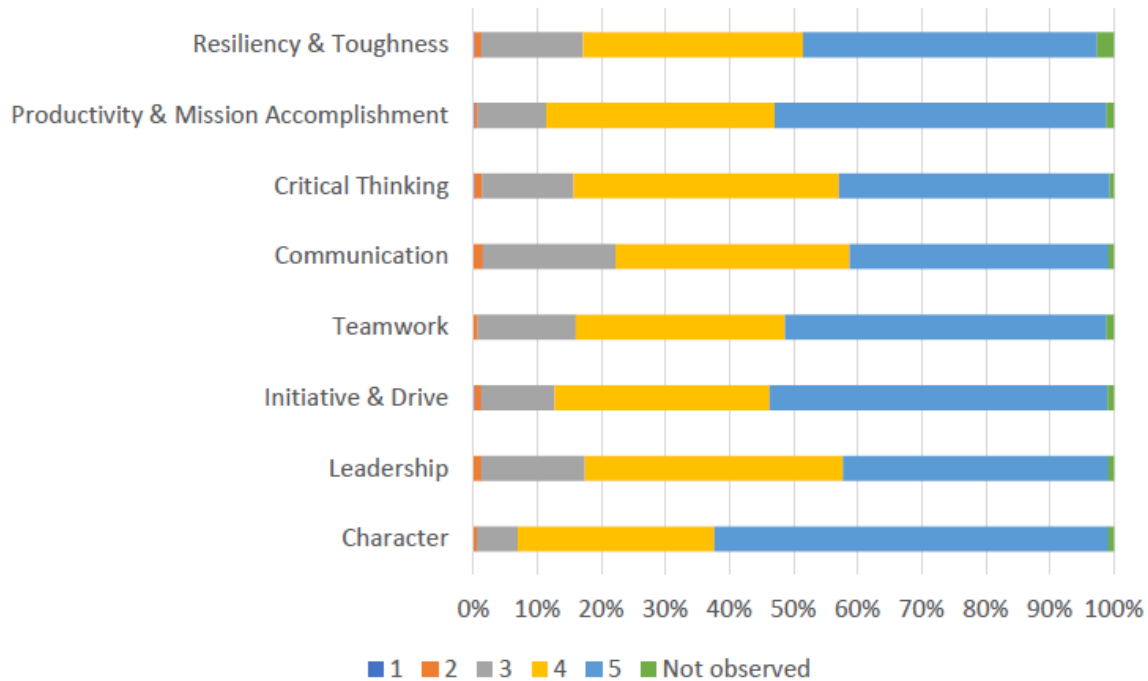
Figure 2. Distribution of Current Performance Trait Ratings. Source: Helzer and Bacolod (2022).

The heavily skewed distribution of individual performance ratings suggests an overrepresentation of high performers captured in our survey. Despite the performance ratings being heavily skewed towards the high end of the 5-point scale, raters still utilized all points on the rating scale. One explanation for the skewed distribution is user error. Raters overutilized the top end of the scale which created inflated ratings. Another, more likely, explanation is that the survey captured a sample of very high performers. When looking at the sample population of SROs captured in our survey, both enlisted and officer personnel in the mid-to-senior ranks comprised most of the overall population. It is logical to assume that since these enlisted and officer personnel have already made it to the mid and senior ranks, that they are likely high performers. Additionally, it is worth noting the anonymity built into the survey. An anonymity clause provides no incentive for raters to inflate the ratings of an SRO, since nobody outside our research team would see the results. Therefore, if a rater were evaluating a poor performer, it is likely they would rate the SRO accordingly.

2. Dimensions of Potential

Figure 3 illustrates the rating distributions of the 6 potential dimensions. Motivation and Drive had a skewed distribution, with 92% of all ratings for this dimension falling at either 4 or 5, or 1 to 2 scale points above the scale midpoint of 3. The remaining 8% of ratings were at the scale midpoint of 3 or 1 to 2 scale points below the scale midpoint. Experience and Competence had a skewed distribution, with about 86% of all ratings for this dimension falling at either 4 or 5, or 1 to 2 scale points above the scale midpoint of 3. The remaining 14% of ratings were at the scale midpoint of 3 or 1 to 2 scale points below the scale midpoint. Of the 6 dimensions, Judgement and Decision-Making had the least skewed distribution, with 85% of all ratings for this dimension falling at either 4 or 5, or 1 to 2 scale points above the scale midpoint of 3. The remaining 15% of ratings were at the scale midpoint of 3 or 1 to 2 scale points below the scale midpoint. Of the 6 dimensions, Character Development had the most skewed distribution, with about 93% of all ratings for this dimension falling at either 4 or 5, or 1 to 2 scale points above the scale midpoint of 3. The remaining 7% of ratings were at the scale midpoint of 3 or 1 to 2 scale points below the scale midpoint. Leadership and Teamwork had a skewed distribution, with 88% of all ratings for this dimension falling at either 4 or 5, or 1 to 2 scale points above the scale midpoint of 3. The remaining 12% of ratings were at the scale midpoint of 3 or 1 to 2 scale points below the scale midpoint. Learning Mindset and Adaptability had a skewed distribution, with 89% of all ratings for this dimension falling at either 4 or 5, or 1 to 2 scale points above the scale midpoint of 3. The remaining 11% of ratings were at the scale midpoint of 3 or 1 to 2 scale points below the scale midpoint.
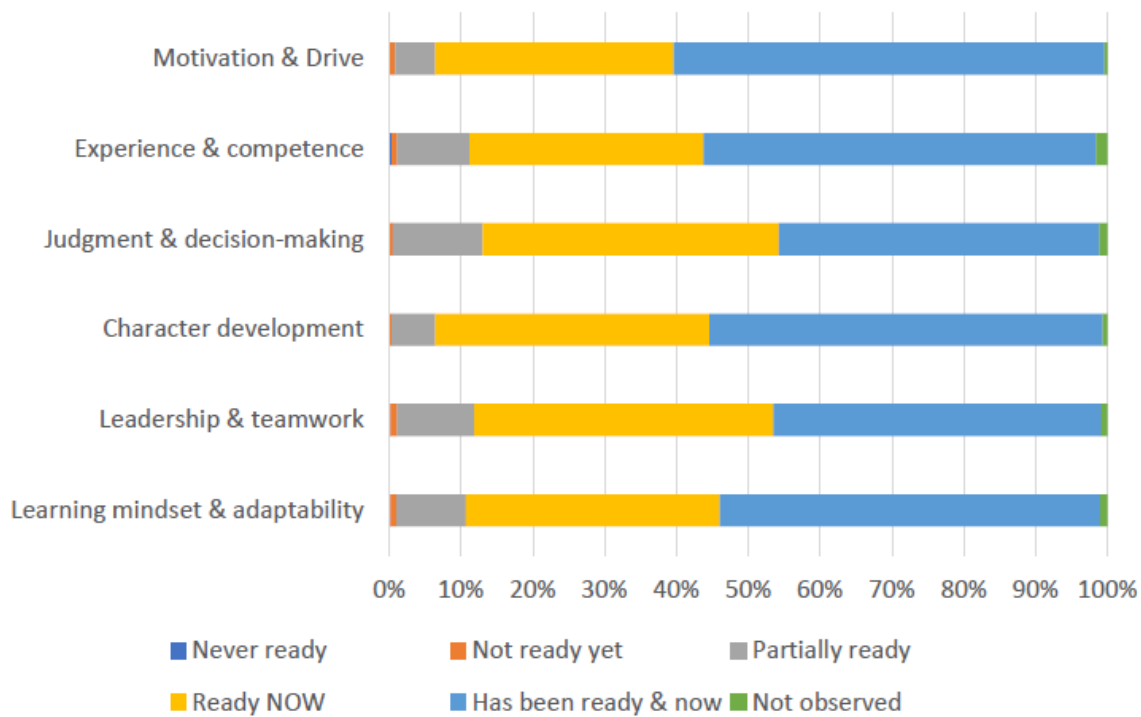
Figure 3.   Distribution of Potential Performance Trait Ratings. Source: Helzer and Bacolod; (2022).

The heavily skewed distribution of individual potential also suggests an overrepresentation of high performers. Despite the potential ratings being heavily skewed towards the high end of the 5-point scale, raters still utilized all points on the rating scale. One explanation for the skewed distribution is user error. Raters overutilized the top end of the scale which resulted in inflated ratings. Another likely explanation is spill-over. Since the survey contained all appraisal formats in one survey, it is possible that raters who rated SROs high in performance subsequently rated those SROs high in potential. The most likely explanation is that the survey captured a sample of very high performers. When looking at the sample population of SROs captured in our survey, both enlisted and officer personnel in the mid-to-senior ranks comprised most of the overall population. It is logical to assume that since these enlisted and officer personnel have already made it to the mid and senior ranks, that they are likely high performers. Additionally, it is worth noting the anonymity built into the survey. An anonymity clause provides no incentive for raters to inflate the ratings of an SRO, since nobody outside our research team would see the results.

Therefore, if a rater were evaluating a poor performer, it is likely they would rate the SRO accordingly.

3. Comparative Assessment: Christmas Tree Designation

Comparative assessments were made on a scale from "An Unqualified Sailor" (bottom of the tree) to "One of the very few best and most qualified" (top of the tree). The tiers within the tree represent percentiles, from top 5, 10, and 20% to the modal category (55%), and bottom 10 percent. Figure 4 illustrates the rating distributions of the Christmas Tree Designation. The distribution of percentile rankings is heavily skewed towards the top of the scale. The bottom two percentiles of the Christmas Tree saw a representation of only 9.56%. The *highly qualified* category resulted in a 20.43% representation, which is on par with the intended representation of 20%. 33.77% of SROs received a ranking of *few and best qualified* and 36.24% received a ranking of exceptionally qualified, resulting in 70% of SROs ranking in the top 15% in performance when compared to their peers (Helzer & Bacolod, 2022). Figure 4 provides further justification that the sample population captured in the survey consisted of high performers.

Figure 4.   Christmas Tree Designation. Source: Helzer and Bacolod (2022).

4. Promotion Recommendation

Figure 5 illustrates the distribution of promotion recommendations for SROs. The designations of *selected to next paygrade* and *recently promoted* represent 12.52% and 13.84% respectively. For the purposes of analyzing the overall distribution in this section, these two designations should be viewed separate from other designations as these SROs are not currently in zone for promotion to the next paygrade. Raters assigned 46.29% of SROs the designation of *promote now*, the highest recommendation. Raters assigned 17.63% of SROs the designation of *promote w/top 20% peers*, the second highest recommendation. In other words, 64% of SROs were assigned the top two promotion recommendations. 6.75% of SROs were assigned the designation of *promote with peers*, while the remaining 3% comprised designations of *promotion potential* and *retain at current paygrade*. Figure 5 provides further justification that the sample population captured in the survey consisted of high performers.
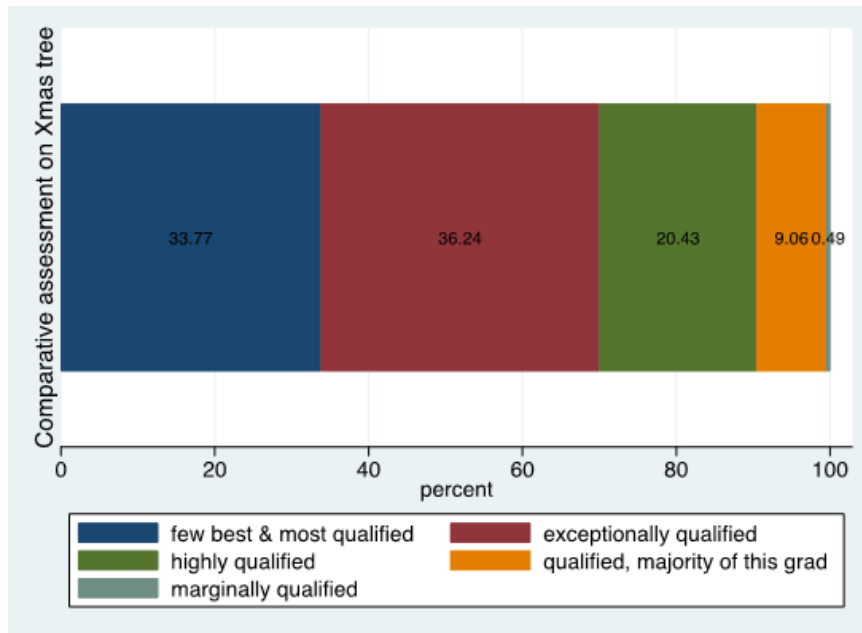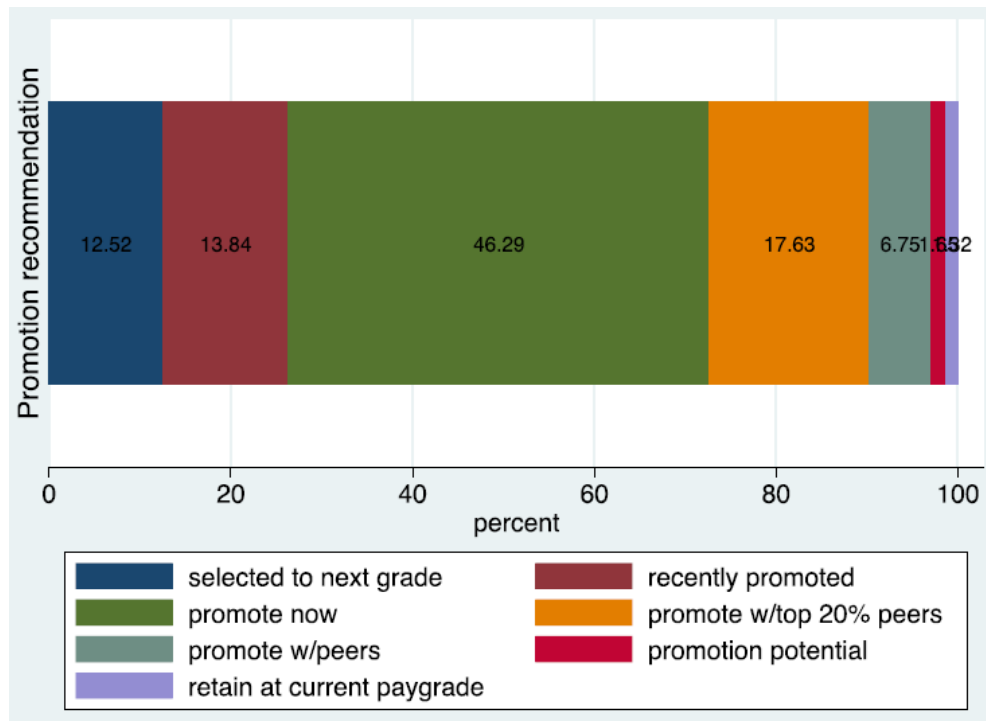

Figure 5.   Promotion Recommendation. Source: Helzer and Bacolod (2022).

E.   ORGANIZATIONAL BEHAVIORS

The fourth research question asked what the distribution of positive or negative work behaviors, such as organizational citizenship behaviors (OCB) and counterproductive work behaviors (CWB) were. This section will answer this question based on the data collected on frequency of engagement in these behaviors illustrated in Figure 6.
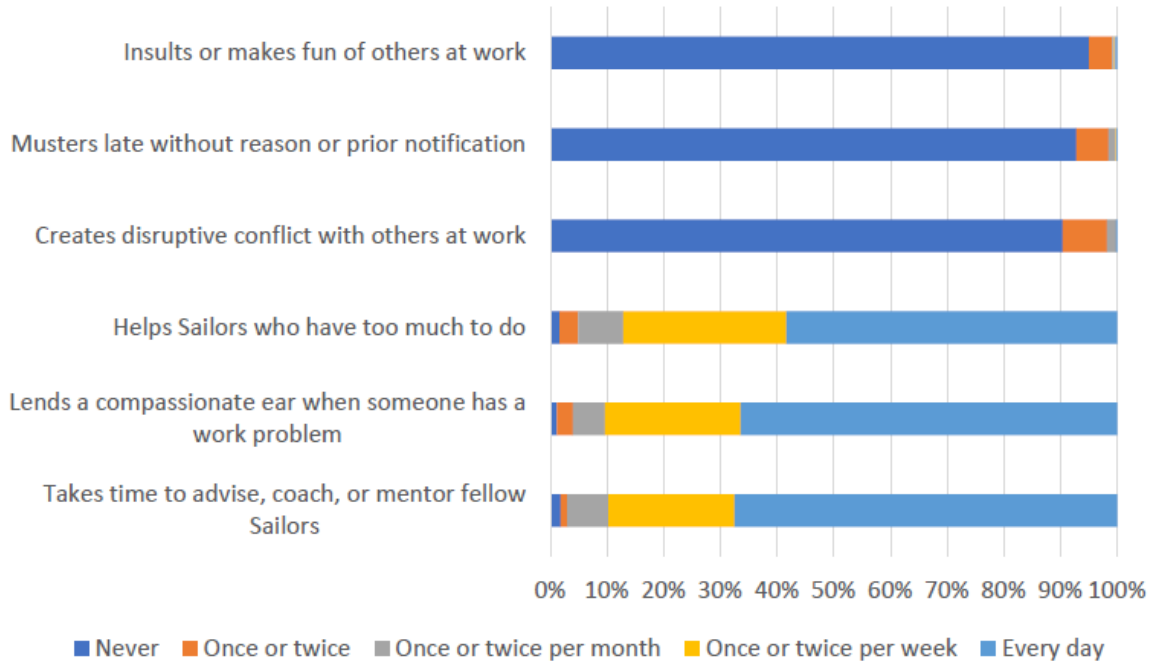
Figure 6.   Counterproductive Workplace and Organizational Citizenship Behaviors. Source: Helzer and Bacolod (2022).

Figure 6 illustrates the frequency of engagement in OCBs and CWBs by SROs. Three CWBs—*insults or makes fun of others at work*, *musters late without reason or prior notification*, *creates disruptive conflict with others at work*—comprise the top of Figure 6. Each of the three CWBs resulted in an extremely low frequency distribution, with raters indicating SROs never engage in CWBs 90% of the time at work. Three OCBs—*helps sailors who have too much to do*, *lends a compassionate ear when someone has a work problem*, *takes time to advise, coach, or mentor fellow sailors*—comprise the bottom of Figure 6. Each of the three OCBs resulted in a high frequency distribution. Raters indicated that SROs engage in the OCB "*helps sailors who have too much to do*" everyday (58%)

once or twice a week (29%), or once or twice a month (9%), with the remaining 4% being never, or once or twice ever. Raters indicated that SROs engage in the OCB "*lends a compassionate ear when someone has a work problem*" everyday (67%) once or twice a week (24%), or once or twice a month (5%), with the remaining 4% being never, or once or twice ever. Raters indicated that SROs engage in the OCB "*takes time to advise, coach, or mentor fellow sailors*" everyday (68%) once or twice a week (22%), or once or twice a month (7%), with the remaining 3% being never, or once or twice ever.

Leutner and Chamorro-Premuzic concluded that intelligence, as well as personality, are consistent predictors of job performance (Leutner & Chamorro-Premuzic, 2018). As cited by Leutner and Chamorro-Premuzic, a study by Gonzalez-Mulé et al. found that measures of intelligence can be used to predict counterproductive workplace behaviors (CWB) since they are more prevalent in individuals with lower intelligence (Gonzalez-Mulé et al., 2014). If intelligence is a consistent predictor of job performance and CWBs, then it is reasonable to suggest that the extremely low frequency distribution of CWBs in Figure 6 provides further justification that the sample population captured in the survey consisted of high performers.

V. SUMMARY AND RECOMMENDATIONS

A. SUMMARY

In summary, literature supports the use of the behaviorally anchored rating scale (BARS) method, comparative ranking method, potential appraisal, and OCBs/CWBs in evaluating performance and identifying top and bottom performers for promotion within an organization. The results of the prototype PES testing showed that raters did use all points on the rating scales of each respective assessment. However, these assessments yielded heavily skewed distributions with ratings clustering towards the high end of each scale. The results and analysis suggest that our mid-to-senior rank heavy SRO sample population captured in the survey consisted of high performers, which skewed the assigned ratings. The next section offers recommendations for future research to improve the efficacy and utilization of the prototype PES.

B. RECOMMENDATIONS FOR FUTURE RESEARCH

1. Actionable Feedback

As stated in Luke (2022), the Navy is constantly evolving, and with evolution comes the introduction of new values and goals that drive expectations and personnel management. One of the two major Sailor 2025 priorities is for leaders to provide their sailors with "immediate performance feedback and a clearer understanding of development opportunities within their career" (Commander of Naval Education Training Command [NETC], n.d.). To achieve this, the Navy plans to shift from their current performance evaluation model to a model rooted in "coaching and development" (Luke, 2022 p. 54).

If the Navy's goal is to shift to a coaching and development-based model, modifications to the existing PES must be indicative of that approach. The proposed PES model that resulted from the efforts of the research team contains four different elements of performance appraisal. The first element is an individual performance appraisal using BARS methodology, with a numerical rating scale with no qualitative feedback. The second element is a potential appraisal with a rating scale utilizing verbiage spanning the spectrum of "ready" and "not ready," with comment blocks for actionable feedback on how

the SRO can become ready. The third element is a comparative assessment of the SRO's potential against that of their peers followed by the assignment of a designator for promotion recommendation. The final element consisted of two parts, ratings of organizational citizenship behaviors (OCB) and counterproductive work behaviors (CWB). Like the first element of performance appraisal, the third and fourth elements do not contain a feedback option.

The strictly numerical 1 to 5 response scale in the performance appraisal does not directly offer sailors the benefit of actionable feedback. However, in the potential appraisal rating scale, responses of "not ready" prompted raters to give qualitative, developmental feedback to the SRO. For example, an SRO receiving a potential appraisal of 1 on any of the six dimensions of potential, would receive comments from their rater including developmental feedback for the SRO.

Though a sailor's ratings for each of the 8 broad traits give them an idea of where they stand with regards to their performance, what actionable feedback does this provide the sailor, particularly a junior sailor or junior officer? How will they improve their abilities and what is the impetus for that upward change in performance? An example of verbiage that elicits actionable feedback for a rating of 1 and 2 respectively could be:

1.   Counseling Required; OR Tutelage Recommended

2.   Progressing (Recognized Improvement), Counseling Optional; OR Exhibits Development

This type of verbiage not only infers that improvement is necessary but provides the means, and therefore, the impetus, to do so. It is also indicative of a coaching and development model that provides sailors with "immediate performance feedback and a clearer understanding of development opportunities within their career" (Commander of Naval Education Training Command [NETC], n.d.).

It is my personal recommendation that future research be conducted to evaluate the efficacy of actionable feedback, rating scale verbiage in eliciting improved performance in sailors.

2.   RSCA Inclusion

A potential weakness of the proposed performance appraisal prototype is that it does not feed into a reporting senior's RSCA. The decision not to incorporate RSCA into the performance prototype removes a large constraint on ratings offered by raters using the prototype PES. The research team opted to not have the performance appraisal feed into a RSCA, to allow ratings to be unconstrained. It is unclear what effect incorporating RSCA would have on performance appraisal ratings. However, if our goal is to holistically appraise an individual (performance and potential), then a reporting senior's RSCA needs to reflect both appraisals. Though performance and potential are assessed as separate entities, they are symbiotic. Having the performance appraisal feed into RSCA could potentially counteract complacency and subjectivity by encouraging intentional and honest assessment of an individual by a reporting senior. In turn, this also potentially increases the efficacy of the proposed prototype PES.

It is my personal recommendation that future research be conducted to evaluate the efficacy of performance appraisal ratings feeding directly into RSCA, in counteracting rater subjectivity and complacency.

3.   Gaining Stakeholder Buy-In

Overhauling the Navy's PES and the future implementation of a modified evaluation tool is a significant organizational change that, to be effective, must garner substantial stakeholder buy-in. Key stakeholders include CNP, senior N1 leadership at NPC, and Navy personnel at large since they will be directly affected by the change. As with any major change within an organization, there is usually initial resistance. Garnering substantial stakeholder buy-in requires a net assessment of general organizational change challenges, organization change challenges specific to the Navy, and Navy specific challenges within the context of the prototype PES. Only after a net assessment is executed can the implementation of a new Navy PES tool be considered.

In today's modern age, to continue to exist and succeed, organizations are forced to adapt to the various and rapid changes in the economy. Due to the necessity for expeditious evolution, organizations are increasingly facing the challenges of managing

internal changes. These changes range from tangible changes, such as new or amended policies, to intangible changes, such as shifts in organizational culture. To effectively implement these changes, an organization must first identify, and then mitigate, the common obstacles that often result in change failure. Ronald R. Sims' book "Changing the Way We Manage Change" identifies six general, common obstacles that must be overcome to effectively implement changes within an organization. See Table 5 below for a list of the six common obstacles and their respective descriptions.

Table 5.   Org. Change Obstacles. Adapted from Sims (2002)

Absence of Clear Change Leadership	Leaders lack credibility, opt for bureaucratic solutions, and lack the ability to lead fellow management to an agreed upon course of action.
Change Initiative Burnout	Overburdening employees with change initiatives and constant shifts in strategic priorities. Leads to a "This too shall pass" mentality.
Stifling Organizational Culture	The antithesis of a learning organization. What has worked in the past is still the key to success, no innovation or creativity.
Top Management Turmoil	Lack of direction stemming from frequent turnover in high level management. New leaders, new direction for the same change initiative, regardless of the merits of the preceding direction.
Lack of Urgency	An inability to promote the importance and value of the change initiative in a timely manner. If the change initiative is not a priority, it will fade.
Poor Implementation	Poor execution due to resource constraints and/or inability to clearly state the goals and benefits of the change initiative.

Though not part of private industry, the Department of the Navy is subject to similar organizational change challenges. A brief case study of the Navy's Navy Personnel and Pay (NP2) integrated personnel system, an ongoing major change initiative, will help identify common change obstacles experienced by the Navy as an organization. "As of now, the IT infrastructure that supports the Navy's manpower and training needs is made up of 55 separate systems. Ten of those are at least 30 years old, and incremental upgrades over time have only made them more complex and expensive to maintain. The software

they run is written in 21 different programming languages, riding on nine different operating systems spread across 73 data centers and networks" (Serbu, 2019, no page). NP2 is a Navy acquisition program intended to integrate these systems and capabilities. Arguably, the most highly touted benefit of NP2 will be its ability to streamline the Navy's pay and entitlements process. However, this is not yet reality. In the summer of 2021, several attempts to migrate legacy systems over to NP2 failed, causing severe delays in thousands of sailors without pay and healthcare for months as well as their military IDs becoming inactive resulting in loss of base access. Furthermore, the decision to prematurely begin shutting down Personnel Support Detachments (PSD) around the country, in anticipation of NP2, has resulted in a tremendous volume of unprocessed pay and support transactions. The end result is less manpower to process the same number of annual transactions on existing legacy systems. Though the Navy is doing everything it can to resolve these ongoing, and seemingly unforeseen, issues, the question remains—what are the root causes that have the NP2 change initiative on the precipice of failure?

A sailor with enough years in the service might wonder why leadership did not learn from the failure of NP2's predecessor from the late 1990s to early 2000s, the Defense Integrated Military Human Resources System (DIMHRS). A report on DIMHRS from the Government Accountability Office (GAO) found that the DOD had "not ensured that the detailed requirements are complete and understandable…" (U.S. GAO, 2005) and that they were "…still determining whether the data requirements provided to the contractor for system design are complete" (U.S. GAO, 2005). The report also stated that the "…DOD's program plan/schedule does not adequately recognize the needs of end-user organizations for the time and resources to integrate DIMHRS (Personnel/Pay) with their respective legacy systems and to prepare their workforces for the organizational changes that the system will introduce" (U.S. GAO, 2005). Having been recruited for NP2 design requirements myself, as a subject matter expert in reserve pay, I can say I witnessed change initiative burnout firsthand. Other members of the team remembered DIMHRS and were disinterested in providing quality feedback to the NP2 contractors as they felt "this too shall pass." Other change initiative obstacles evident in the NP2 case study were top management turmoil (constant turnover of NP2 design team members) at the mid-level of

the organization and absence of clear change leadership at the top level of the organization (decision to prematurely shut down PSDs).

When applying the lessons of the NP2 case study to the PES prototype, the absence of clear change leadership, change initiative burnout, poor implementation, and lack of urgency are the most prominent obstacles preventing a new PES tool from becoming a successful change initiative. If the Navy is investing time and resources into this five-year research project, then they must be willing to mitigate these obstacles by gaining stakeholder-buy-in. According to Sims, one of the best, and often most overlooked, ways of gaining stakeholder-buy-in and mitigating these change obstacles is through increased employee involvement. To ensure the success of a new PES tool change initiative, we must first establish the necessary level of employee involvement. This means "…going beyond the one or two handfuls of individuals…and involving hundreds, even thousands, of employees…" (Sims, 2002 p. 42). Next, we must embrace open dialogue to ensure an effective feedback loop system in the change process. The NPS research team in conjunction with NPC has already taken steps towards this effort in the approach we used to execute our survey administration and prototype testing.

To increase employee involvement during a potential rollout phase, a large number of naval commands (of various echelons and communities) should be identified as test beds for the prototype PES tool. Each command will identify a small team that will oversee the testing of 25% of command personnel over the course of one year, utilizing the prototype. During the one-year test phase, the prototype PES tool could be in a user-friendly, interactive SharePoint format, linked to NPS servers for research data collection. There could also be a means for the team leaders and SROs to provide usable feedback to the NPS research team. This change process would vastly increase employee involvement and embrace open dialogue, making our sailors an actual part of the change process.

It is my personal recommendation that future studies be conducted, via surveys to Navy personnel of all ranks, to determine the efficacy of the aforementioned change process garnering sufficient stakeholder-buy-in for a new PES tool change initiative.

4. Subjectivity and Adverse Impacts

To definitively assess rater subjectivity and/or objectivity, utilizing the proposed prototype PES tool, the research team must merge the history of performance records with data collected in this research project. A thorough analysis of historical performance data can identify areas of high rater subjectivity as well as areas of high adverse impact on specific demographics such as race, gender, and rank. A deeper analysis could also potentially identify which communities within the Navy are most prone to rater subjectivity. These data points can then be used to make further adjustments to the prototype PES tool to further mitigate rater subjectivity. This can be accomplished through regression analysis examining relationships between prototype TVS ratings and historical performance data. For example, if a regression analysis of historical performance ratings identifies a distribution of lower ratings for leadership amongst lieutenants, compared to other officer ranks, this could suggest an adverse impact on the O-3 paygrade.

Humans rely on heuristic frameworks to make decisions and judgments expeditiously and efficiently. However, we still fall victim to common biases such as the halo/horn effect. In the context of this thesis, this bias suggests that a reporting senior may place far more value on one aspect of an SRO than another. For example, when assessing an SRO's performance, the reporting senior may place more value on the SRO's high productivity (positive) than on the SRO's inability to work within a team (negative). Some other commonly experienced biases in SRO assessment, even during promotion boards, are confirmation bias, primacy/recency effect, sunk cost fallacy, and the band wagon effect. Fortunately, servicemembers identified to assist with promotion boards are required to watch a short, NPC video on biases and heuristics as part of their pre-promotion board preparation. If members of the promotion boards, and those assisting them, are mitigating subjectivity prior to assessing individuals for promotion, then so too should reporting seniors when assessing individuals for performance and potential.

To promote the right individuals to the next paygrade, maximizing objectivity in practice and in the assessment tool itself must be the desired goal. Self-awareness is key when attempting to mitigate commonly experienced biases. However, self-awareness can only mitigate these factors of subjectivity so much. Therefore, it is my personal

recommendation that the history of performance records be merged into the study, to create a performance evaluation tool that significantly reduces rater subjectivity and any adverse impacts on demographics.

APPENDIX A. ORIGINAL TRAIT AND VALUE STATEMENTS

Sub-traits and Associated Value Statements for the trait of CHARACTER	
The characteristic of, CHARACTER, is defined as: Conduct in accordance with the Navy Ethos and Navy Core Values. Includes the combination of traits and moral and ethical qualities that are revealed through an individual's consistent behaviors, on and off duty. 14	
Sub-trait	**Associated Value Statement**
Responsibility	Takes responsibility for actions regardless of consequences
Responsibility	Acknowledges and corrects mistakes
Ethics	Adheres to the Navy standards of ethical conduct at all times
Ethics	Demonstrates high standard of personal and professional behavior
Ethics	Does not misrepresent self or use position or authority for personal gain
Ethics	Holds self-accountable to Navy core values
Integrity	Is honest and forthcoming
Integrity	Displays actions that are in-line with stated intent
Respect	Demonstrates respect for others' values and customs
Respect	Treats others with dignity and respect
Moral Courage	Morally steadfast in the face of opposing pressure
Moral Courage	Does the right thing, even when it is difficult
Professionalism	Uses discretion when handling the sensitive personal information of others
Professionalism	Avoids situations and actions considered inappropriate
Sub-traits and Associated Value Statements for the trait of Leadership	
The characteristic of, LEADERSHIP, is defined as: The ability to influence and inspire others by providing a shared sense of purpose, direction, and vision. Includes the knowledge and appropriate use of motivational resources for guiding others toward achievement of a goal or objective.16	
Sub-trait	**Associated Value Statement**
Goals and Expectations	Provides direction in crisis situations
Goals and Expectations	Ensures all members understand their role and responsibilities
Personnel Development	Addresses performance issues promptly and corrects poor performance
Personnel Development	Holds others accountable to job performance standards
Feedback	Provides consistent performance feedback to others
Feedback	Creates a culture that encourages feedback
Inclusion	Creates a positive work environment where all staff are motivated to do their best
Inclusion	Fosters a culture of respect within the organization

Wellness	Recognizes and addresses signs of stress in others
Wellness	Guides others to seek support through available wellness resources
Delegation	Delegates tasks and responsibilities appropriately
Delegation	Allows others to make decisions or take charge
Motivation	Motivates others toward achieving desired results
Motivation	Provides recognition for superior performance
Change Management	Clarifies priorities when leading change
Change Management	Persuades others to approach issues in an open, constructive, professional manner

Sub-traits and Associated Value Statements for the trait of Initiative and Drive
The characteristic of, INITIATIVE AND DRIVE, is defined as: Takes independent and proactive action to contribute to the accomplishment of objectives and goals. Includes the identification, ownership, and follow-through of activities with little to no direction.8

Sub-trait	Associated Value Statement
Innovation	Initiates improvements through new methods or practices
Innovation	Identifies and recommends innovative ways to address inefficiencies
Personal Development	Seeks learning opportunities to enhance job performance
Personal Development	Acquires new competencies, methods, and information to improve efficiency and effectiveness
Independence	Takes appropriate action in the absence of specific direction
Independence	Proactively addresses problems
Volunteering	Seeks opportunities to contribute
Volunteering	Willingly puts in extra time and effort

Sub-traits and Associated Value Statements for the trait of Teamwork
The characteristic of, TEAMWORK, is defined as: Develops, supports, participates in, and maintains positive work relationships to facilitate the accomplishment of shared goals. Includes collaboration with others, inside and outside of the organization.6

Sub-trait	Associated Value Statement
Team Pride	Demonstrates inclusion and actively supports teamwork and team spirit
Team Pride	Supports unit cohesion
Relationships	Develops productive working relationships
Relationships	Supports group decisions even when not in total agreement
Contribution	Collaborates with others in identifying solutions
Contribution	Provides assistance to teammates when they need it

Sub-traits and Associated Value Statements for the trait of Communication
The characteristic of, COMMUNICATION, is defined as: The exchange of information and ideas. Includes all messages that an individual sends and receives, through verbal, written, and non-verbal channels.
14

Sub-trait	Associated Value Statement

Listening	Listens attentively to people's ideas and concerns
Listening	Allows others to speak without unnecessarily interrupting them
Comprehension	Actively listens to ensure comprehension
Comprehension	Asks for clarification when unsure of what is being said or asked
Clarity	Communicates clear, well-defined expectations for others' work
Clarity	Presents information clearly, concisely, and logically
Non-verbal	Demonstrates appropriate use of nonverbal communication
Non-verbal	Reads body language, and adjusts tone and style accordingly
Feedback	Provides open and honest feedback
Feedback	Responds positively to feedback
Conflict Management	Addresses sensitive issues in ways that allow rational and open discussion
Conflict Management	Addresses issues in an open, constructive, professional manner
Information Sharing	Consults with supervisor, when necessary, to determine priorities
Information Sharing	Keeps leadership informed about progress and problems

Sub-traits and Associated Value Statements for the trait of Critical Thinking and Decision Making

The characteristic of, CRITICAL THINKING AND DECISION MAKING, is defined as: Seeks, identifies, and analyzes information from appropriate sources to understand issues, problems, and opportunities. Uses this information to make timely and informed choices to ensure the optimal course of action is taken. 8

Sub-trait	Associated Value Statement
Risk Assessment	Assesses risk throughout implementation of a course of action
Risk Assessment	Considers risk to mission before taking action
Planning	Consults multiple resources before making a decisive plan
Planning	Assesses potential barriers to new approaches
Evaluates Alternatives	Switches to a different strategy when an initial one is unsuccessful
Evaluates Alternatives	Elevates problems or risks to higher levels of decision-making when necessary
Problem Solving	Makes sound decisions with best available information
Problem Solving	Makes timely decisions with best available information

Sub-traits and Associated Value Statements for the trait of Resiliency and Toughness

The characteristic of, RESILIENCY AND TOUGHNESS, is defined as: The ability to maintain performance and self-control under pressure. Includes the ability to recover from or adjust to adversity or change.9

Sub-trait	Associated Value Statement
Coping	Engages in positive coping strategies
Coping	Willing to seek help when dealing with stress
Persistence	Maintains composure in stressful environments
Persistence	Maintains focus under adverse conditions
Persistence	Sustains workload during high operational tempo
Recovery	Responds to setbacks with renewed and increased efforts
Recovery	Recovers from setbacks or failures to accomplish mission
Adaptable	Remains flexible in the face of changing needs and demands
Adaptable	Adjusts to changing requirements
Sub-traits and Associated Value Statements for the trait of Mission Accomplishment and Productivity The characteristic of, MISSION ACCOMPLISHMENT AND PRODUCTIVITY, is defined as: Performance in assigned duties, roles, functions, and completion of tasks and assignments in accordance with established standards. Includes the rate of production and the quality of the output and the development, application, and sustainment of job-relevant knowledge, skills, and abilities.7	
Sub-trait	**Associated Value Statement**
Professional Competence	Demonstrates professional knowledge and technical ability in primary role
Professional Competence	Maintains working knowledge of governing documents affecting assigned areas
Time Management	Adheres to scheduled timelines for task completion
Time Management	Effectively uses time management to complete assigned tasks
Quality and Attention to Detail	Produces quality work
Quality and Attention to Detail	Adheres to safety procedures
Quality and Attention to Detail	Adheres to security procedures

Adapted from Navy Personnel Command (2020)

APPENDIX B. CROSS-TEXTUAL ANALYSIS AND RATING SCALE MODELS

USN INSPIRED						
CHARACTER	1	2	3	4	5	
Conduct in accordance with Navy Ethos and Navy Core Values. Includes the combination of traits and moral and ethical qualities that are revealed through an individual's consistent behaviors, on and off duty.	Fails to take responsibility for actions and adhere to Navy core values and ethical standards. Lacks integrity and the ability to exhibit prudence. Unable to be honest and forthcoming; unable to treat others with respect and dignity		Always takes responsibility for actions and adheres to Navy core values and ethical standards. Excellent integrity and ability to exhibit prudence. Always honest and forthcoming; Always treats others with respect and dignity		Exemplary personal responsibility for actions and adherence to Navy core values and ethical standards. Exemplary integrity and the ability to exhibit prudence. Exemplifies honesty; Measurably treats others with respect and dignity	
LEADERSHIP	1	2	3	4	5	
The ability to influence and inspire others by providing a shared sense of purpose, direction, and vision. Includes the knowledge and appropriate use of motivational resources for guiding others toward achievement of a goal or objective.	Fails to ensure all members understand their roles and responsibilities; Inadequate performance standards; Neglects appropriate delegation of tasks and responsibilities. Unable to create a professional, respectful, positive, and conducive work environment. Fails to provide and encourage feedback appropriate to performance. Neglects the wellness of others. Ineffective leadership in times of change or crisis.		Reinforces all members' understanding of their roles and responsibilities; Excellent performance standards; Effectively delegates tasks and responsibilities appropriately. Successfully creates a professional, respectful, positive, and conducive work environment. Always provides and encourage feedback appropriate to performance. Ensures others seek support through available wellness resources. Effective leadership in times of change or crisis.		Proactively ensures all members understand their roles and responsibilities; Superb performance standards; Efficiently delegates tasks and responsibilities appropriately. Exceptionally skilled in creating a professional, respectful, positive, and conducive work environment. Unmatched in accepting, providing, and encouraging feedback appropriate to performance. Places the wellness of others as a top priority. Exemplary leadership in times of change or crisis.	

INITIATIVE & DRIVE	1	2	3	4	5	
Takes independent and proactive action to contribute to the accomplishment of objectives and goals. Includes the identification, ownership, and follow-through of activities with little to no direction.	Neglects problems in the absence of specific direction; Exhibits lack of effort; Avoids opportunities to contribute and innovate. Avoids learning opportunities to acquire new competencies, methods, and information to enhance job performance.		Effectively addresses problems in the absence of specific direction; Strong work ethic and visible effort; Always seeks opportunities to contribute and innovate. Always seeks learning opportunities to acquire new competencies, methods, and information to enhance job performance.		Proactively addresses problems in the absence of specific direction; Exemplary worth ethic and measurable effort; Superbly facilitates and utilizes opportunities to contribute and innovate. Talented mentor; Provides and encourages learning opportunities to acquire new competencies, methods, and information to enhance job performance.	
TEAMWORK	1	2	3	4	5	
Develops, supports, participates in, and maintains positive work relationships to facilitate the accomplishment of shared goals. Includes collaboration with others, inside and outside of the organization.	Fails to support unit cohesion through the development of productive working relationships and team wellness. Demonstrate a lack of inclusion and camaraderie; Unable to actively support collaborative solutions and group consensus		Reinforces unit cohesion through the development of productive working relationships and team wellness. Demonstrates inclusion and camaraderie by actively supporting collaborative solutions and group consensus		Inspires unit cohesion through innovative development of productive working relationships and team wellness. Unmatched in demonstrating inclusion and camaraderie; Exceptionally skilled in facilitating collaborative solutions and group consensus	

COMMUNICATION	1	2	3	4	5
The exchange of information and ideas. Includes all messages that an individual sends and receives, through verbal, written, and non-verbal channels.	Fails to listen to and comprehend the ideas and concerns of others while; Unable to read and appropriately utilize non-verbal communication. Unable to addresse issues in an open, professional, and rational manner; Fails to provide and is unwillingly to receive feedback. Lacks ability to communicate clearly and concisely with leadership and subordinates about progress and problems. Unwilling to seek clarification from leadership and subordinates when necessary		Actively listens to and comprehends the ideas and concerns of others; Effectively reads and appropriately utilizes non-verbal communication. Competently addresses issues in an open, professional, and rational manner; Always provides and willingly receives feedback. Always communicates clearly and concisely with leadership and subordinates about progress and problems. Willingly seeks clarification from leadership and subordinates when necessary.		Fosters a culture of active listening; Exceptional at reading and appropriately utilizing non-verbal communication. Prioritizes conflict resolution in an open, professional, and rational manner; Initiates and encourages feedback. Exceptional communicator; clearly and concisely discusses progress and problems Willingly seeks and provides clarification from leadership and subordinates when necessary.
CRITICAL THINKING & DECISION-MAKING	1	2	3	4	5
Seeks, identifies, and analyzes information from appropriate sources to understand issues, problems, and opportunities. Uses this information to make timely and informed choices to ensure the optimal course of action is taken.	Fails to analyze risk while remaining flexible and objective. Unable to collaboratively assesse risks and barriers prior to planning and execution. Neglects integration of time and risk management to produce optimal decisions.		Always demonstrates continuous analyzation of risk while remaining flexible and objective. Ensures collaborative assessessment of risks and barriers prior to planning and execution Effectively integrates time and risk management to produce optimal decisions		Develops innovative ways to analyze risk; prioritizes flexibility and objectivity. Inspires collaborative assessessment of risks and barriers prior to planning and execution. Exceptionally skilled at integrating time and risk management to produce optimal decisions.

MISSION ACCOMPLISHMENT & PRODUCTIVITY	1	2	3	4	5
Performance in assigned duties, roles, functions, and completion of tasks and assignments in accordance with established standards. Includes the rate of production and the quality of the output and the development, application, and sustainment of job-relevant knowledge, skills, and abilities.	Neglects safe and secure mission execution; lack of knowledge and adherence to policy and procedure. Fails to integrate time management and subject matter expertise to provide a quality product.		Always ensures safe and secure mission execution through knowledge and adherence to policy and procedure. Effectively integrates time management and subject matter expertise to provide a quality product.		Prioritizes safe and secure mission execution; Expert knowledge and adherence to policy and procedure. Exceptionally skilled at integrating time management and subject matter expertise to provide a quality product.
RESILIENCY & TOUGHNESS	1	2	3	4	5
The ability to maintain performance and self-control under pressure. Includes the ability to recover from or adjust to adversity or change.	Fails to exhibit poise and flexibility while executing duties in the face of adversity. Unable to seek and engage in positive coping mechanisms; Does not respond with tenacity and renewed purpose.		Always exhibits poise and flexibility while executing duties in the face of adversity. Willingly seeks and engages in positive coping mechanisms and responds with tenacity and renewed purpose		Develops a culture of poise and flexibility; Exceptionally skilled at overcoming adversity. Constantly encourages positive coping mechanisms; Inspires others to respond with tenacity and renewed purpose.

USMC INSPIRED						
USMC uses a 7-point rating scale, with 7 as highest. Rating 1 triggers an adverse report. Rating 1 or 7 HAS to be justified in a comment section.						
1- Adverse	2	3	4	5	6	7
CHARACTER						
1. RESPONSIBILITY & ETHICS. [not a USMC subtrait but overlaps with Courage]						
	Accepts responsibility commensurate with scope of duties and experience. Willing to hold self accountable to Navy values and standards.		Takes responsibility for actions regardless of consequences. Holds self accountable to Navy core values and ethical standards.		Always takes responsibility for actions, placing conscience over competing interests, regardless of physical or personal consequences. Always holds self accountable to highest Navy core values and ethical standards.	
2. MORAL COURAGE. [closest to USMC subtrait Courage]						
	Demonstrates inner strength commensurate with scope of duties and experience. Willing to face moral challenges in pursuit of mission accomplishment.		Guided by conscience in all actions. Proves to do the right thing, even when it is difficult. Uses discretion and avoids inappropriate situations and actions.		Uncommon bravery and capacity to act and overcome obstacles and inspire others even in the face of moral dilemma. Demonstrated under the most adverse conditions. Selfless.	
3. INTEGRITY & RESPECT. [not a USMC subtrait, but may overlap with USMC subtrait Setting the Example under Leadership trait]						
	Exhibits discipline?		Is always honest and forthcoming. Consistently treats others with dignity and respect.		Upholds the highest degree of integrity and treats others with dignity and respect in professional and personal life. Exemplary conduct, behavior, and actions are tone-setting.	

LEADERSHIP						
1. [closest to USMC sub-trait LEADING SUBORDINATES]						
	Engaged; provides instructions and directs execution. Seeks to accomplish mission in ways that sustain motivation and morale. Actions contribute to unit effectiveness.		Ensures all members understand their roles and responsibilities. Maintains performance standards. Delegates tasks and responsibilities appropriately. Achieves a highly effective balance between direction and delegation. Effectively tasks subordinates and clearly delineates standards expected.		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.	
2. [closest to USMC sub-trait DEVELOPING SUBORDINATES]						
	Maintains an environment that allows personal and professional development.		Creates a constructive, professional, and respectful positive work environment where all are motivated toward achieving desired results. Creates an environment where all team-members are confident to learn through trial and error.		Widely recognized and emulated as a leader. Any sailor would desire to serve under this leader because they know they will grow personally and professionally. Subordinate and unit performance far surpassed expected results due to officer's team building talents.	
3. [closest to USMC sub-trait EVALUATION RESPONSIBILITIES.]						
	Occasionally submitted untimely or administratively incorrect feedback and evaluations. As RS, submitted one or more reports that contained inflated markings.		Provides and encourages feedback appropriate to performance. Prepares uninflated evaluations that are consistently submitted on time. Evaluations accurately describe performance. Few, if any, reports were returned for administrative errors. Section 41 are void of superlatives. Justifications are specific, verifiable, substantive, and where possible, quantifiable and support the markings given.		Provides and encourages feedback appropriate to performance. No reports submitted late. No reports returned for administrative correction or inflated markings. Returned incorrect reports to subordinates for correction.	
4. WELLNESS.						
	Deals confidently with issues pertinent to subordinate welfare and recognizes suitable courses of action that support subordinates' well-being. Applies available resources.		Actively guides others to seek support through available wellness resources. 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 problems before they can hinder subordinates' effectiveness.	
5. [closest to USMC sub-trait EFFECTIVE UNDER STRESS]						
	Exhibits discipline and stability under pressure. Judgment and effective problem-solving skills are evident.		Effectively leads in times of change or crisis. 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 leadership.	

INITIATIVE AND DRIVE			
1. INITIATIVE [USMC sub-trait under CHARACTER]			
	Demonstrates willingness to take action in the absence of specific direction. Acts commensurate with grade, training, and experience.	Proactively addresses problems in the absence of specific direction. Willingly puts in extra time and effort. Seeks opportunities to contribute and innovate.	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.
2. [closest to USMC sub-trait PME]			
	Maintains currency in required military compentencies and skills. Has completed or is enrolled in appropriate level of training/education for grade and level of experience.	Seeks learning opportunities to acquire new competencies, methods, and information to enhance job performance. Training and education outlook extends beyond current job and required education.	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.
TEAMWORK			
1. [not a USMC subtrait, seems similar to Leading Subordinates and Developing Subordinates under Leadership USMC trait]			
		Demonstrates inclusion and support of teamwork. Collaborates with and assists teammates in identifying solutions. Develops productive working relationships	
2. [not a USMC subtrait]			
		Actively supports unit cohesion and group decisions even when not in complete agreement	

COMMUNICATION [MB thought: can boil down sub-traits to one on effective communication to enable leadership/mission accomplishment]			
1. [overlaps with COMMUNICATION as USMC sub-trait under Leadership]			
	Skilled in receiving information. Communicates effectively in performance of duties.	Actively listens to people's ideas and concerns to ensure comprehension; allows others to speak without unnecessary interruptions; asks for clarification when unsure of what is being said or asked.	Displays an intuitive sense of when and how to listen. Efficiently transmits and receives thoughts and ideas to enable and enhance leadership.
2. [COMMUNICATION is a USMC subtrait closest to this factor]			
	Skilled in conveying information. Communicates effectively in performance of duties.	Presents information clearly, concisely, and logically. Communication in verbal and written forms is accurate, intelligent, concise, and timely.	Highly developed facility in verbal communication. Adept in composing written documents of the highest quality.
3. [not a USMC subtrait]			
		Addresses sensitive issues in an open, constructive, professional manner allowing for rational and open discussion.	
4. [not a USMC subtrait]			
		Keeps leadership informed about progress and problems; consults with supervisor when necessary to determine priorities.	
CRITICAL THINKING AND DECISION-MAKING			
1. [overlaps with DECISION MAKING ABILITY, USMC subtrait under INTELLECT & WISDOM]			
	Makes sound decisions leading to mission accomplishment. Collects and evaluates information and weighs alternatives to achieve timely results.	Manages time and risk effectively to produce optimal decisions. 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.
2. [overlaps with DECISION MAKING ABILITY, USMC subtrait under INTELLECT & WISDOM]			
	Confidently approaches problems; accepts responsbility for outcomes	Remains flexible and objective in response to changing circumstances. Demonstrates mental agility; effectively prioritizes and solves multiple complex problems.	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 desire for perfect knowledge and greater tempo.
3. [close to JUDGMENT, USMC subtrait under INTELLECT & WISDOM]			
	Majority of judgments are measured, circumspect, relevant, and correct.	Effectively integrates best available information in planning and execution. Able to identify, isolate, and assess relevant factors in the decision making process. Subordinates personal interest in favor of impartiality.	Decisions reflect exceptional insight and wisdom beyond experience. Counsel sought by all. Consistent, superior judgment inspires confidence of seniors.

MISSION ACCOMPLISHMENT AND PRODUCTIVITY		
1. [close to USMC PROFICIENCY subtrait]		
Competent. Possesses the requisite range of skills and knowledge commensurate with grade & experience.	Ensures safe and secure mission execution through knowledge and adherence to policy and procedure. Demonstrates mastery of all required skills.	Translates broad-based education and experience into forward thinking, innovative actions. Makes immeasurable impact on mission accomplishment. Knowledge and skills impact far beyond those of peers.
2. [close to USMC PERFORMANCE subtrait]		
Meets requirements of billet and additional duties. Aptitude, commitment, and competence meet expectations. Results maintain status quo.	Effectively integrates time management and subject matter expertise to provide quality results consistently.	Results far surpass expectations. Recognizes and exploits new resources; creates opportunities. Impact significant; innovative approaches to problems produce significant gains in quality and efficiency.
RESILIENCY AND TOUGHNESS [MB thought: combine the factors below into one]		
1. [seems similar to sub-trait EFFECTIVE UNDER STRESS under Leadership]		
Exhibits discipline and stability under pressure. Judgment and effective problem-solving skills are evident.	Exhibits poise and flexibility while executing duties in the face of adversity.	Demonstrates seldom-matched presence of mind under the most demanding circumstances. Stabilizes any situation through the resolute and timely application of direction, focus, and leadership.
	Seeks and engages in positive coping mechanisms when under stress.	
	Recovers from setbacks with tenacity and renewed purpose.	

USCG INSPIRED								
CHARACTER	1	2	3	4	5	6	7	N/O
From revised TVS: Takes responsibility for actions regardless of consequences; holds self accountable to Navy core values and ethical standards. Does the right thing, even when it is difficult; uses discretion and avoids inappropriate situations and actions.		From USCG ('responsibility'): "Actions demonstrated questionable ethics or lack of commitment. Tolerated indifference or failed to hold subordinates accountable. Allowed organization to absorb personnel problems rather than confronting them as required. Tended not to speak up or get involved. Provided minimal support for decision counter to own ideas."		From USCG ('responsibility'): "Held self and subordinates personally and professionally accountable. Spoke up when necessary, even when expressing unpopular positions. Supported organizational policies and decisions which may have been counter to own ideas. Committed to the successful achievement of organizational goals."		From USCG ('responsibility'): "Integrity and ethics beyond reproach. Always held self and subordinates to highest standards of personal and professional accountability. Did the right thing even when it was difficult. Succeeded in making even unpopular policies or decisions work. Actions demonstrated unwavering commitment to achievement of organizational goals."		
Is honest and forthcoming; treats others with dignity and respect.		From USCG ('professional presence'): "Unaware of general [CG] objectives; uncooperative or biased in interactions. Lost composure in difficult situations. Conveyed poor image of self and [CG]. Ignorant of or sloppy with common military courtesies. Uniform appearance and grooming below standard. Failed to display the core values of [honor, respect, and devotion to duty]."		From USCG ('professional presence'): "Knowledgeable in how the [CG] objectives serve the public; cooperative and fair in all interactions. Composed in difficult situations. Conveyed positive image of self and [CG]. Well versed in military etiquette; precise in rendering and upholding military courtesies. Great care in uniform appearance and grooming. Abided by the core values of [honor, respect, and devotion to duty]."		From USCG ('professional presence'): "Always self-assured, projected ideal [CG] image. Poised in response to others' provocative actions. Contributed leadership role in civilian/military community. Exemplified and held others accountable for the core values and finest traditions of military customs and protocol. Meticulous uniform appearance and grooming; inspired similar standards in others."		

LEADERSHIP	1	2	3	4	5	6	7	N/O
From revised TVS: Ensures all members understand their roles and responsibilities; maintains performance standards; delegates tasks and responsibilities appropriately. Creates a constructive, professional, and respectful positive work environment where all are motivated toward achieving desired results. Provides and encourages feedback appropriate to performance. Guides others to seek support through available wellness resources. Effectively leads in times of change or crisis.		From USCG ('directing others'): "Showed difficulty in directing or influencing others. Low or unclear work standards reduced productivity. Failed to hold subordinates accountable for shoddy work or irresponsible actions. Unwilling to delegate authority to increase efficiency of task accomplishment."		From USCG ('directing others'): "A leader who earned others' support and commitment. Set high work standards; clearly articulated job requirements, expectations, and measurement criteria; held subordinates accountable. When appropriate, delegated authority to those directly responsible for the task."		From USCG ('directing others'): "An inspirational leader who motivated others to achieve results not normally attainable. Won people over rather than imposing will. Clearly articulated vision; empowered subordinates to set goals and objectives to accomplish tasks. Modified leadership styles to best meet challenging situations."		
		From USCG ('workplace climate'): Intolerant of individual differences; exhibited discriminatory tendencies toward others. Tolerated or contributed to an uncomfortable or degrading climate which alienated people. Failed to take responsibility for own words and actions and their impact on others."		From USCG ('workplace climate'): "Valued individual differences and encouraged open communication and respect. Supportive of human resources initiatives to promote a climate which values fairness, dignity, creativity, and diverse perspectives. Took responsibility for own words and actions and their impact on others."		From USCG ('workplace climate'): "Optimized individual differences and prioritized open communication to ensure all personnel contribute to mission performance. Actively promoted human resources policies to create a climate where individuals of diverse backgrounds and perspectives are included, valued, and respected."		

INITIATIVE & DRIVE	1	2	3	4	5	6	7	N/O
From revised TVS: Proactively addresses problems in the absence of specific direction; willingly puts in extra time and effort; seeks opportunities to contribute and innovate. Seeks learning opportunities to acquire new competencies, methods, and information to enhance job performance.		From USCG: "Postponed needed action. Implemented or supported improvements only when directed to do so. Showed little interest in career development. Feasible improvements in methods, services, or products went unexplored."		From USCG: "Championed improvement through new ideas, methods, and practices; self-starter. Anticipated problems and took prompt action to avoid or resolve them. Sought opportunities for own career development. Pursued productivity gains and enhanced mission performance by applying new ideas and methods."		From USCG: "Aggressively sought out additional responsibility. A self-learner. Made worthwhile ideas and practices work when others might have given up. Extremely innovative. Optimized use of new ideas and methods to improve work processes, decision-making, and service delivery."		

TEAMWORK	1	2	3	4	5	6	7	N/O
From revised TVS: Demonstrates inclusion and support of teamwork; collaborates with and assists teammates in identifying solutions; develops productive working relationships. Actively supports unit cohesion and group decisions even when not in complete agreement.		From USCG: "Used teams ineffectively or at wrong times. Conflicts mismanaged or often left unresolved, resulting in decreased team effectiveness. Excluded team members from vital information. Stifled group discussions or did not contribute productively. Inhibited cross functional cooperation to the detrimnent of unit or service goals."		From USCG: "Skillfully used teams to increase unit effectiveness, quality, and service. Resolved or managed group conflict, enhanced cooperation, and involved team members in decision process. Valued team participant. Effectively negotiated work across functional boundaries to enhance support of broader mutual goals."		From USCG: "Insightful use of teams raised unit productivity beyond expectations. Inspired high levels of espirit de corps, even in difficult situations. Major contributor to team effort. Established relationships and networks across a broad range of people and groups, raising accomplishments of mutual goals to a remarkable level."		

COMMUNICATION	1	2	3	4	5	6	7	N/O
From revised TVS: Actively listens to people's ideas and concerns to ensure comprehension; allows others to speak without unnecessary interruptions; asks for clarification when unsure of what is being said or asked. Presents information clearly, concisely, and logically. Addresses sensitive issues in an open, constructive, professional manner allowing for rational and open discussion. Keeps leadership informed about progress and problems; consults with supervisor when necessary to determine priorities.		From USCG: "Unable to effectively articulate ideas and facts; lacked preparation, confidence, or logic. Used inappropriate language or rambled. Nervous or distracting mannerisms detracted from message. Failed to listen carefully or was too argumentative."		From USCG: "Effectively expressed ideas and facts in individual and group situations; non-verbal actions consistent with spoken message. Communicated to people at all levels to ensure understanding. Listened carefully for intended message as well as spoken words."		From USCG: "Clearly articulated and promoted ideas before a wide range of audiences; accomplished speaker in both formal and extemporaneous situations. Adept at presenting complex or sensitive issues. Active listener, remarkable ability to listen with open mind and identify key issues."		
		From USCG: "Written material frequently unclear, verbose, or poorly organized. Seldom proofread. Often submitted correspondence which was grammatically incorrect, tailored to wrong audience, or delivered by an inappropriate medium."		From USCG: "Written material clear, concicse, and logically organized. Proofread conscientiously. Correspondence grammatically correct, tailored to an audience, and delivered by an appropriate medium. Subordinates' material reflected same high standards."		From USCG: "Clearly and persuasively expressed complex or controversial material, directly contributing to stated objectives. Written or published material brought credit to the Coast Guard. Actively educated subordinates in effective writing."		

CRITICAL THINKING & DECISION-MAKING	1	2	3	4	5	6	7	N/O
From revised TVS: Manages time and risk effectively to produce optimal decisions. Remains flexible and objective in response to changing circumstances. Effectively integrates best available information in planning and execution.		From USCG: "Decisions often displayed poor analysis. Failed to make necessary decisions, or jumped to conclusions without considering facts, alternatives, and impact. Did not effectively weigh risk, cost, and time considerations. Unconcerned with political drivers on organization."		From USCG: "Demonstrated analytical thought and common sense in making decisions. Used facts, data, and experience, and considered the impact of alternatives and political realities. Weighed risk, cost and time considerations. Made sound decisions promptly and with the best available information"		From USCG: "Combined keen analytical thought, an understanding of political processes, and insight to make appropriate decisions. Forucsed on the key issues and the most relevant information. Did the right thing at the right time. Actions indicated awareness of impact of decision on others. Not afraid to take reasonable risks to achieve positive results."		

MISSION ACCOMPLISHMENT & PRODUCTIVITY	1	2	3	4	5	6	7	N/O
From revised TVS: Ensures safe and secure mission execution through knowledge and adherence to policy and procedure. Effectively integrates time management and subject matter expertise to provide a quality product.		From USCG: "Routine tasks accomplished with difficulty. Results often late or of poor quality. Work had negative impact on department or unit. Maintained the status quo despite opportunities to improve."		From USCG: "Got the job done in all routine situations and in many unusual ones. Work was timely and of high quality; required same of subordinates. Results had a positive impact on department or unit. Continuously improved services and organizational effectiveness."		From USCG: "Maintained optimal balance among quality, quantity, and timeliness of work. Qualtiy of own and subordinates' work surpassed expectations. Results had a significant positive impact on unit or [Coast Guard]. Established clearly effective systems of continuous improvement."		
		From USCG: "Concentrated on unproductive activities or often overlooked critical demands. Failed to use people productively. Did not follow up. Mismanaged information, money or time. Used ineffective tools or left subordinates without means to accomplish tasks. Employed wasteful methods."		From USCG: "Effectively managed a variety of activities with available resources. Delegated, empowered, and followed up. Skilled time manager, budgeted own and subordinates' time productively. Ensured subordinates had adequate tools, materials, time and direction. Cost conscious, sought ways to cut waste."		From USCG: "Unusually skilled at bringing scarce resources to bear on the most critical of competing demands. Optimized productivity through effective delegation, empowerment, and follow-up control. Found ways to systematically reduce cost, eliminate waste, and improve efficiency."		

RESILIENCY & TOUGHNESS	1	2	3	4	5	6	7	N/O
From revised TVS: Exhibits poise and flexibility while executing duties in the face of adversity. Seeks and engages in positive coping mechanisms when under stress. Recovers from setbacks with tenacity and renewed purpose.		From USCG: "Got caught by the unexpected; appeared to be controlled by events. Set vague or unrealistic goals. Used unreasonable criteria to set priorities and deadlines. Rarely had plan of action. Failed to focus on relevant information."		From USCG: "Consistently prepared. Set high but realisitic goals. Used sound criteria to set priorities and deadlines. Used quality tools and processes to develop action plans. Identified key information. Kept supervisors and stakeholders informed."		From USCG: "Exceptional preparation. Always looked beyond immediate events or problems. Skillfully balanced competing demands. Developed strategies with contingency plans. Assessed all aspects of problems, including underlying issues and impact."		
		From USCG: "Unable to gauge effectiveness of work, recognized political realities, or make adjustments when needed. Overlooked or screened out new information. Overreacted or responded slowly to change in direction or environment. Ineffective in ambiguous, complex, or pressured situations."		From USCG: "Receptive to change, new information, and technology. Effectively used benchmarks to improve performance and service. Monitored progress and changed course as required. Effectively dealt with pressure and ambiguity. Facilitated smooth transitions. Adjusted direction to accomodate societal trends or political realities."		From USCG: "Rapidly assessed and adjusted to changing conditions, political realities, new information and technology. Very skilled at using and responding to measurement indicators. Championed organizational improvements. Effectively dealt with extremely complex situations. Turned pressure and ambiguity into constructive forces for change"		

TOPIC SPONSOR CONSOLIDATED

Consider this Sailor's actual behavior. Carefully review each dimension and then provide your rating of this Sailor's performance during this reporting period as listed below. **BE HONEST.**

CHARACTER:	1 ☐	2	3 ☐	4	5 ☐	N/O
Taking responsibility for actions regardless of consequences; holding self accountable to Navy core values and ethical standards. **Upholding the highest degree of integrity in professional and personal life.** Doing the right thing, even when it is difficult; using discretion and avoiding inappropriate situations and actions. Being honest and forthcoming; **treating others with dignity and respect.** **Bold** = Signature Behavior or Get Real, Get Better action	Struggled to take responsibility for actions. Demonstrated a lack of judgment and alignment between Navy core values and behavior in professional or personal contexts. Acted inappropriately in ways that demonstrated questionable ethics; treated others with a lack of dignity and respect. Concealed or obscured the truth. ethical standards.		Consistently accepted responsibility commensurate with scope of duties and experience. Adhered to Navy core values at all times and held self accountable for actions. Demonstrated appropriate judgment and decision-making skills for paygrade; was always honest and forthcoming. Did the right thing, even when difficult. Used discretion and avoided inappropriate situations and actions. Demonstrated inner strength commensurate with scope of duties and experience; was willing to face moral challenges in pursuit of mission accomplishment. Treated others with complete dignity and respect.		Demonstrated integrity and ethics beyond reproach; was an uncommon role model of character and adherence to Navy core values. Always took responsibility for actions, placing conscience over competing interests, regardless of physical or personal consequences. Treated others with rare level of concern and respect; contributed significantly to a climate in which everyone felt valued and included.	

LEADERSHIP:	1 ☐	2 3 ☐	4 5 ☐	N/O
Ensuring others understand their roles and responsibilities. Maintaining performance standards, **holding others accountable for their actions.** Delegating tasks and responsibilities appropriately. **Embracing the diversity of ideas, experience, and backgrounds of all,** creating a positive, motivating work environment. **Acting as a leader and encouraging leadership in others**. Providing and encouraging appropriate performance feedback. Guiding others to seek support through available wellness resources. Effectively leading in times of change or crisis; demonstrating courage by **intervening when necessary.** **Bold** = Signature Behavior or Get Real, Get Better action	Lacked ownership of own role in driving positive outcomes, failed to encourage others in their roles. Tolerated substandard performance or deviation from necessary procedures. Tolerated or contributed to a negative work environment. Neglected appropriate delegation. Struggled both to correct own performance deficiences and to deliver constructive feedback to others. Missed opportunities to intervene to correct inappropriate behavior or unsafe conditions. Exhibited discriminatory tendencies toward others. Failed to take responsibility for own words and actions and their impact on others.	Led by example. Set high standards, clearly articulated expectations and held others accountable as appropriate. When appropriate, delegated authority to those directly responsible for the task. Promoted a climate which values fairness, dignity, creativity, diverse perspectives, individual differences, and open communication. Took responsibility for own words and actions and their impact. Sought and provided high-quality performance feedback. Boldly intervened when necessary to support shipmates' well-being or safety. Created or contributed toward a professional work environment where all are motivated toward achieving desired results. Encouraged others to lead and learn.	Demonstrated a rare level of leadership considering current paygrade. Motivated others to achieve extraordinary results. Won people over rather than imposing will. Clearly articulated vision; empowered others to set goals and objectives to accomplish tasks. Modified leadership style to best meet challenging situations. Inspired others to perform at a higher level of leadership and creativity. Exceptionally skilled in creating a high-performance, high-trust environment; demonstrated unusual courage to take action in support of shipmates and command objectives.	

INITIATIVE AND DRIVE:	1 ☐	2 3 ☐	4 5 ☐	N/O
Proactively addressing problems in the absence of specific direction; willingly putting in extra time and effort; seeking opportunities to contribute and innovate. "Embracing the red," being curious and taking pride in fixing problems. Seeking learning opportunities to acquire new competencies, methods, and information to enhance job performance; **growing personally and professionally every day**. **Exercising discipline in conduct and performance**, striving for continual improvement, self-control, and balance in mental, physical, and spiritual readiness. **Bold** = Signature Behavior or Get Real, Get Better action	Postponed needed action. Implemented or supported improvements only when directed to do so. Showed little interest in personal or professional development. Feasible improvements in methods, services, or products went unexplored. Demonstrated apathy regarding learning opportunities, personal appearance, physical fitness, and maintaining military bearing. Showed a lack of discipline and motivation toward proactive improvement of self or the team.	Proactively addressed problems in the absence of specific direction. Championed improvement through new ideas, methods, and practices; a self-starter with strong work ethic. Sought opportunities to contribute, innovate, and develop expertise. Pursued productivity gains and enhanced mission performance by applying new ideas and methods. Maintained required military compentencies, skills, and professional demeanor/bearing. Has completed or is enrolled in appropriate level of training or education for grade and level of experience. Demonstrated disciplined approach toward physical, mental, and spiritual readiness.	Aggressively sought out additional responsibility. Made worthwhile ideas and practices work when others might have given up. Optimized use of new ideas and methods to improve work processes, decision-making, and service delivery. Displayed exceptional awareness of environment and ability to sense and respond proactively with innovative solutions. Demonstrated rare level of work ethic and commitment to life-long learning and overall readiness. Made time for study, professional reading, and took advantage of learning resources; inspired others to get better every day.	

TEAMWORK:	1 ☐		2 3 ☐		4 5 ☐	N/O

Contributing to team success through actions and attitudes. Demonstrating inclusion and support of teamwork, assisting teammates in identifying solutions, developing productive working relationships. **Honoring and valuing team members, recognizing others' supportive behavior.** Actively supporting unit cohesion and group decisions even when not in complete agreement. **Working collaboratively, building trust, and creating opportunities for the team to progress.**

Bold = Signature Behavior or Get Real, Get Better action

(Rating 1) Used teams ineffectively or at wrong times. Mismanaged or ignored conflict. Excluded team members from vital information. Stifled group discussions or did not contribute productively. Inhibited cross-functional cooperation to the detrimnent of unit or service goals. Worked independently when the task required others. Made other feel unvalued or excluded, eroded trust, or claim credit when it should have been shared.

(Rating 3) Built and supported unit cohesion through high-quality working relationships. Skillfully used teams to increase unit effectiveness, quality, and service. Resolved or managed group conflict, enhanced cooperation, and involved team members in decision processes. Valued and included team members. Effectively negotiated work across functional boundaries to enhance support of broader mutual goals. Shared credit, built trust, and helped others succeed.

(Rating 5) Exceptionally skilling in facilitating collaborative solutions. Insightfully used teamwork to raise unit productivity beyond expectations. Inspired high levels of espirit de corps, even in difficult situations. Selflessly contributed to team efforts in a way that was truly extraordinary. Established relationships and networks across a broad range of people and groups, raising accomplishments of mutual goals to a remarkable level. Inspired unit cohesion through high-quality relationships, inclusion, and respect of others' contributions.

COMMUNICATION:	1 ☐		2 3 ☐		4 5 ☐	N/O

Actively listening to people's ideas and concerns to ensure comprehension, allowing others to speak without unnecessary interruptions, asking for clarification when unsure of what is being said or asked. **Quickly elevating barriers, transparently sharing knowledge and skills.** Presenting information clearly, concisely, and logically. Addressing sensitive issues in an open, constructive, professional manner allowing for rational and open discussion. Keeping leadership informed about progress and problems; consulting with others as necessary to determine priorities.

Bold = Signature Behavior or Get Real, Get Better action

(Rating 1) Failed to create understanding when sharing information verbally. Lacked preparation, confidence, or logic when speaking with others or in formal briefs. Used inappropriate language, rambled, or interrupted others. Failed to listen carefully or was too argumentative. Failed to communicate obstacles or barriers quickly, held onto information that should have been shared. Created written material that was frequently unclear, verbose, or poorly organized. Seldom proofread. Often submitted correspondence which was grammatically incorrect, tailored to wrong audience, or delivered by an inappropriate medium.

(Rating 3) Listened to others actively, creating alignment and understanding. Elevated barriers and potential issues quickly. Effectively expressed ideas and facts in individual and group situations; non-verbal actions consistent with spoken message. Communicated to people at all levels to ensure understanding, effectively navigated sensitve issues. Provided written material that was clear, concicse, and logically organized. Proofread conscientiously. Drafted gramatically correct correspondence that was tailored to an audience, and delivered by an appropriate medium.

(Rating 5) Demonstrated a rare level of verbal, nonverbal, and written communication excellence. Clearly articulated and promoted ideas before a wide range of audiences in both formal and unplanned situations. Presented complex or sensitive issues carefully and in a way that substantially elevated understanding. Keenly prioritized and escalated issues as appropriate. Fostered a culture of active listening. Clearly and persuasivly expressed complex or controversial material through writing in support of Navy objectives.

CRITICAL THINKING:	1 ☐	2 3 ☐	4 5 ☐	N/O
Managing time and risk effectively to produce optimal decisions. Remaining flexible and objective in response to changing circumstances. **Being honest, humble, and transparent about current performance; supporting others in ongoing, honest assessment of self and situations.** Effectively integrating best available information in planning and execution. **Knowing one's own capabilities and limitations, challenging own beliefs using data, facts, and diverse input.** **Bold** = Signature Behavior or Get Real, Get Better action	Poorly analyzed situations or issues by ignoring evidence or holding onto biased thinking. Failed to make necessary decisions or jumped to conclusions without considering facts, alternatives, and impact. Did not effectively weigh risk, cost, and time considerations. Ignored or minimized own performance limitations or those of others. Demonstrated arrogance or an inability to change own mind in the face of contrary facts.	Made sound decisions with the best available information in a timely manner, leading to mission accomplishment. Collected and evaluated diverse sets of evidence to determine and recommend courses of action. Demonstrated analytical thought and incorporated a wide range of ideas into thought process. Displayed honesty and transparency in assessment of performance and capabilities, both own and those of others. Effectively prioritized and solved multiple complex problems. Subordinated personal interest and biases in favor of optimal decision-making.	Combined unusually keen analytical thought, situational awareness, and insight to make appropriate decisions. Focused on key issues and the most relevant information. Mastered the balance between desire for perfect knowledge and speed. Included many diverse perspectives when thinking through issues, demonstrated an awareness of how decisions impact others. Took reasonable risks to achieve positive results. Prioritized flexibility and objectivity, consistently used evidence-based analysis to provide and encourage honest, humble, and transparent assessments of performance at all levels.	

MISSION ACCOMPLISHMENT AND PRODUCTIVITY:	1 ☐	2 3 ☐	4 5 ☐	N/O
Getting the job done at an acceptable level of quality and timeliness. **Self-correcting, continually identifying and fixing small problems at the lowest level.** Ensuring safe and secure mission execution through knowledge and adherence to policy and procedure. Effectively integrating time management and subject matter expertise to get results. **Applying Navy problem solving tools and best practices to shift from more activity to better outcomes.** **Bold** = Signature Behavior or Get Real, Get Better action	Had difficulty accomplishing routine tasks. Produced work that was late or of poor quality. Neglected safety or security requirements. Demonstrated a lack of competence, skill, knowledge, or adherence to policy and procedure. Maintained the status quo despite opportunities to improve. Concentrated on unproductive activities or often overlooked critical demands. Failed to engage other people or resources productively. Did not follow up. Mismanaged information, money or time. Used ineffective tools or left others without means to accomplish tasks. Employed wasteful methods.	Demonstrated consistent competence, skills, and knowledge in designator or rate commensurate with paygrade and experience. Ensured safe and secure mission execution, adhered to policy and procedure. Got the job done in all routine situations and in many unusual ones. Work was timely and of high quality. Results had a positive impact on department or unit. Continuously improved own and organizational effectiveness. Effectively managed time and drove correcting problems at the lowest level. Used and ensured others use resources and best practices to get better.	Demonstrated rare level of competence in designator or rate given paygrade and experience. Maintained optimal balance among quality, quantity, and timeliness of work. Consistently surpassed high expectations. Drove rapid identification and correction of small problems at the lowest levels. Used appropriate tools and best practices to achieve substantially better outcomes and continual improvement. Recognized and exploited new resources, created opportunities. Positively influenced team, unit, or Navy at large through innovation, hard work, and unusual level of expertise.	

RESILIENCY AND TOUGHNESS:	1 ☐	2 3 ☐	4 5 ☐	N/O
Exhibiting poise and flexibility while executing duties in the face of adversity. Seeking and engaging in positive coping mechanisms when under stress. **Courageously aiming high despite risk of failure.** Recovering from setbacks with tenacity and renewed purpose, **learning from misses and bouncing back. Pushing to find and fix root causes, not just symptoms.** **Bold** = Signature Behavior or Get Real, Get Better action	Was overwhelmed by small obstacles and had difficulty coping appropriately with stressful circumstances. Failed to bounce back and learn from adversity. Set low goals to avoid risk of failure. Failed to take advantage of support from other Sailors or resources. Used unreasonable criteria to set priorities and deadlines. Rarely had plan of action. Failed to focus on relevant information. Overreacted or responded slowly to change in direction or environment.	Performed duties in the face of adversity and pressure with poise, flexibility, discipline, and stability. Proactively sought and used positive coping mechanisms to respond to stress. Recovered from setbacks with tenacity and renewed purpose. Set high goals and worked toward them with perseverance. Pushed to find and fix root causes of problems despite obstacles. Built and maintained high-quality relationships with other team members. Adjusted effort, goals, or methods in response to changing realities. Effectively dealt with volatility, uncertainty, complexity, and ambiguity.	Demonstrated exceptional skill in navigating adversity. Used and encouraged others to use positive coping strategies. Demonstrated seldom-matched presence of mind under the most demanding circumstances. Stabilized difficult situations through the resolute and timely application of direction, focus, leadership, and engagement with others. Maintained a sense of purpose and meaning. Advocated for and led efforts to learn from mistakes and fix tough problems. Rapidly assessed and adjusted to changing conditions. Turned pressure and ambiguity into constructive forces for change.	

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APPENDIX C. USMC FITREP PAGE 5

1. Marine Reported On: a. Last Name	b. First Name	c. MI	d. ID	2. Occasion and Period Covered: 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.

_____
(Signature of Reporting Senior)

(Date in YYYYMMDD format)

2. I ACKNOWLEDGE the adverse nature of this report and

☐ I have no statement to make

☐ I have attached a statement

_____
(Signature of Marine Reported On)

(Date in YYYYMMDD format)

K. REVIEWING OFFICER COMMENTS

1. OBSERVATION: ☐ Sufficient ☐ Insufficient   2. EVALUATION: ☐ Concur ☐ 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	☐	
ONE OF THE FEW EXCEPTIONALLY QUALIFIED MARINES	☐	
ONE OF THE MANY HIGHLY QUALIFIED PROFESSIONALS WHO FORM THE MAJORITY OF THIS GRADE	☐	
A QUALIFIED MARINE	☐	
UNSATISFACTORY	☐	

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.

_____
(Signature of Reviewing Officer)

(Date in YYYYMMDD format)

6. I ACKNOWLEDGE the adverse nature of this report and

☐ I have no statement to make

☐ I have attached a statement

_____
(Signature of Marine Reported On)

(Date in YYYYMMDD format)

L. ADDENDUM PAGE

ADDENDUM PAGE ATTACHED: ☐ YES

NAVMC 10835E (Rev. 4-03) (P A-PES 5.5.6)   FOR OFFICIAL USE ONLY - Privacy sensitive when filled in.   PAGE 5 OF 5

USMC FITREP. Source: USMC (2022)

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APPENDIX D. TVS SURVEY

Performance Evaluation Transformation Prototype Testing

Thank you for agreeing to assist in the effort to improve the Navy performance management system by completing this survey.

To continue, please enter the **four-digit access code** provided with the link in your recruitment email:

_____

Performance Evaluation Transformation Prototype Testing

Authority to request this information is granted under 5 U.S.C. 301, Departmental Regulations; 10 U.S.C. 5031 and 5032. License to administer this survey is granted per OPNAVINST 5300.8C under RCS# NSP1610.01, expiration 6/7/2024.

We are a team based at the Naval Postgraduate School. We are working with the Talent Management Task Force at Navy Personnel Command to support the improvement of the Navy's performance management system, which includes how the Navy does fitness reports (FITREPs) and evaluations (EVALs).

To ensure that any future system is an improvement, we need help from currently serving Sailors. Specifically, we are seeking your help with testing some aspects of a potential future system. In particular, we are asking that you use this system to rate the past performance and future potential of the Sailor identified in your survey invitation email.

PLEASE NOTE that individual responses will not be shared with Navy Personnel Command. Individual responses will also be kept completely separate from any Sailor's military records and separate from any information used to make career decisions about any specific Sailor.

We estimate it will take you about 20 minutes to complete this survey. Thank you for

your participation.

PURPOSE: The purpose of this survey is to evaluate and improve the properties of a performance evaluation prototype.

ROUTINE USES: Your responses in this survey will be combined with the responses of all others and will not be attributed to any single individual. The anonymized survey responses will be stored on a password-protected server at the Naval Postgraduate School.

CONFIDENTIALITY: All responses will be kept COMPLETELY confidential. Personal identifiers such as DOD ID number will only be used to obtain rank and demographic data that will be analyzed as part of a group. All the survey data will be statistically summarized and will not be attributed to any single individual. Individual responses will not be shared with Navy Personnel Command. Individual responses will also be kept completely separate from any Sailor's military records and separate from any information used to make career decisions about any specific Sailor.

PARTICIPATION: Completion of this survey is entirely voluntary. Failure to respond to any of the questions will NOT result in any penalties except possible lack of representation of your views in the final results and outcomes. You may withdraw your participation in the survey at any time by simply exiting the survey.

Q1 Please provide your DOD ID number. The reason we are asking for your DOD ID number is so that we can verify that all responses are from currently serving Sailors. It will also allow us to skip demographic questions. Your responses, however, will remain completely confidential and analyses of these data will take place only when DOD ID numbers have been removed from the data set.

_____

Q2 To ensure data fidelity, please enter the last name of the Sailor you will be reporting on in this survey (i.e., the Sailor identified in your recruitment email):

_____

Q3 What is this Sailor's current rank/rate?

- ○ E-1
- ○ E-2
- ○ E-3
- ○ E-4
- ○ E-5
- ○ E-6
- ○ E-7
- ○ E-8
- ○ E-9
- ○ WO1
- ○ CWO2
- ○ CWO3
- ○ CWO4
- ○ CWO5
- ○ O1E
- ○ O2E
- ○ O3E
- ○ O1
- ○ O2
- ○ O3
- ○ O4
- ○ O5
- ○ O6

Q4 Which of the following BEST describes your relationship with the person you are rating?

○ I directly supervise this person or did so recently

○ I indirectly supervise this person or did so recently

○ I am a peer to this person; we are on the same level or are teammates

○ I am junior to this person

○ Other (please specify):

_____

- -

Q5 How confident are you in your ability to rate this person's job performance and career potential?

○ Not at all

○ Somewhat confident

○ Confident

○ Very confident

○ Extremely confident

End of Block 1: Introduction

DIRECTIONS

For all questions below, **please evaluate the Sailor you identified at the beginning of this survey.** Please use the trait descriptions and scale anchors provided in the questionnaire to guide your ratings.

In this first section, please consider this Sailor's actual workplace behavior. Carefully review each dimension and then provide your rating of this Sailor's performance during this reporting period as listed below. BE HONEST.

Again, individual responses will NOT be shared with Navy Personnel Command. Individual responses will also be kept completely separate from any Sailor's military records and separate from any other information used to make career decisions about any specific Sailor. Your assessment of this Sailor is entirely for the purpose of helping shape the future of Navy EVALs and FITREPs.

CHARACTER

Description: Taking responsibility for actions regardless of consequences; holding self accountable to Navy core values and ethical standards. Upholding the highest degree of integrity in professional and personal life. Doing the right thing, even when it is difficult; using discretion and avoiding inappropriate situations and actions. Being honest and forthcoming; treating others with dignity and respect.

1	2	3	4	5
Struggled to take responsibility for actions. Demonstrated a lack of judgment and alignment between Navy core values and behavior in professional or personal contexts. Acted inappropriately in ways that demonstrated questionable ethics; treated others with a lack of dignity and respect. Concealed or obscured the truth.		Consistently accepted responsibility commensurate with scope of duties and experience. Adhered to Navy core values at all times and held self accountable for actions. Demonstrated appropriate judgment and decision-making skills for paygrade; was always honest and forthcoming. Did the right thing, even when difficult. Used discretion and avoided inappropriate situations and actions. Demonstrated inner strength commensurate with scope of duties and experience; was willing to face moral challenges in pursuit of mission accomplishment. Treated others with complete dignity and respect.		Demonstrated integrity and ethics beyond reproach; was an uncommon role model of character and adherence to Navy core values. Always took responsibility for actions, placing conscience over competing interests, regardless of physical or personal consequences. Treated others with rare level of concern and respect; contributed significantly to a climate in which everyone felt valued and included.

Q6 Based on the criteria above, how would you rate this Sailor on **character**?

○ 1

○ 2

○ 3

○ 4

○ 5

○ Not observed

LEADERSHIP

Description: Ensuring all members understand their roles and responsibilities as appropriate; maintaining performance standards and holding others accountable for their actions. Delegating tasks and responsibilities appropriately. Embracing the diversity of ideas, experience, and backgrounds of all, creating a positive, motivating work environment. Acting as a leader and encouraging leadership in others. Providing and encouraging feedback appropriate to performance. Guiding others to seek support through available wellness resources. Effectively leading in times of change or crisis; demonstrating courage by intervening when necessary.

1	2	3	4	5
Lacked ownership of own role in driving positive outcomes, failed to encourage others in their roles. Tolerated substandard performance or deviation from necessary procedures. Tolerated or contributed to a negative work environment. Neglected appropriate delegation. Struggled both to correct own performance deficiencies and to deliver constructive feedback to others. Missed opportunities to intervene to correct inappropriate behavior or unsafe conditions. Exhibited discriminatory tendencies toward others. Failed to take responsibility for own words and actions and their impact on others.		Led by example. Set high standards, clearly articulated expectations and held others accountable as appropriate. When appropriate, delegated authority to those directly responsible for the task. Promoted a climate which values fairness, dignity, creativity, diverse perspectives, individual differences, and open communication. Took responsibility for own words and actions and their impact. Sought and provided high-quality performance feedback. Boldly intervened when necessary to support shipmates' well-being or safety. Created or contributed toward a professional work environment where all are motivated toward achieving desired results. Encouraged others to lead and learn.		Demonstrated a rare level of leadership considering current paygrade. Motivated others to achieve extraordinary results. Won people over rather than imposing will. Clearly articulated vision; empowered others to set goals and objectives to accomplish tasks. Modified leadership style to best meet challenging situations. Inspired others to perform at a higher level of leadership and creativity. Exceptionally skilled in creating a high-performance, high-trust environment; demonstrated unusual courage to take action in support of shipmates and command objectives.

Q7 Based on the criteria above, how would you rate this Sailor on **leadership**?

○ 1

○ 2

○ 3

○ 4

○ 5

○ Not observed

INITIATIVE and DRIVE

Description: Proactively addressing problems in the absence of specific direction; willingly putting in extra time and effort; seeking opportunities to contribute and innovate. "Embracing the red," being curious and taking pride in fixing problems. Seeking learning opportunities to acquire new competencies, methods, and information to enhance job performance; growing personally and professionally every day. Exercising discipline in conduct and performance, striving for continual improvement, self-control, and balance in mental, physical, and spiritual readiness.

1	2	3	4	5
Postponed needed action. Implemented or supported improvements only when directed to do so. Showed little interest in personal or professional development. Feasible improvements in methods, services, or products went unexplored. Demonstrated apathy regarding learning opportunities, personal appearance, physical fitness, and maintaining military bearing. Showed a lack of discipline and motivation toward proactive improvement of self or the team.		Proactively addressed problems in the absence of specific direction. Championed improvement through new ideas, methods, and practices; a self-starter with strong work ethic. Sought opportunities to contribute, innovate, and develop expertise. Pursued productivity gains and enhanced mission performance by applying new ideas and methods. Maintained required military competencies, skills, and professional demeanor/bearing. Has completed or is enrolled in appropriate level of training or education for grade and level of experience. Demonstrated disciplined approach toward physical, mental, and spiritual readiness.		Aggressively sought out additional responsibility. Made worthwhile ideas and practices work when others might have given up. Optimized use of new ideas and methods to improve work processes, decision-making, and service delivery. Displayed exceptional awareness of environment and ability to sense and respond proactively with innovative solutions. Demonstrated rare level of work ethic and commitment to life-long learning and overall readiness. Made time for study, professional reading, and took advantage of learning resources; inspired others to get better every day.

Q8 Based on the criteria above, how would you rate this Sailor on initiative and drive?

○ 1

○ 2

○ 3

○ 4

○ 5

○ Not observed

TEAMWORK

Description: Contributing to team success through actions and attitudes. Demonstrating inclusion and support of teamwork, assisting teammates in identifying solutions, developing productive working relationships. Honoring and valuing team members, recognizing others' supportive behavior. Actively supporting unit cohesion and group decisions even when not in complete agreement. Working collaboratively, building trust, and creating opportunities for the team to progress.

1	2	3	4	5
Used teams ineffectively or at wrong times. Mismanaged or ignored conflict. Excluded team members from vital information. Stifled group discussions or did not contribute productively. Inhibited cross-functional cooperation to the detriment of unit or service goals. Worked independently when the task required others. Made other feel unvalued or excluded, eroded trust, or claim credit when it should have been shared.		Built and supported unit cohesion through high-quality working relationships. Skillfully used teams to increase unit effectiveness, quality, and service. Resolved or managed group conflict, enhanced cooperation, and involved team members in decision processes. Valued and included team members. Effectively negotiated work across functional boundaries to enhance support of broader mutual goals. Shared credit, built trust, and helped others succeed.		Exceptionally skilled in facilitating collaborative solutions. Insightfully used teamwork to raise unit productivity beyond expectations. Inspired high levels of *esprit de corps*, even in difficult situations. Selflessly contributed to team efforts in a way that was truly extraordinary. Established relationships and networks across a broad range of people and groups, raising accomplishments of mutual goals to a remarkable level. Inspired unit cohesion through high-quality relationships, inclusion, and respect of others' contributions.

Q9 Based on the criteria above, how would you rate this Sailor on **teamwork**?

○ 1

○ 2

○ 3

○ 4

○ 5

○ Not observed

COMMUNICATION

Description: Actively listening to people's ideas and concerns to ensure comprehension, allowing others to speak without unnecessary interruptions, asking for clarification when unsure of what is being said or asked. Quickly elevating barriers, transparently sharing knowledge and skills. Presenting information clearly, concisely, and logically. Addressing sensitive issues in an open, constructive, professional manner allowing for rational and open discussion. Keeping leadership informed about progress and problems; consulting with others as necessary to determine priorities.

1	2	3	4	5
Failed to create understanding when sharing information verbally. Lacked preparation, confidence, or logic when speaking with others or in formal briefs. Used inappropriate language, rambled, or interrupted others. Failed to listen carefully or was too argumentative. Failed to communicate obstacles or barriers quickly, held onto information that should have been shared. Created written material that was frequently unclear, verbose, or poorly organized. Seldom proofread. Often submitted correspondence which was grammatically incorrect, tailored to wrong audience, or delivered by an inappropriate medium.		Listened to others actively, creating alignment and understanding. Elevated barriers and potential issues quickly. Effectively expressed ideas and facts in individual and group situations; non-verbal actions consistent with spoken message. Communicated to people at all levels to ensure understanding, effectively navigated sensitive issues. Provided written material that was clear, concise, and logically organized. Proofread conscientiously. Drafted grammatically correct correspondence that was tailored to an audience and delivered by an appropriate medium.		Demonstrated a rare level of verbal, nonverbal, and written communication excellence. Clearly articulated and promoted ideas before a wide range of audiences in both formal and unplanned situations. Presented complex or sensitive issues carefully and in a way that substantially elevated understanding. Keenly prioritized and escalated issues as appropriate. Fostered a culture of active listening. Clearly and persuasively expressed complex or controversial material through writing in support of Navy objectives.

Q10 Based on the criteria above, how would you rate this Sailor on **communication**?

○ 1

○ 2

○ 3

○ 4

○ 5

○ Not observed

CRITICAL THINKING

Description: Managing time and risk effectively to produce optimal decisions. Remaining flexible and objective in response to changing circumstances. Being honest, humble, and transparent about current performance; supporting others in ongoing, honest assessment of self and situations. Effectively integrating best available information in planning and execution. Knowing one's own capabilities and limitations, challenging own beliefs using data, facts, and diverse input.

1	2	3	4	5
Poorly analyzed situations or issues by ignoring evidence or holding onto biased thinking. Failed to make necessary decisions or jumped to conclusions without considering facts, alternatives, and impact. Did not effectively weigh risk, cost, and time considerations. Ignored or minimized own performance limitations or those of others. Demonstrated arrogance or an inability to change own mind in the face of contrary facts.		Made sound decisions with the best available information in a timely manner, leading to mission accomplishment. Collected and evaluated diverse sets of evidence to determine and recommend courses of action. Demonstrated analytical thought and incorporated a wide range of ideas into thought process. Displayed honesty and transparency in assessment of performance and capabilities, both own and those of others. Effectively prioritized and solved multiple complex problems. Subordinated personal interest and biases in favor of optimal decision-making.		Combined unusually keen analytical thought, situational awareness, and insight to make appropriate decisions. Focused on key issues and the most relevant information. Mastered the balance between desire for perfect knowledge and speed. Included many diverse perspectives when thinking through issues, demonstrated an awareness of how decisions impact others. Took reasonable risks to achieve positive results. Prioritized flexibility and objectivity, consistently used evidence-based analysis to provide and encourage honest, humble, and transparent assessments of performance at all levels.

Q11 Based on the criteria above, how would you rate this Sailor on **critical thinking**?

○ 1

○ 2

○ 3

○ 4

○ 5

○ Not observed

MISSION ACCOMPLISHMENT and PRODUCTIVITY

Description: Getting the job done at an acceptable level of quality and timeliness. Self-correcting, continually identifying and fixing small problems at the lowest level. Ensuring safe and secure mission execution through knowledge and adherence to policy and procedure. Effectively integrating time management and subject matter expertise to get results. Applying Navy problem solving tools and best practices to shift from more activity to better outcomes.

1	2	3	4	5
Had difficulty accomplishing routine tasks. Produced work that was late or of poor quality. Neglected safety or security requirements. Demonstrated a lack of competence, skill, knowledge, or adherence to policy and procedure. Maintained the status quo despite opportunities to improve. Concentrated on unproductive activities or often overlooked critical demands. Failed to engage other people or resources productively. Did not follow up. Mismanaged information, money or time. Used ineffective tools or left others without means to accomplish tasks. Employed wasteful methods.		Demonstrated consistent competence, skills, and knowledge in designator or rate commensurate with paygrade and experience. Ensured safe and secure mission execution, adhered to policy and procedure. Got the job done in all routine situations and in many unusual ones. Work was timely and of high quality. Results had a positive impact on department or unit. Continuously improved own and organizational effectiveness. Effectively managed time and drove correcting problems at the lowest level. Used and ensured others use resources and best practices to get better.		Demonstrated rare level of competence in designator or rate given paygrade and experience. Maintained optimal balance among quality, quantity, and timeliness of work. Consistently surpassed high expectations. Drove rapid identification and correction of small problems at the lowest levels. Used appropriate tools and best practices to achieve substantially better outcomes and continual improvement. Recognized and exploited new resources, created opportunities. Positively influenced team, unit, or Navy at large through innovation, hard work, and unusual level of expertise.

Q12 Based on the criteria above, how would you rate this Sailor on **mission accomplishment and productivity**?

○ 1

○ 2

○ 3

○ 4

○ 5

○ Not observed

RESILIENCY and TOUGHNESS

Description: Exhibiting poise and flexibility while executing duties in the face of adversity. Seeking and engaging in positive coping mechanisms when under stress. Courageously aiming high despite risk of failure. Recovering from setbacks with tenacity and renewed purpose, learning from misses and bouncing back. Pushing to find and fix root causes, not just symptoms.

1	2	3	4	5
Was overwhelmed by small obstacles and had difficulty coping appropriately with stressful circumstances. Failed to bounce back and learn from adversity. Set low goals to avoid risk of failure. Failed to take advantage of support from other Sailors or resources. Used unreasonable criteria to set priorities and deadlines. Rarely had plan of action. Failed to focus on relevant information. Overreacted or responded slowly to change in direction or environment.		Performed duties in the face of adversity and pressure with poise, flexibility, discipline, and stability. Proactively sought and used positive coping mechanisms to respond to stress. Recovered from setbacks with tenacity and renewed purpose. Set high goals and worked toward them with perseverance. Pushed to find and fix root causes of problems despite obstacles. Built and maintained high-quality relationships with other team members. Adjusted effort, goals, or methods in response to changing realities. Effectively dealt with volatility, uncertainty, complexity, and ambiguity.		Demonstrated exceptional skill in navigating adversity. Used and encouraged others to use positive coping strategies. Demonstrated seldom-matched presence of mind under the most demanding circumstances. Stabilized difficult situations through the resolute and timely application of direction, focus, leadership, and engagement with others. Maintained a sense of purpose and meaning. Advocated for and led efforts to learn from mistakes and fix tough problems. Rapidly assessed and adjusted to changing conditions. Turned pressure and ambiguity into constructive forces for change.

Q13 Based on the criteria above, how would you rate this Sailor on **resiliency and toughness**?

○ 1

○ 2

○ 3

○ 4

○ 5

○ Not observed

End of Block 2: Trait ratings based on past performance

DIRECTIONS

In this section, please consider this Sailor's *potential to succeed* at the NEXT PAYGRADE or in KEY, PARTICULARLY DEMANDING JOBS. With that in mind, provide your rating of this Sailor's future potential using the dimensions listed below. Remember, you are helping our Navy manage its talent. BE HONEST.

Again, individual responses will NOT be shared with Navy Personnel Command. Individual responses will also be kept completely separate from any Sailor's military records and separate from any other information used to make career decisions about any specific Sailor. Your assessment of this Sailor is entirely for the purpose of helping shape the future of Navy EVALs and FITREPs.

Q14
Learning Mindset and Adaptability
Description: Humility, curiosity, willingness to experiment, and commitment to own development. Sensing and responding rapidly to change.

○ Not ready and is unlikely to be ready in the near- to mid-future If "Not ready," briefly describe how this Sailor might become more ready for the next paygrade or for a key, particularly demanding job:

_____

○ Not ready yet, but could be ready in the next 3–5 years with consistent effort If "Not ready yet," briefly describe how this Sailor might become more ready for the

next paygrade or for a key, particularly demanding job:

_____

◯ Partially ready now and could be fully ready with developmental progress in the next 1–2 years

◯ Ready NOW

◯ Ready NOW and has been for some time

◯ Not observed

Q15
Leadership and Teamwork Skills
 Description: Empathy, approachability, adapting to situations, and building collaborative relationships. Inspiring and articulating direction, alignment, and commitment to objectives.

◯ Not ready and is unlikely to be ready in the near- to mid-future If "Not ready," briefly describe how this Sailor might become more ready for the next paygrade or for a key, particularly demanding job:

_____

◯ Not ready yet, but could be ready in the next 3–5 years with consistent effort If "Not ready yet," briefly describe how this Sailor might become more ready for the next paygrade or for a key, particularly demanding job:

_____

◯ Partially ready now and could be fully ready with developmental progress in the next 1–2 years

◯ Ready NOW

◯ Ready NOW and has been for some time

◯ Not observed

Q16
Character Development
Description: Progression toward an increasingly strong, principled ethical orientation. Doing what is right over what is easy, understanding ethical dilemmas and how to promote an ethical climate.

○ Not ready and is unlikely to be ready in the near- to mid-future If "Not ready," briefly describe how this Sailor might become more ready for the next paygrade or for a key, particularly demanding job:

_____

○ Not ready yet, but could be ready in the next 3–5 years with consistent effort If "Not ready yet," briefly describe how this Sailor might become more ready for the next paygrade or for a key, particularly demanding job:

_____

○ Partially ready now and could be fully ready with developmental progress in the next 1–2 years

○ Ready NOW

○ Ready NOW and has been for some time

○ Not observed

Q17
Judgment and Decision-Making
Description: Critical analysis of situations and information to achieve desired outcomes. Using appropriate mental models and tools to make tough calls.

○ Not ready and is unlikely to be ready in the near- to mid-future If "Not ready," briefly describe how this Sailor might become more ready for the next paygrade or

for a key, particularly demanding job:

_____

◯ Not ready yet, but could be ready in the next 3–5 years with consistent effort If "Not ready yet," briefly describe how this Sailor might become more ready for the next paygrade or for a key, particularly demanding job:

_____

◯ Partially ready now and could be fully ready with developmental progress in the next 1–2 years

◯ Ready NOW

◯ Ready NOW and has been for some time

◯ Not observed

Q18
Experience and Competence
Description: Expertise and performance in designator or rate; having the breadth and depth of jobs or experiences that are relevant to future success.

◯ Not ready and is unlikely to be ready in the near- to mid-future If "Not ready," briefly describe how this Sailor might become more ready for the next paygrade or for a key, particularly demanding job:

_____

◯ Not ready yet, but could be ready in the next 3–5 years with consistent effort If "Not ready yet," briefly describe how this Sailor might become more ready for the

next paygrade or for a key, particularly demanding job:

_____

◯ Partially ready now and could be fully ready with developmental progress in the next 1–2 years

◯ Ready NOW

◯ Ready NOW and has been for some time

◯ Not observed

Q19
Motivation and Drive
 Description: Internal energetic force to take on additional responsibilities. Possessing a genuine desire to do increasingly complex, difficult work.

◯ Not ready and is unlikely to be ready in the near- to mid-future If "Not ready," briefly describe how this Sailor might become more ready for the next paygrade or for a key, particularly demanding job:

_____

◯ Not ready yet, but could be ready in the next 3–5 years with consistent effort If "Not ready yet," briefly describe how this Sailor might become more ready for the next paygrade or for a key, particularly demanding job:

_____

◯ Partially ready now and could be fully ready with developmental progress in the next 1–2 years

◯ Ready NOW

◯ Ready NOW and has been for some time

◯ Not observed

End of Block 3: Future Potential

DIRECTIONS

Please review the figure below and then answer the questions that follow regarding this Sailor's overall performance in the U.S. Navy.

Again, individual responses will NOT be shared with Navy Personnel Command. Individual responses will also be kept completely separate from any Sailor's military records and separate from any other information used to make career decisions about any specific Sailor. Your assessment of this Sailor is entirely for the purpose of helping shape the future of Navy EVALs and FITREPs.

Based on your knowledge of this Sailor's performance, we would like for you to place him or her in one of the following categories. Assume that across all Sailors in the U.S. Navy top- and bottom-tier performance are relatively rare, with most Sailors falling somewhere in the middle of the figure below.

Description	Comparative Assessment
ONE OF THE VERY FEW BEST AND MOST QUALIFIED	5%
ONE OF THE EXCEPTIONALLY QUALIFIED	10%
ONE OF THE HIGHLY QUALIFIED	20%
ONE OF THE MANY QUALIFIED PROFESSIONALS WHO FORM THE MAJORITY OF THIS GRADE	55%
A PROGRESSING SAILOR	10%
AN UNQUALIFIED SAILOR	

Q20 Compare this Sailor with others of the same paygrade whom you have known in your career. According to the schematic above, in which category would you place the

Sailor you are rating? In making the comparison, consider all Sailors of this grade whose professional abilities are known to you personally.

○ One of the very few best and most qualified

○ One of the exceptionally qualified

○ One of the highly qualified

○ One of the many qualified professionals who form the majority of this grade

○ A marginally qualified sailor

○ An unqualified sailor

Q21 Amplify your comparative assessment mark; evaluate potential for continued professional development to include promotion/advancement, leadership positions/ command, assignments, education, and retention.

_____

Q22 Please select ONE of the following promotion recommendations from the list below.

○ Already selected to next paygrade

○ Recently promoted (< 12 months)

○ Promote now

○ Promote with top 20% of peers

○ Promote with peers

○ Promotion potential

○ Retain at current paygrade

○ Do not retain

End of Block 4: Comparative Ranking

Start of Block 5: Workplace Behaviors

Q23 Based on your experiences with the Sailor, how frequently does he or she engage in the following behaviors?

	Never	Once or twice	Once or twice per month	Once or twice per week	Every day
Creates disruptive conflict with others at work	○	○	○	○	○
Musters late without reason or prior notification	○	○	○	○	○
Insults or makes fun of others at work	○	○	○	○	○
Takes time to advise, coach, or mentor fellow Sailors	○	○	○	○	○
Lends a compassionate ear when someone has a work problem	○	○	○	○	○
Helps Sailors who have too much to do	○	○	○	○	○

End of Block 5: Workplace Behaviors

Start of Block 6: Final Comments

Q24 Thank you so much for taking the time to complete this survey and supporting the Navy's performance evaluation transformation process.

If you have any additional comments about the questions we asked or how we asked them, please add them below.

_____

Q25 Would you be willing, once in a while, to participate in additional surveys to help improve how the Navy does performance evaluation? We would also like to be able to contact you with updates as we improve the system so you can see these ideas come to life.

○ Yes

○ No

Q26 If you said "yes" to the question above, please provide an e-mail address where you can be contacted for occasional additional survey requests.

_____

Q27 This is the end of the survey. By clicking on the "Next page" button below, you will submit your survey responses as is and will not be able to revise your responses. If you are satisfied with your responses, please submit them now by clicking the "Next page" button.

If you would like to review your responses you may use the "back" arrow button to do so.

End of Block 6: Final Comments

Figure 7.   Source: Helzer and Bacolod (2022).

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