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THE NEW OFFICER EFFICIENCY REPORT:
A VALID CONCEPT FOR THE ARMY RESERVE

9 Student essay

BY

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MANAGEMENT BY OBJECTIVE AND THE NEW OFFICER EFFICIENCY REPORT: A VALID CONCEPT FOR THE ARMY RESERVE?

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↓ This study examines the Army's latest effort in executive appraisal in terms of applicability to reserve component officers. Conducted while a proposed revision of the Officer Evaluation System was being tested, the investigation focused on problems associated with duty-time limitations that might adversely affect the implementation of a system incorporating concepts related to management by objective--and which involves extensive on-going communication between rater and rated officer. Following a selected review of the literature dealing with executive appraisal, the question was explored in a series of individual and group interviews with 23 reserve component officers in the grades of captain through brigadier general. Additional input came from two recently retired senior officers who are now members of a university faculty in management science. The results were favorable from the standpoint of applicability; moreover, indications were the system was recognized as having considerable merit and would be well received.

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THE PROBLEM IN ITS BACKGROUND SETTING

Some might find it surprising to learn that it was the military which developed the first workable performance-rating system. Indeed, more than 80 years ago President Benjamin Harrison was so impressed with it that he directed the civilian agencies of the government to adopt a similar system.¹ No matter how good the military might have been at executive appraisal near the close of the nineteenth century, numerous studies and the introduction of eight new evaluation instruments within the last 30 years point out it is not so today.

A 1974 group research project conducted by students at the Army War College under the leadership of Colonel Dandridge M. Malone of the College faculty appears to have uncovered a most significant reason for recent failures in the system. This group determined the root problem to be one of a lack of confidence in the system by the Officer Corps, and stated:

Quantitative and qualitative data indicate clearly that officer confidence in OES is low. They also suggest strongly that variances in rating behavior, which stem from the many complex pressures and influences that make up the rating environment, may cause this lack of confidence. As a minimum, confidence and rater behavior react on each other. Out of these interactions come more variance in rating behavior and decreased confidence in the system. Supporting these indications is the documentary finding that the Army never has designed a strategy to create and maintain officer confidence in the OES. Meanwhile, the wreckage of seven OES forms and the

pending crash of the eighth argue strongly that, without the confidence and acceptance of officers affected, no OES will work effectively.²

Rather as an outgrowth of the study just cited or for reasons unknown to this writer, the fact is that the Army's Personnel Evaluation Systems Office has in the last year developed a new instrument that will not only address but hopefully begin to resolve the problem with confidence. The new instrument, DA Form 76, essentially incorporates the concept of management by objective, or MBO, as it is commonly known--although that particular terminology is not used. It is envisioned as the first in a series of evolutionary steps which recognizes the history and present state of officer evaluation, and considers developments in personnel evaluation systems outside the Army.³

The central focus in this concept is the communication process between rater and rated officer. As envisioned, an officer's specific job is defined in advance of the fact discussion with his rater in which the rated officer has an opportunity to influence the scope of his duties. Moreover, there is a degree of mutual agreement between the two as performance objectives that will bear on the accomplishment of these duties are established. Continued communication during the rating period is called for as revision and update of job description and performance objectives becomes necessary. Finally, there is after the fact enumeration of that which took place.⁴

It is important to note that it is the rated officer himself who completes these portions of the report; the rater, indorser, and reviewer will comment on these points in other sections. A reproduction of DA Form 76 (test) will be found at Appendix A.

In industry, the focus on MBO tends to be on a quantitative measurement of how well an executive has met his goals or performance objectives. Initially, the Army's concept is to focus on communication and beforehand agreement on one's job description, and the establishment of objectives or a plan for carrying out the tasks.⁵ With this in mind, DA Form 76 was implemented for test purposes by selected units on 1 October 1975.

The larger question to be answered by the test will have to do with whether or not this approach is good for the Army as a whole. With the great emphasis on before, during, and after the fact communication between rated officer and rater--and with the limited duty time available to implement or observe progress toward accomplishment of objectives--the concept might prove unwieldy and impractical within reserve components, even if found acceptable otherwise. Accordingly, the specific purpose of this investigation was to determine the applicability within reserve components of the MBO process in the revised Officer Evaluation System (OES).

LITERATURE REVIEW

Over the years there have been periodic investigations

of the OES. The focus of two recent studies tended to be on the efficacy of the Officer Efficiency Report (OER) then in use. These studies did, however, begin to point out factors which bear on the problem of lack of confidence in the system by the Officer Corps. Thus, in a 1969 study we find a call for rater training and for showing the report to the rated officer⁶-the latter of which is now a part of the system. A more recent study addressing evaluation, inflation, and order of merit points out that many officers do not understand the subtleties of numerically weighted scoring systems.⁷

A 1973 research paper published at the Army War College spoke of inconsistencies in assigning order of merit for promotion and of unintentional bias. It reported the results of a test using groups of students at the College to evaluate the files of officers recently considered by promotion boards. Although there was a high correlation between the student "boards" and the actual boards with those clearly above and clearly below average, there was much inconsistency when considering the files of those at the borderline. These investigators found that by using regression analysis techniques in a data processing system, inconsistencies and bias could be substantially reduced.⁸

Investigations such as these did not, however, provide real background for development of a new approach. They tended to find something was wrong, but for a concept of executive appraisal that might answer the complaints and prove to be effective; the Army had to look to industry.

There, the need for performance evaluation (or what might be described as how well performance objectives are met) is just about universally accepted in the business world.⁹ It seems reasonable to assume that an approach so accepted must have support from the executive community in general, and by and large, this concept embodies the idea of MBO.

This concept was first advanced a little more than 20 years ago by Peter F. Drucker, who is recognized as one of the leading--many would say the foremost of--management consultants in the country. Writing in 1954, Drucker said:

Each manager from the "big boss" down to the production foreman or the chief clerk, needs clearly spelled-out objectives. These objectives should lay out what performance the man's own managerial unit is supposed to produce. They should lay out what contribution he and his unit are expected to make to help other units obtain their objectives. Finally, they should spell out what contribution the manager can expect from other units toward the attainment of his own objectives.¹⁰

Continuing, Drucker said that by definition a manager is responsible for the contribution his particular segment of the operation makes to the larger unit above him--that his performance objectives aim upward. This, in turn, requires that each manager devise his own objectives, although higher management legitimately will exercise approval authority.¹¹

Before one can really set performance objectives, however, he must first know just what is included in his job; i. e., there must be a specific and realistic job description. Too often in the Army there has been management by "crisis,"

or reaction to the latest "flap," with officers having tasks thrust upon them with little guidance and at least a partial lack of understanding as to what is expected. Drucker and others with expertise in the field say this is not the way to manage, and while pressure situations calling for some flexibility will always arise, a clear-cut job description from which performance objectives are derived will serve to maintain perspective and enhance honest appraisal. One author expressed the latter thought in reverse by pointing out that too often jobs aren't sufficiently defined to allow for proper evaluation.¹²

Job description is not an area in which industry has always excelled, but it has come to be recognized as a first critical step. The supervising manager (or commander) must assign responsibility for the major tasks or activities to a subordinate, and he must clarify interfaces and work relationships. Traditionally, job descriptions have been broad statements of that which was expected, and have not adequately described the nature of the interfaces between one manager and another.¹³ In an introductory work in social technology, Varela listed the development of a job description and specification sheet as the first step in the method leading to the appraisal of one's performance.¹⁴ In the revised OES, as indicated earlier, it is expected that the rated officer will have an opportunity to influence that which is included as he develops his job description with his rater.

It might be noted here that keeping on the track with

what one should be doing in relation to his job description is most important as well. The problem of distraction may be more prevalent at the upper end of the executive scale where there is less of a structured situation, but all need to be alert to it. A Swedish management consultant by the name of Hinderesson has even gone so far as to invent an electronic device which some 800 European executives are using to analyze what they are doing. The device is programed to "beep" about 30 times a day at random, at which time four to ten recorded questions are posed concerning the executive's activity at that moment--to which he responds on a tape recorder.¹⁵

Army officers may not need Hinderesson's approach (indeed, it would hardly be practical in the field), but they do need to have more clearly defined duties and to focus on them. There is every reason to think that such a management practice will enhance mission accomplishment in the Army as in industry. Moreover, it is the first step toward an evaluation system that will really describe an officer and how he gets his job done.

The essence of MBO are the objectives, laid out--as Drucker said--to identify to the manager that which his own unit should produce, the contribution his unit is expected to make in helping other units obtain their objectives, and to indicate the contribution the manager can expect from other units toward his objectives. The developers of DA Form 76 see four categories of objectives: routine, problem solving, inovative, and personal development. These categories, in-

cidentally, conform to those Raia cites in his recent work on MBO, although he tends to combine the problem solving with the innovative.¹⁶ While not mandatory, ideally an officer will select at least one objective from each category.¹⁷ How well one meets his objectives has much to do with the organization's mission accomplishment, and obviously provides a more clear cut standard by which his managerial effort can be appraised.

Some might complain that an OES without numbers to designate the quality of performance tends to cure inflated ratings in much the same manner as cutting off one's head would cure a headache. We must therefore examine what some of those with expertise in management have to say about the MBO approach to executive appraisal in contrast to earlier systems.

Characterized by rating scales and global observations, or overall impressions which cover up much, the traditional approach represents a "check list" of what is thought to be the most critical areas of managerial behavior. Commenting on this, Campbell said: "Unfortunately, there is a rather long and sorry history of gallant but essentially failing efforts to develop rating scales for observing and measuring job behavior."¹⁸ He further observed that the scales developed have given too little attention to meaningfulness, behavior definition, and semantic clarity, with the result they have not been understood, or were viewed as irrelevant by those who had to use them.

With incomplete or erroneous job descriptions, of necessity observations have been faulty; and inadequate sampling of job behavior has been one of the major errors. Still other frequent errors sound like a summary of OER complaints, including: lack of discrimination, leniency, halo effect, and highly variable and inconsistent responses. Yet another of the traditional measures coming under fire has to do with employee attitudes as depicted by absence rates, turnover, and grievances (or their military equivalents in AWOL, sick call, and courts martial rates). Their deficiency is they cover only a small portion of the variance due to managerial behavior and the variations are dependent on many job-irrelevant factors not under the manager's direct control.¹⁹

Turning to the MBO approach, in one of his later works Drucker said that performance is all one can or should measure. As for evaluating potential, he noted that experienced people have learned one cannot appraise it for any length of time ahead or for anything very different from what a man is already doing. He indicates that effective executives focus on strengths--on what a person can do--and points out that such an executive knows that to get strength one has to put up with weakness. Drucker does, however, provide for attention to character weakness in appraisal, as he observes that a corrupt executive destroys an organization.²⁰

More or less joining Drucker in acknowledging the need for an evaluation of character strengths and weaknesses, a director of a number of corporations indicated that rating an

executive requires two approaches--that of measuring how well he meets objectives and how he measures up as a man.²¹ Thus, it would seem that at least some of the items in Section 1 of Part IV of DA Form 76 are appropriate as they relate to the professional code of an officer--even though the section has the appearance and perhaps in part the deficiencies of the traditional "check list."

At the outset of this essay the writer referred to the finding of a research group directed by Colonel D. M. Malone to the effect that a lack of confidence in the OES was at the heart of the problem with the various instruments the Army has used to appraise its officers. That group's recommendation to design and implement a strategy to create confidence in and acceptance of the system spoke of several points it felt would have to be included. These were the establishment of standards along with controls to insure they were met, educating the officers to the point all really knew the system and their responsibility to it, and strict enforcement of the system.²² Writing in Personnel Journal, Hayden would seem to support this recommendation as he addressed the subject of training of raters as follows:

It is clearly insufficient to install a new appraisal system by distributing the new evaluation forms....those supervisors doing the rating and all levels of supervisors should be thoroughly introduced to the appraisal system. It is necessary that those supervisors using the system understand the rationale upon which the system is based, the roles of the rater in the appraisal process, the responsibilities of the supervisor, the

appraisal interview process, and the use of the evaluation information.²³

Elsewhere in the article Hayden makes the point that appraisal systems have a dual purpose. They identify those who are good candidates for promotion, or ones to become a part of a reduction in force, or other administrative purposes requiring relative standards. On the other hand, such systems have a role in employee development or counseling that requires an absolute standard. The author further observes that it is not possible for the supervisor to fill the judicial and counseling roles simultaneously, and that employee development counseling should be taking place on a day to day basis.²⁴ These latter thoughts seem to be in line with those of a project officer of the Army's Personnel Evaluation Systems Office as he foresees the implementation of an OES using DA Form 76 as the reporting instrument, i.e., a focus on frequent communication between rater and rated officer to better define one's job, set objectives, and plan for carrying out the tasks.²⁵

For those who might question--or at least wonder about--the input the rated officer will have in this system, a comment from E. Newton Cutler, Jr., Senior Vice President of First National City Bank, is appropriate. Mr. Cutler has his subordinates evaluate their own performance and submit these evaluations to him for final review. He notes: "It's amazing how honest people are, ... They put things in that are detrimental to their own progress and promotion."²⁶

Obviously, appraisal systems encompassing or closely allied with the concept of MBO are well supported by knowledgeable writers. This approach causes one to think in terms of priorities as duty descriptions and objectives are developed, and offers the further advantage of impacting favorably on mission accomplishment--or as Meyer stated it: "Performance evaluation is being linked increasingly to companies' long-range planning efforts."²⁷ In short, the judgment of management consultants and the experience gained using this approach in the business world provide a sound basis for believing the current test of DA Form 76 will prove successful for the Army.

RESEARCH DESIGN

If the key to successful implementation of a MBO oriented evaluation system is the communication process between rater and rated officer, and if as indicated in the literature this is a continuing process, will such a concept prove workable with reservists who are bound by time constraints not applicable to the active Army? It was apparent the question of whether sufficient time is available for counseling and discussion of objectives in a reserve setting would have to be explored. An important and related question concerned time available to accomplish, or even to include, objectives from all four categories as is preferable.

Recognizing that officers assigned to units performed about three times the amount of duty as one assigned in a

mobilization capacity, another question related to this even more severe time constraint for the non-unit officer. Although this question was not ignored, access to a sufficient number of Mobilization Designee officers was not possible; thus, the study was limited to the impact on officers assigned to units.

Although the questions relative to time appeared to be key in terms of determining the applicability of DA Form 76 with reserve officers, other points merited attention as well. From experience the writer knew that it is common for a reserve rater to be called upon to evaluate an officer serving in the same capacity for two or more annual rating periods. It therefore appeared logical to determine whether this exposure over longer periods might impact favorably on use of this method of appraisal.

Additionally, some questions apply to active and reserve officers alike. Included are those of a more general or theoretical nature that might suggest an acceptance of concept. Thus, it was appropriate to determine the reaction of officers to a MBO approach to evaluation.

The data was collected primarily in interviews with reserve component officers. A limitation was that those selected live within the same geographic area as the writer in Northwestern South Carolina. Also, a scientifically representative cross section was not available; but officers of a number of branches and representing a wide range of assignments are included.

Three Regular Army Officers also provided valuable information. Initially, Major John D. Miller of the Personnel Evaluation Systems Office, Military Personnel Center, provided guidance in a telephone conversation. He followed up by providing a copy of an early edition of the developing DA Form 76 and excerpts from the draft of the test regulation that explained the concept of the proposed OES. In a personal interview he later reviewed some of the data collected to that point, suggested one or two changes in emphasis during the conduct of subsequent interviews, and confirmed the writer's understanding was in line with that envisioned by his office.

The other two officers, Colonel Thomas B. Maertens and LTC Claude S. Simpson, Jr., retired from the Army on 31 July and 31 August 1975, respectively. Both immediately joined the faculty/staff of the College of Industrial Management and Textile Science at Clemson University, where they were Professor of Military Science (PMS) and Deputy PMS, respectively, for the immediately preceding three years. Colonel Maertens is a graduate of the Industrial College of the Armed Forces and holds an advanced degree in management. Before joining the faculty on a full-time basis, he had been teaching a course in management concurrently with his military assignment. LTC Simpson, a 1975 graduate of the corresponding studies department of the Army War College, holds an advanced degree in counseling and is now Assistant Director of Professional Development for Clemson's management college.

These gentlemen were consulted as management experts who also have a thorough understanding of evaluation of military personnel.

Six experienced reserve component officers were interviewed individually for approximately one hour each. The objective in these interviews was to probe in depth for reactions after a careful explanation of the new OER and its underlying concept.

Additionally, 15 students enrolled in a USAR School administered C&GSC course and their two instructors were included in one of two group interviews. A 30 minute presentation by the writer was followed by a 15 minute period in which these officers recorded their thoughts on a questionnaire. The presentation consisted of an explanation of the instructions in the test regulation, during which a transparency of the proposed OER was projected, as well as providing background information supporting this method of evaluation. The questionnaire was modified for the second of the two classes, as explained earlier. A copy of the initial and modified versions is included at Appendixes B and C, respectively.

A profile of the 23 officers included in the survey by grade, component, type of assignment and duty, and whether interviewed individually or in one of the two C&GS class groups is shown on the following page.

<u>Grade</u>	<u>Component</u>			<u>Assignment</u>		<u>Cont. Grp.</u>	<u>Command</u>	<u>Duty</u>		<u>Stud.</u>	<u>Type Interview</u>	
	<u>USAR</u>	<u>NTUS</u>	<u>BA</u>	<u>Unit</u>	<u>Mob. Bde.</u>			<u>Staff</u>	<u>Inst.</u>		<u>Indiv.</u>	<u>Group</u>
BC	1				1			1			1	
COL								1			1	
(BG Des)	1				1		1		2		1	2
COL	1			1			1		2		1	7
LTC	2			3			1				1	8
MAJ	6		1	8			1				1	
CPT	4	5		7		2	2	5		2		
Total	15	7	1	19	2	2	5	12	4	2	6	17

It might be noted that although only five officers are currently serving as commanders, almost all have held one or more command assignments in the past. With the exception of a chaplain (MAJ) and one captain, all are rating officers now, or have been such in the recent past. They have rated a great number of individuals during their careers--from a minimum of five to in excess of 50.

FINDINGS AND DISCUSSION

The subject of this research effort focused on determining applicability of the revised OES in the reserve components. As discussed earlier, the stress on a communication process between rater and rated officer in relation to time limitations gave rise to the questions investigated.

Of the 23 officers surveyed, 19--including all six of those interviewed individually--reacted favorably (11) or most favorably (8) to this approach to evaluation. Even among the four reacting unfavorably there appeared to be a degree of ambiguity, inasmuch as two indicated they personally would like to be rated by this method, although they considered it unlikely to work as envisioned. A third officer indicated he would like to be evaluated under this concept on active duty, though he felt the procedure too involved for reservists. Only the captain who has never served as a rating officer seemed totally opposed to the concept. The others reacting unfavorably were two more captains and the Chaplain, i.e., gentlemen who either had no experience in

officer evaluation, or were among the least experienced of those surveyed.

More particularly, as for being able to set objectives in all four categories and contend with limitations in this or other respects resulting from time constraints, the general reaction was positive. There were, however, differences in terms of degree.

Naturally, the four officers whose overall reaction was unfavorable did not think it possible to set objectives in all four categories; however, one of these did not consider time constraints to be a problem. His appraisal was one of overall skepticism, and he viewed the whole of MBO as a fad that would soon pass. Of the 19 reacting favorably, three did indicate it would be impossible to establish objectives in all areas even for a limited number of officers. Six others expressed the opinion that the objectives would be considerably more limited in scope than for active officers, but ten saw no significant problems in implementation. None of these 19 considered time limitations as such to be prohibitive, although all recognized the process to be more time consuming than simply making an after the fact evaluation.

Aside from tallies of the reactions, some of the comments expressed shed greater light on "gut feelings;" and these tend to have further implications as to acceptance and confidence in the proposed OES. Thus, a major in a command assignment spoke to the point of setting objectives in all four areas as follows:

This is already done in some fashion by all good commanders--and in any case should be done, whether it appears on a report or not. Having it on the report should have the good effect of encouraging the doing of it where it is not being done.²⁸

Similarly, a National Guard battalion executive officer indicated his organization was already involved in a program such as that envisioned. Commenting on setting objectives, he said:

My Group is very actively involved in an MBO program which has as one objective providing information for raters to make fair decisions. I have rated several officers since the program began (1 June 75) and have found it very beneficial.²⁹

Another major whose duty is that of Secretary to the General Staff of a division commented on this point as follows:

This is a must--tends to eliminate the subjective. Forces the rater to give specific evaluations on mutually agreed upon objectives. Forces the commander to command.³⁰

Commenting on time constraints that might place limitations on full implementation, a reserve major holding a masters degree from Harvard University's School of Business stated--in words to this effect--that such would not generally be a problem. He noted that raters would have approximately 40 days each year in which to counsel with rated officers and observe their performance. Moreover, he pointed out that often the rater would have an officer assigned to the same duty for two or three years, providing an opportunity for long-term observation in many cases.³¹

Perhaps a National Guard battalion commander best summed up thoughts relative to this limitation when he observed that time spent in carrying out the full scope of the MBO process will be better used than much of that now devoted to other pursuits. He elaborated by noting the communication process will cause raters to focus on what they themselves should be doing.³²

These thoughts fit well with those of the recently retired officers who are now members of the management faculty/staff at Clemson University. These two agreed there is no conflict between the MBO concept and its application to part-time employment, as it were. They stated that MBO is a good approach to evaluating performance in any job. As for time constraints, they simply observed that such was the norm in all military assignments--active or reserve--and did not invalidate the MBO approach.³³ It is also interesting to note that both indicated a most favorable reaction to the proposed OER, and called it a big step forward in officer evaluation.

Inasmuch as the writer was initially concentrating on MBO as it pertains to performance evaluation, it was only after meeting with the project officer at the Personnel Evaluation Systems Office that its intended role in mission accomplishment was fully appreciated. Questions directed in subsequent interviews confirmed that most officers are likely to see it as directly supporting that objective.

Another point reflecting majority but perhaps not conclusive agreement related to special assignments in

Section II, Part III, of the test form. Although one senior officer commented it was totally inapplicable to reservists, most perceived it as having value in the event the officer was mobilized. A majority expressed the opinion that special instructions should be included for reserve components to the effect that this portion be completed with the assumption its impact would occur after mobilization.

Effort was made to explore the impact of stability in assignments as frequently found in reserve components. As suspected, evidence was found that the second or later report on an officer continuing in an assignment under the same rater tends to represent a summary of his total service in the position--rather than being strictly related to the period of the report. The evidence, however, was not conclusive; moreover, this stability appeared not to occur generally to the extent experienced by the writer and some of those included in the survey.

Although a Brigadier General whose mobilization assignment is in the Office of the Deputy Chief of Staff, Personnel, Department of the Army was included in the survey, his was the only input of significance from a non-unit officer. As noted earlier, the findings are thus limited to implications for unit officers.

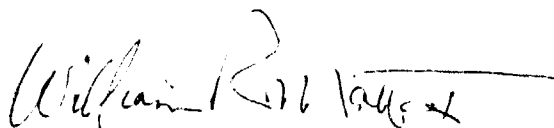
CONCLUSIONS

The findings reported point to the conclusion that the proposed OES, incorporating the concept of MBO, and the

reporting instrument (DA Form 76) are applicable for use in reserve units. Moreover, those concerned with the larger question of officer acceptance of and confidence in this concept of evaluation will find encouragement in the results.

Two preceptive captains essentially summarized these conclusions in comments recorded on their questionnaires. In commenting on his affirmative answer to the question would he like to be rated under this concept, one said a great deal in the following short statement: "Much fairer method and gives the rated officer a chance to tell his side."³⁴ The other, a recent Ph.D. graduate in management, said:

I think this is an excellent way to surface talent, performance, and locate good officer personnel for promotion. I work this way in my civilian job and find that I can accomplish many tasks just by having them spelled out and listed before me.³⁵



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FOOTNOTES

1. Herbert E. Meyer, "The Science of Telling Executives How They're Doing," Fortune, January 1974, p. 104.
2. Dandridge M. Malone, COL (Research Leader), Executive Appraisal (Confidence in the Officer Evaluation System), p. 45.
3. US Department of the Army, (Test) Army Regulations 623-105, p. 1-1.
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5. Interview with John D. Miller, MAJ, Personnel Evaluation Systems Office, U.S. Army Military Personnel Center, Alexandria, 29 September 1975.
6. Paul S. Williams, Jr., LTC, An Evaluation of the US Army Officer Efficiency Reporting System.
7. John G. Pappageorge, LTC, Evaluation, Inflation, and Order of Merit.
8. James T. Heathcock, COL, et al., Military Merit: How to Measure Who Measures Up.
9. Meyer, p. 111.
10. Peter F. Drucker, The Practice of Management, p. 126.
11. Ibid., pp. 128-129.
12. John P. Campbell, et al., Managerial Behavior, Performance, and Effectiveness, p. 107.
13. Anthony P. Raia, Managing by Objectives, pp. 75-76.
14. Jacobo A. Varela, Psychological Solutions to Social Problems, p. 76.
15. "Are Executives Efficient?" Business Week, 1 December 1973, pp. 52-57.
16. Raia, pp. 48-51.
17. US Department of the Army, OER Test Booklet, pp. 2-3.
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20. Peter F. Drucker, The Effective Executive, pp. 85-87.

21. Edward McSweeney, "A Scorecard for Rating Management," Business Week, 8 June 1974, p. 15.

22. Malone, pp. 45-46.

23. Robert J. Hayden, "Performance Appraisal: A Better Way," Personnel Journal, July 1973, p. 613.

24. Ibid., pp. 606-610.

25. Interview with Miller, 29 September 1975.

26. Meyer, p. 104.

27. Ibid., p. 102.

28. Interview with Joseph L. McCollough, MAJ, 3288th USAR School, Clemson, SC, 14 October 1975.

29. Interview with Elbert L. Bailes, MAJ, 2/263 Air Defense Artillery, Clemson, SC, 14 October 1975.

30. Interview with Ronald D. Grace, MAJ, Headquarters, 108th Division (Training), Clemson, SC, 14 October 1975.

31. Interview with Allan P. Sloan, MAJ, 1st Brigade, 108th Division, Clemson, SC, 16 August 1975.

32. Interview with Thomas E. Skelton, LTC, 1/178 Field Artillery, Clemson, SC, 5 November 1975.

33. Interview with Thomas B. Maertens, COL (Ret.) and Claude S. Simpson, Jr., LTC (Ret.), Clemson, SC, 3 November 1975.

34. Interview with Hoyt E. Thompson, CPT, 2/263 Air Defense Artillery, Clemson, SC, 16 September 1975.

35. Interview with James L. Strom, CPT, 3288th USAR School, Clemson, SC, 16 September 1975.

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5. Campbell, John P., et al., Managerial Behavior, Performance, and Effectiveness. New York: McGraw-Hill Book Company, 1970.

(A major source of background information providing insight concerning description of the managerial job, valid measures of executive performance, and the errors associated with traditional appraisal systems.)
6. Drucker, Peter F., The Effective Executive. New York: Harper & Row, Publishers, 1966, 1967.

(Contains a good discussion on appraisal of one's strength and performance. Makes the point that weaknesses are unimportant if even one strength makes a significant difference. Discounts appraisal of potential.)
7. Drucker, Peter F., The Practice of Management. New York: Harper & Brothers Publishers, 1954.

(The concept of management by objectives was first advanced in this work.)
8. Grace, Ronald D., MAJ. Headquarters, 108th Division (Training). Group Interview. Clemson, SC: 14 October 1975.
9. Hayden, Robert J. "Performance Appraisal: A Better Way." Personnel Journal, Vol. 52, July 1973, pp. 606-613.

(The thrust of the article is directed at the dual purpose of appraisal, i.e., for promotion or elimination requiring a relative standard on the one hand, and for employee development requiring an absolute standard

on the other.)

10. Heathcock, James T., COL, et al. Military Merit: How to Measure Who Measures Up. Special Project Report. Carlisle Barracks: US Army War College, 14 May 1973.

(This paper was concerned with determining the significant factors affecting selection for promotion, and developing techniques to achieve consistency in weighing of factors considered. Recommended use of regression analysis to assign order of merit.)

11. Jones, Tommy M., CPT. 3288th USAR School (Student). Personal Interview. Clemson, SC: 5 September 1975.
12. Maertens, Thomas B., COL (Ret.), and Simpson, Claude S. Jr., LTC (Ret.). Joint Interview. Clemson, SC: 3 November 1975.

(These recently retired officers are now members of the faculty/staff of the College of Industrial Management and Textile Science at Clemson University. They were able to contribute insight as management experts who also have an understanding of military personnel evaluation.)

13. Malone, Dandridge M., COL, Research Leader. Executive Appraisal (Confidence in the Officer Evaluation System). Group Research Project. Carlisle Barracks: US Army War College, 18 June 1974.

(A comprehensive study by a team of 14 personnel specialists who investigated the confidence of the officer corps in the Officer Evaluation System. They found that confidence was lacking and this, in turn, led to inflated efficiency reports and the failure of the systems.)

14. McCollough, Joseph L., MAJ. 3288th USAR School. Group Interview. Clemson, SC: 14 October 1975.
15. McSweeney, Edward. "A score card for rating management." Business Week, No. 2334, 8 June 1974, pp. 12-15.

(A member of the board of directors of a number of firms, the author proposes that the chief executives of corporations be evaluated by the directors. His proposed "scorecard" consists of what generally would be recognized as objectives.)

16. Meyer, Herbert E. "The Science of Telling Executives How They're Doing." Fortune, Vol. 89, January 1974, pp. 103-106+.

(An excellent article that cites experiences in executive appraisal in a number of nationally known corporations. Addresses problems such as personality conflicts, reports considered to be adverse by the rated executive, and inflated ratings. Points out how leading firms resolve these problems such that the interests of all concerned are protected.)

17. Miller, John D., MAJ. Personnel Evaluation Systems Office, Military Personnel Center. Personal interview. Alexandria: 29 September 1975.

(This project officer involved with the development and testing of DA Form 76 provided guidance leading to the selection of the particular question for study, and was a principal source of background information.)

18. Pappageorge, John G., LTC. Evaluation, Inflation, and Order of Merit. Military Issues Research Memorandum. Carlisle Barracks: US Army War College, March 1974.

(A paper which points out the lack of understanding of the subtleties of numerically weighted scoring systems. Proposes to eliminate inflated ratings by a system limiting raters to an absolute average for each grade rated.)

19. Ria, Anthony P. Managing by Objectives. Glenview, Illinois: Scott, Foresman and Company, 1974.

(Provides a concise view of the MBO concept and how to implement such a system. Compliments and updates previous works in this area.)

20. Skelton, Thomas E., LTC. 1/178 Field Artillery, SC Army National Guard. Personal Interview. Clemson, SC: 5 November 1975.
21. Sloan, Allan P., MAJ. 1st Brigade, 108th Division (Training). Personal Interview. Clemson, SC: 16 August 1975.
22. Strom, James L., CPT. 3288th USAR School (Student). Group Interview. Clemson, SC: 16 September 1975.
23. Sutton, Berlyn K., COL. Deputy Chief of Information, New York Branch (Mob Des). Personal Interview. Washington: 1 October 1975.
24. Thompson, Hoyt E., CPT. 2/263 Air Defense Artillery, SC Army National Guard. Group Interview. Clemson, SC: 16 September 1975.

25. US Department of the Army, (Test) Army Regulations 623-105: OER Test Regulation. Washington: 1975.

(The test regulation provides background information underlying the concept of the proposed OES, along with detailed instructions for completing an efficiency report.)

26. US Department of the Army. Military Personnel Center. OER Test Booklet. Washington: 1975.

27. Varela, Jacobo A. Psychological Solutions to Social Problems. New York: Academic-Press, Incorporated, 1971.

(Chapter three of this work explores motives and underlying observed behavior, and suggests a new personnel appraisal design that focuses on job specifications and requires the supervisor to describe step by step how the rated person performs each task.)

28. Williams, Paul S. Jr., LTC. An Evaluation of the US Army-Officer Efficiency Reporting System. Thesis. Carlisle Barracks: US Army War College, 3 March 1969.

(Reports an analysis of inflated reporting in the use of DA Form 67-6.)

APPENDIX, A

FOR USE OF THIS TEST FORM SEE TEST BOOK
PROFORMANT AGENCY: MILPERCEN

PART I - ADMINISTRATIVE DATA

A. LAST NAME		FIRST NAME		MIDDLE INITIAL		B. SSN	C. GRADE	D. DATE OF BIRTH Year Month Day	E. BRANCH Home Control	F. DESIGNATED SPECIALTY (1) (2)
"Enter Test Control Number"						"Leave Blank"				
G. UNIT, ORGANIZATION, STATION, ZIP CODE OR APO, MAJOR COMMAND										H. CODES (1) (2) (3) Comdt
PERIOD COVERED							REASON FOR SUBMITTING		REPORT BASED ON	
FROM		THRU				RATED DUTY DAYS		OTHER DAYS		I. Rater Indorser
Year	Month	Day	Year	Month	Day					
J. EXPLANATION OF OTHER DAYS (As required)										

PART II - DUTY DATA (Rated Officer)

K. PRINCIPAL DUTY TITLE	L. DUTY M.O.S. (1)
M. DUTY DESCRIPTION (1) State your most significant duties and responsibilities during this rating period	
TEST	
DO NOT PLACE IN ANY OFFICIAL PERSONNEL FILE. RETURN TO MILPERCEN ATTN: DAPC-PME	

(2) Indicate not more than six major performance objectives established during the rating period.

(3) List the significant contributions you made during the rating period.

PART III - ASSIGNMENT SPECIALTY DATA (Rated Officer and Rater)

SECTION I (Rated Officer)

a. Primary and alternate specialties (if they have not been designated, indicate the preferred specialties and check this box ☐ Warrant Officer enter PMOS and AMOS	(P) (A)	b. Next preferred assignments in primary and alternate specialty (See DA Form 600.3) or PMOS and AMOS for Warrant Officers	(P) (A)
--	------------	--	------------

c. RATER COMMENTS (Address Section II)

SECTION II (Rater) (Place an "X" in the appropriate boxes)

a. MANAGERIAL MANNER AND OR STYLE (Select one of the following which best describes the rated officer)

aa. ☐ CONSTRUCTIVE, resourceful, analytical, practical, a problem solver	ab. ☐ SUPPORTIVE, adaptive, reliable, persevering, a sustainer	ac. ☐ CREATIVE, innovative, conceptual, imaginative, a developer
---	---	---

a1. ☐ Managerial manner and/or style restricts officer's utilization (Explain in e. below)

b. PERSONAL MANNER AND OR STYLE (Select three of the following which best describe the rated officer. If box bo. is chosen, other selections need not be made)

ba. ☐ CONSIDERATE	bb. ☐ COOPERATIVE	bc. ☐ DECISIVE	bd. ☐ DELIBERATE	be. ☐ DETERMINED	bf. ☐ ENERGETIC	bg. ☐ ENTHUSIASTIC	bh. ☐ FORCEFUL	bi. ☐ INDIVIDUALISTIC	bj. ☐ JUDICIOUS	bk. ☐ PERSONABLE	bl. ☐ RESTRAINED	bm. ☐ SINCERE	bn. ☐ THOROUGH	bo. ☐ Personal manner and/or style restricts officer's utilization (Explain in e. below)
--	--	---------------------------------------	---	---	--	---	---------------------------------------	--	--	---	---	--------------------------------------	---------------------------------------	---

c. SPECIAL COMMUNICATIVE SKILLS (Indicate if the officer displays unusual ability in any of the following communicative skills.) (Explain in e. below)

ca. ☐ EXTERNAL PUBLIC SPEAKING	cb. ☐ INSTRUCTING	cc. ☐ INTERNAL MILITARY BRIEFINGS/PRESENTATIONS	cd. ☐ WRITING	ce. ☐ FOREIGN LANGUAGE PROFICIENCY	cf. ☐ OTHER (Specify)
---	--	--	--------------------------------------	---	--

d. SPECIAL ASSIGNMENTS (Specify up to three of the following areas in which the rated officer could best represent the Army in assignments requiring external interactions.)

da. ☐ ATTACHE	db. ☐ JOINT/COMBINED STAFF	dc. ☐ MAAG/MISSION/MILGROUP	dd. ☐ NATIONAL GUARD/RESERVE	de. ☐ PROJECT MANAGEMENT	df. ☐ PUBLIC INFORMATION	dg. ☐ ROTC	dh. ☐ RECRUITING	di. ☐ OTHER (Specify)
--------------------------------------	---	--	---	---	---	-----------------------------------	---	--

e. RATER COMMENTS (Address Section II)

TEST

PART IV - PERFORMANCE EVALUATION (Rater and Indorser)

SECTION I (Rater)

(In items a through e below, indicate the degree of agreement with the following statements as being descriptive of the rated officer.) (Place the appropriate number in the column.)

	High Degree ← → Low Degree					
	1	2	3	4	5*	
a. PROFESSIONAL COMPETENCE						
aa. Possesses capacity to acquire knowledge and grasp concepts						
ab. Displays sound judgment in making decisions						
ac. Demonstrates expertise in assigned tasks						
ad. Possesses extensive knowledge of the military profession beyond limits of specific responsibilities						
ae. Understands the temper of the times and is able to adjust accordingly						
af. Exhibits insight and perceptivity in performance of duties						
b. INDIVIDUAL SELF-DISCIPLINE						
ba. Possesses military bearing and is neat and well-groomed						
bb. Maintains appropriate level of physical fitness						
bc. Seeks self-improvement						
bd. Maintains high standards of personal conduct both on and off duty						
be. Is adaptable in changing situations						
bf. Performs successfully under physical and mental stress						

Refer to the SPECIFIC examples of illustrations in Section IIb. below.

TEST CONTROL NUMBER

PRINCIPAL
DUTY & TITLE**c. LEADERSHIP**

- ca. Sets and enforces high standards.
- cb. Motivates, challenges, inspires and influences those with whom he/she comes in contact.
- cc. Is aware of and sensitive to others and their problems.
- cd. Communicates in a clear, concise and easily understood manner.
- ce. Solicits and considers opinions of others, encourages two way communication.
- cf. Manages and develops subordinates in recognition of their capabilities.
- cg. Encourages initiative, responsibility, and resourcefulness.

d. PROFESSIONAL ETHICS

(This officer demonstrates, exhibits, or displays)

- da. *Selflessness*: Willingness to sacrifice self and career for mission and organization.
- db. *Responsibility*: Acceptance of complete responsibility for mission and welfare of organization.
- dc. *Loyalty*: Faithful and willing support of subordinates, peers and superiors.
- dd. *Obedience*: Prompt and conscientious compliance with regulations and lawful orders.
- de. *Integrity*: Honesty in word and deed.
- df. *Moral Courage*: Willingness to candidly state and resolutely support one's convictions, not a "yes" man.

e. PROFESSIONAL ORIENTATION

(This officer demonstrates, exhibits, or displays)

- ea. Dedication and commitment to the goals and missions of the Army and the country.
- eb. Persistence in mission accomplishment.
- ec. Concern for the welfare of subordinates.
- ed. Support of the Army's Equal Opportunity Program.
- ee. Concern for resource conservation.

You are required to cite specific examples or illustrations in Section IIb below*SECTION II (Rater)****a. PERFORMANCE SCALE**CONSISTENTLY EXCEEDED
JOB REQUIREMENTS
(DEGREE)

HIGHEST HIGH

aa

USUALLY EXCEEDED
JOB REQUIREMENTS
(DEGREE)

HIGHEST HIGH

ab

CONSISTENTLY
FULFILLED
JOB
REQUIREMENTS

ac

USUALLY
FULFILLED
JOB
REQUIREMENTS

ad

USUALLY
FAILS TO
FULFILL JOB
REQUIREMENTS

ae

b. PERFORMANCE SUMMARY

TEST

**You are required to cite SPECIFIC examples or illustrations in b above.*

PART IV - PERFORMANCE EVALUATION (Indorser) (Reviewer and Indorser will complete item b.)

SECTION III (Indorser)

PLACE THE PERFORMANCE OF THE RATED OFFICER IN PERSPECTIVE FROM THE POINT OF VIEW OF ENVIRONMENTAL CONSIDERATIONS, SUCH AS RATED OFFICER'S EXPERIENCE, THE RELATIVE RISK ASSOCIATED WITH THE PERFORMANCE, THE DIFFICULTY OF THE MISSION, THE ADEQUACY OF RESOURCES, TO INCLUDE CAPABILITY OF SUBORDINATES, AND OVERALL EFFICIENCY OF THE ORGANIZATION.

PART V - POTENTIAL EVALUATION (Indorser) (Reviewer and Indorser will complete item b.)

a. THIS OFFICER'S OVERALL POTENTIAL IS

- aa. ☐ EQUALED BY VERY FEW OFFICERS
- ab. ☐ BETTER THAN MOST OFFICERS
- ac. ☐ EQUAL TO MOST OFFICERS
- ad. ☐ LESS THAN MOST OFFICERS
- ae. ☒ MINIMAL

b. SHOULD THIS OFFICER BE PROMOTED?

- ba. ☐ YES, AS SOON AS POSSIBLE (Explain in comments below)
- bb. ☐ YES, AHEAD OF CONTEMPORARIES
- bc. ☐ YES, WITH CONTEMPORARIES
- bd. ☐ NO, BUT RETAIN IN GRADE
- be. ☐ NO (Explain in comments below)
- bf. ☐ NOT SUFFICIENTLY KNOWLEDGEABLE OF RATED OFFICER TO ACCOMPLISH A POTENTIAL EVALUATION

c. LIST IN DESCENDING ORDER, UP TO THREE POSITIONS IN WHICH THE RATED OFFICER WOULD MAKE THE MOST SIGNIFICANT CONTRIBUTION IN HIS CURRENT OR NEXT HIGHER GRADE

(1) (2) (3)

d. DESCRIBE ANY LIMITING FACTORS, SUCH AS HEALTH, PERSONAL HABITS AND CHARACTERISTICS, FAMILY CONSIDERATION, ETC., THAT (In any way) RESTRICT THE RATED OFFICER'S UTILIZATION AT HIGHER LEVELS OF RESPONSIBILITY OR POSITIONS OF A SENSITIVE NATURE.

e. COMMENTS (Indorser)

TEST

f. COMMENTS (Reviewer)

PART VI - AUTHENTICATION

a. SIGNATURE OF RATED OFFICER TYPED NAME (Last, First, MI) SSN
 "Enter Test Control Number" "Leave Blank"

(Rated officer's signature authenticates Part I data and his/her input only)

b. SIGNATURE OF RATER TYPED NAME (Last, First, MI) SSN
 GRADE, BRANCH, ORGANIZATION, DUTY ASSIGNMENT DATE

c. SIGNATURE OF INDORSER TYPED NAME (Last, First, MI) SSN
 GRADE, BRANCH, ORGANIZATION, DUTY ASSIGNMENT DATE

d. REVIEWER MY REVIEW ☐ INDICATES NO FURTHER ACTION
☐ RESULTS IN ACTIONS STATED ON INCLOSURES

SIGNATURE OF REVIEWER TYPED NAME (Last, First, MI) SSN
 GRADE, BRANCH, ORGANIZATION, DUTY ASSIGNMENT DATE

*You are required to cite SPECIFIC examples or illustration in c. above.

PART VII - PERSONNEL OFFICER (Complete in ink ONLY)

a. ORIGINAL COPY
 INITIATED BY MILPO # DATE
 IDENTIFICATION, FILE SYMBOL AND ADDRESS

b. SUBSEQUENT ACTION
 Other Actions By MILPO # Date

Initials

ENTERED (DA 2-1)
 FWD TO DA
 c. RATED OFFICER COPY
☐ GIVEN/FORWARDED TO OFFICER
☐ RETAINED IN 120 DAY SUSPENSE

This report contains inclosures.

APPENDIX B - INITIAL GROUP INTERVIEW QUESTIONNAIRE

Name & Rank _____

Duty Title _____ Component _____

Organization _____

Considering the time limitations prevailing, do you consider it possible to implement the MBO concept in the OER system with USAR/NGUS officers?

- _____ Yes--~~should~~ not present any problem.
_____ Yes, but objectives will be considerably more limited in scope than for active officers.
_____ No--the rater just doesn't have the necessary observation time, and/or the time required for the communication process.

Comment:

Do you think it possible to set objectives--at least with some rated officers--in all four categories, i.e., routine, problem solving, innovative, personal development?

_____ Yes _____ No

Comment:

Do you see a need for special instructions for reserve component raters relating to the special assignments section?

_____ Yes _____ No

Comment:

Approximately how many officers have you rated two or more times while the rated officer's duty assignment remained unchanged?

About what percentage does this represent of the total officers you have rated?

What is the greatest number of times you have rated a given officer serving in the same capacity?

Is there a need for weighting second and later OER's of USAR/NGUS officers serving in the same capacity under the same rater?

_____ Yes _____ No

Comment:

Would you like to be rated under the MBO system?

_____ Yes _____ No

Comment:

Overall reaction.

_____ Most Favorable _____ Favorable
_____ Unfavorable

Comment:

APPENDIX C - REVISED GROUP INTERVIEW QUESTIONNAIRE

Name & Rank _____

Duty Title _____ Component _____

Organization _____

Do you think it possible to set objectives--at least for some rated officers--in all four categories; i.e., routine, problem solving, innovative, personal development?

_____ Yes _____ No

Comment:

The Army's Personnel Management Directorate considers the communications process between rater and rated officer as it leads to setting objectives to be the essence of MBO. Considering the time limitations prevailing, do you consider it possible to implement this concept in the OER system with USAR/NGUS officers?

- _____ Yes--should not present any significant problem.
- _____ Yes, but objectives will be considerably more limited in scope than for active officers.
- _____ Yes, but the communications process will largely have to take place outside duty hours.
- _____ No, the rater just doesn't have the necessary observation time and/or that required for the communications process.

Comment:

Do you see a need for special instructions for reserve component raters relating to the special assignments section?

_____ Yes _____ No

Comment:

Approximately how many officers have you rated two or more times while the rated officer's duty assignment remained unchanged?

_____ Number

Q About what percentage does this represent of the total officers you have rated?

What is the greatest number of times you have rated a given officer serving in the same capacity?

Number

In those instances where you have rated an officer twice or more in the same capacity, did your last rating tend to be a summary for the total time he served for you, or did you limit your observations strictly to the period of the report?

<u> </u>	A summary	<u> </u>	Limited to last reporting period
-------------------	-----------	-------------------	-------------------------------------

Do you see this OER concept--as opposed to the current one--
providing the rater/indorser with a better instrument to:

Describe the rated officer and how he has performed.

Use as an management tool.

Facilitate unit mission accomplishment.

None of these.

Comment:

Would you like to be rated by this method?

 Yes No

Comment:

Overall reaction.

_____Most Favorable _____Favorable
Unfavorable

Comment:

SECURITY CLASSIFICATION OF THIS PAGE (When Data Entered)

REPORT DOCUMENTATION PAGE		READ INSTRUCTIONS BEFORE COMPLETING FORM
1. REPORT NUMBER	2. GOVT ACCESSION NO.	3. RECIPIENT'S CATALOG NUMBER
4. TITLE (and Subtitle) Management by Objective and the New Officer Efficiency Report: A Valid Concept for the Army Reserve?		5. TYPE OF REPORT & PERIOD COVERED Student Essay
7. AUTHOR(s) COL William R. Mattox		6. PERFORMING ORG. REPORT NUMBER
9. PERFORMING ORGANIZATION NAME AND ADDRESS US Army War College Carlisle Barracks, Pa. 17013		8. CONTRACT OR GRANT NUMBER(s)
11. CONTROLLING OFFICE NAME AND ADDRESS		10. PROGRAM ELEMENT, PROJECT, TASK AREA & WORK UNIT NUMBERS
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20. ABSTRACT (Continue on reverse side if necessary and identify by block number) This study examines the Army's latest effort in executive appraisal in terms of applicability to reserve component officers. Conducted while a proposed revision of the Officer Evaluation System was being tested, the investigation focused on problems associated with duty-time limitations that might adversely affect the implementation of a system incorporating concepts related to management by objective--and which involves extensive		

Item 20 continued.

on-going communication between rater and rated officer. Following a selected review of the literature dealing with executive appraisal, the question was explored in a series of individual and group interviews with 23 reserve component officers in the grades of captain through brigadier general. Additional input came from two recently retired senior officers who are now members of a university faculty in management science. The results were favorable from the standpoint of applicability; moreover, indications were the system was recognized as having considerable merit and would be well received.