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# Exploratory Examination of Procedures for Improving Lieutenant Leadership Development

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U. S. Army

Research Institute for the Behavioral and Social Sciences

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| <p>→ This exploratory research set out to examine the utility of a lieutenant peer evaluation procedure commanders could use to formulate a leadership plan for the lieutenants with the objective of increasing feedback. Concurrently, practices and procedures in use in the company were examined to determine how lieutenant leader development was undertaken and to determine how peer evaluations could be integrated into the current system.</p> <p>Two combat arms battalions and 1 combat support battalion provided officers. A total of 2 battalion commanders, 1 executive officer, 7 company commanders, and 19 lieutenants participated. The research was composed of four phases extending over a period of 6 months. In Phase I, lieutenant peer evaluations were written and lieutenants completed self-rating forms. In Phase II, commanders evaluated lieutenants on a rating form similar to the one</p> <p style="text-align: right;">(Continued)</p> |       |                                                 |                                                                                                               |                                                      |                                  |
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## 19. Abstract (Continued)

used by lieutenants. In Phase III, a lieutenant leader development plan was to be written based on the peer evaluation information. In addition, examination of current practices in use in the participating companies was begun. In Phase IV, reevaluation by commanders of lieutenants and by lieutenants of themselves took place. *Keywords:*

The major conclusions drawn from this research include the following:

- o Peer evaluations in TOE (table of organization and equipment) units measured by the peer evaluation instrument employed in this research were not effective in achieving the quality or quantity of responses necessary to develop a lieutenant leadership development plan.
- o The Officer Evaluation Report Support Form (DA Form 67-8-1) or "-1" is an effective procedure available to commanders. However the potential value of the "-1" as a performance and developmental tool is not being exploited. This is not a result of lack of interest by company commanders but a lack of training in the use of the form. Modifications in the form itself and a training program that teaches commanders and subordinates how to specify behavioral objectives using the "-1" are both required to improve lieutenant leader development.
- o The utility of the 14-item Rating Form used in this research (or a similar evaluation instrument) by commanders and lieutenants for periodic clarification of performance expectations in conjunction with the OER Support Form should be further examined.



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# **Exploratory Examination of Procedures for Improving Lieutenant Leadership Development**

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## FOREWORD

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This study reports exploratory research into the current practices for lieutenant leader development and the potential utility of peer feedback as a developmental mechanism. The research concept originated with a former commander of III Corps and Fort Hood, LTC Walter Ulmer, and Dr. T. O. Jacobs of the Army Research Institute (ARI). Resources and sponsorship came from LTC Crosbie Saint, present commander of III Corps and Fort Hood. This effort was provided as Technical Advisory Service (TAS) by the ARI Field Unit, Fort Hood, Texas.

The report first examines the utility of an instrument involving written peer evaluations in TOE (table of organization and equipment) units. Concomitantly, the research examines the current procedures and practices in use in the sample companies for improving lieutenant development to determine which procedures, if any, may provide a vehicle for the peer feedback process. The latter resulted in identifying the Officer Evaluation Report Support Form (DA Form 67-8-1) as a possible mechanism. The report then suggests the addition of a rating measure to assist company commanders in identifying communications disjunctures with their lieutenants. Finally, it addresses the need for future research in this area. Copies of the report were provided to LTC Crosbie Saint, Commanding General, III Corps, U.S. Army; LTC Robert Elton, Deputy Chief of Staff for Personnel, U.S. Army; and LTC (Retired) Walter Ulmer, President, Center for Creative Leadership.



EDGAR M. JOHNSON  
Technical Director

# EXPLORATORY EXAMINATION OF PROCEDURES FOR IMPROVING LIEUTENANT LEADERSHIP DEVELOPMENT

## EXECUTIVE SUMMARY

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### Requirement:

Discussions between LTG Walter Ulmer, former Commanding General, III Corps and Fort Hood, and Dr. T. O. Jacobs, Army Research Institute, identified the need to evaluate the potential utility of a proposed peer feedback system in TOE (table of organization and equipment) units as a developmental tool for lieutenants. The collaborative interest of LTG Robert Elton, DCSPER and LTG Crosbie Saint, Commanding General, III Corps and Fort Hood, led to the initiation of exploratory research in August 1986.

### Procedure:

Two combat arms battalions and one combat support battalion were selected by the III Corps research coordinator, Mr. Fred Harris. The research was divided into four phases. In Phase I, lieutenants in each company were asked to write down suggestions for improvement of the professional performance of their company peers in four performance areas: mission skills, influence skills, understanding and leading others, and professional maturity.

In Phase II, a rating form consisting of 14 items, each with a 6-unit rating scale, was used. The rating form addressed the same four areas covered in Phase I. On this form lieutenants were instructed to rate their own performance compared with that of other lieutenants in their company. Using the same form, company and battalion commanders rated their lieutenants. The Unit Climate Profile (UCP) was administered to enlisted members of each company in an effort to identify areas where improvements in leadership performance were most needed.

In Phase III, dual procedures were planned. First, if the quality and quantity of responses given in the Phase I peer evaluation were adequate, company commanders would be asked to formulate a leadership development plan based on these responses for each lieutenant. This plan would be followed by the company commander and lieutenant for a period of approximately 5 months, and then the success of the plan would be evaluated. Second, a review of other procedures commonly employed by the company commander to provide leadership guidance to lieutenants would be monitored and evaluated by the researcher through regular discussions with the company commander over the same time period.

In Phase IV the administration of the 14-item rating form used in Phase II was repeated for all lieutenants, company commanders, and battalion commanders.

## Findings:

The lack of both quality and quantity of lieutenant responses in completing the Phase I peer evaluation forms resulted in insufficient information on which commanders could base the formulation of Lieutenant Development Plans. The potential utility of peer evaluation remains valid but as tested under the conditions of this research sufficient data were not available to assess its usefulness.

As discussed above, Phase III of the research plan called for establishing a dialogue with company commanders to evaluate procedures in current use that might achieve the desired feedback objectives.

During Phase III, the Officer Evaluation Report Support Form (DA Form 67-8-1) currently in use was found to have the potential for providing the type of feedback to lieutenants that had been sought through the peer evaluation procedure. However, to achieve this result, some modification in the Support Form was necessary. In addition, for the support form to be used correctly, a training program that reemphasized the meaning of the support form to include the developmental aspects of leadership, as well as its use as an evaluation tool, was deemed essential.

Use of the 14-item rating form highlighted a disparity between the company commander's ratings of the lieutenants and the lieutenants' rating of themselves. This type of information in conjunction with the Form 67-8-1 Support Form is hypothesized to be useful in identifying a basis for formulating formal development plans for the lieutenants. Further research is warranted.

Overall, there appeared to be a lack of specific leadership development training that focused on how to create a two-way communication for both performance and development goals. This was true for both lieutenants and captains.

## Utilization of Findings:

These preliminary findings provide the basis for further research and testing on the utility of (1) a modified DA Form 67-8-1 as a means of improving feedback for lieutenant leadership development and training necessary to employ it properly; and (2) the 14-item rating form used in this research project (or a similar form) as a supplement to the DA Form 67-8-1 to assist company commanders in developing appropriate performance standards for their lieutenants and effectively communicating these standards to their lieutenants.

EXPLORATORY EXAMINATION OF PROCEDURES FOR IMPROVING LIEUTENANT LEADERSHIP  
DEVELOPMENT

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# EXPLORATORY EXAMINATION OF PROCEDURES FOR IMPROVING LIEUTENANT LEADERSHIP DEVELOPMENT

## INTRODUCTION

### Background

Peer assessment has a long history. The military services used it during WW II for predicting success of navy pilots (Williams and Leavitt, 1947) and Officer Candidates (Jenkins, 1948). Hollander and Webb (1955) in a significant research effort showed that peer evaluations were not simply a friendship or popularity contest. Hernansen (1970), in a paper given at the United States Military Academy quotes from the O.E.R.S. Study Group, 1969, as follows:

"In both military and civilian environments, and in terms of the findings of both military researchers and behavioral scientists, peer ratings predict future success better than tests, better than subordinates, better than superiors, better than a combination of all three put together." He goes on to say that the finding holds across all services as well as in industries where peer rating research is conducted.

In a review of peer evaluation research, Downey and Duffy (1978) noted that two primary purposes have evolved. Both are evaluative in nature. In one case peer evaluation information is used to determine the adequacy of some individual characteristics such as leadership or job performance. In the other case, it is used to predict individual potential, motivation, etc. Their review found that most of the research had been conducted in school or training situations, particularly military, though they point out that the review was not exhaustive.

There are three methods in peer evaluation; peer nomination, peer rating, and peer ranking. Little difference among them was found in reliability or validity (Downey and Duffy, 1978; Kane and Lawler, 1978).

Peer evaluation is affected by several factors. First, it is often unacceptable to the participants and is costly to implement and execute. Second, it is sensitive to situational factors such as group size, group structure (informal), demographic characteristics, length of association, etc. (Downey and Duffy, 1978; Kane and Lawler, 1978).

It would appear there are three aspects of peer evaluation that deserve additional attention. The first is the type of information that is elicited from the respondent. In most peer evaluation, a quantitative measure is taken, a ranking or rating of some type. Second, most of the measures in the military have been taken in school or training environments where objectives are clearly defined and face-to-face contacts are frequent. Third, the rating information has not generally been used by the commander to formulate a plan for the subordinate officer to aid in his professional development.

This research was designed to: 1) utilize qualitative rather than quantitative information obtained from the officer; 2) work in a non-school environment; and 3) attempt to formulate a development plan from the information that could be articulated within the current Army system.

In early May, 1985, a meeting between LTG Walter Ulmer, former Commanding General, III Corps and Fort Hood, Texas and Dr. T. O. Jacobs, Army Research Institute took place at the Army War College, Carlisle, Pennsylvania. The topic was peer feedback systems in TOE units as a developmental tool for lieutenant leadership development. Experimentation with this concept was recommended provided that the research design had minimal potential for disrupting the chain of command or threatening the participants. These observations were conveyed in a letter on 18 May 1985 to LTG Crosbie Saint, Commanding General, III Corps and Fort Hood. A collaborative interest in such research was expressed by LTG Robert Elton, DCSPER. On the request of LTG Saint a briefing on the research was given by Dr. Jacobs in October 1985. LTG Saint recommended a preliminary survey to establish whether more extensive experimentation was desirable. At this point the ARI Field Unit at Fort Hood was given the responsibility of carrying out the research designed by Ulmer and Jacobs. The preliminary survey posed two major questions to twenty support units: 1) was there a need to increase the attention given to leadership development of lieutenants through an improved feedback mechanism; and 2) would research using lieutenant peer evaluations be an acceptable, productive and non-disruptive feedback procedure?

The results of the survey completed in March 1986 showed lieutenants were most enthusiastic, 9 out of 10 interviewed said they would support the research. Three of the five company commanders supported it fully, one had some reservations and one could not support it at all. Among the five battalion commanders, three supported it, one had reservations, and one did not support it at all.

Based on these results LTG Saint approved the research plan in April 1986. The research was to be carried out in coordination with a project supervisor, Mr. Fred Harris, III Corps Directorate of Program Integration and Leadership.

The research would be limited in scope, and interference with training was to be kept at a minimum.

Preliminary coordination and tasking were begun. Initial briefings of the officers of the test battalion took place in August 1986. Data collection was initiated in September 1986.

The plan to explore the utility of peer evaluation outlined by Ulmer and Jacobs was followed. As they had pointed out, a substantial amount of work had been done on the utility of peer ratings as selection tools applied in a school environment such as the U.S. Military Academy, OCS and Ranger Training. However, no evidence of formal use of peer ratings in TOE units was found.

## Research Objectives

The exploratory research had three objectives:

- o Evaluate the potential utility of a proposed peer feedback methodology as a tool for lieutenant leadership development in TOE units.
- o Establish an environment in which a continuing dialogue with company commanders on the topic of lieutenant professional development could take place. Its purpose was to identify current procedures used by selected commanders which might be institutionalized in the Army and be used to improve the leadership development of lieutenants.
- o Evaluate the utility of an instrument which allegedly provides the company commander with a periodic measure of a platoon leader's understanding of how performance is going to be assessed by the commander.

## METHOD

### Participants

Three battalions were selected by III Corps to participate, two combat arms and one combat support. To maintain the confidentiality requested by III Corps, they were designated A, B, and C battalions. Battalion A was designated a control battalion and B and C were experimental battalions. In each battalion the four company commanders and their lieutenants took part. The battalion commanders of two battalions and the executive officer of the third battalion also participated.

Over a six month period in most Army units many shifts in officer assignments occur. This turbulence was anticipated and accepted as part of the research cost. At the outset there were twelve lieutenants and four company commanders in battalion A, thirteen lieutenants and four company commanders in battalion B, and twelve lieutenants and four company commanders in battalion C. By the conclusion of the research effort changes had been made in lieutenants, company commanders, and a battalion commander. Moreover, control battalion A had been reorganized into a task force, units being exchanged among battalions, leaving only one company suitable as a control. Hence, of the original group 25% remained from Battalion A and 63% remained from Battalions B and C. The final number of participants is presented in Table 1.

Table 1

### Composition of the Research Population

| Battalion | Commander |         | Lieutenants |
|-----------|-----------|---------|-------------|
|           | Battalion | Company |             |
| A         | CDR       | 1       | 3           |
| B         | XO        | 3       | 5           |
| C         | CDR       | 3       | 11          |

### Research Approach

The research plan was divided into four phases.

Phase I. In this phase an assessment was made of utility of an instrument suggested by Ulmer and Jacobs as a means of collecting peer evaluation information (See Appendix A). Initially the lieutenants of each of the three battalions were assembled and an explanation of the research was given. A thorough description was given of the Army's interest in helping lieutenants develop more rapidly professionally by increasing the amount of constructive feedback from their commanders. They were shown the peer evaluation questionnaire form which asked each lieutenant to make constructive

criticisms of other lieutenants in his company. Lieutenants were asked to complete the instrument and write down constructive statements about other lieutenants in their unit. The instrument covered four categories of leadership competency established by McBer and Associates as modified by Ulmer and Jacobs (Cullen, B.J. et al. 1983). These were: Mission Skills; Influence Skills; Understanding and Leading Others; and Professional Maturity. (See Appendix A for a complete list of topics and subtopics covered.)

During the course of any data collection unanticipated events can effect the research. Sometimes these events are important enough to severely alter the design of the research. Usually the events are of a magnitude that permits the research to continue with either a modest change in the plan or the events by their nature provide an independent measure of their impact on the research and, thus, their effects can be taken into account when conclusions are drawn. An event of the latter type --an unanticipated yet measurable event--occurred during this research.

Data collection at the first battalion took place in a large classroom with ample space for officers to write in privacy. No communication was permitted among officers during the responding throughout the research. At the second battalion the same type classroom was reserved but unit needs forced a move to a small conference room where the officers were seated close together and little privacy was afforded. A noticeable change occurred in the officers as indicated by the large number of verbalized concerns made to the researcher and the III Corps representative about the peer evaluation process.

Alerted by this reaction to the possible effects this might have on responses, an examination of the response frequency between the two battalions was done. A decided difference was found to exist. (See p. 7, Results) As a consequence, a decision was made to collect the data in the third battalion from the lieutenants individually in the belief that by providing more privacy there might be an increase in the level of responses and to test the validity of "physical proximity" as a possible contributor to depressed responding. The three very different conditions of physical degree of proximity defined the "stress levels." The analysis of the consequences of this unanticipated variable is included in the Results section.

Statements were initially screened by Dr. Norman D. Smith, ARI Fort Hood Field Unit and Mr. Fred Harris, III Corps, to determine whether they were suitable to be used in the research. The criterion used for exclusion of a statement was based on whether it pointed to a behavior that was relevant to the military setting and was modifiable within the military context by the commander or by the officer himself/herself.

Phase II. Before any discussion of peer evaluation information took place company commanders were asked to evaluate their platoon leaders on a fourteen-item rating form.<sup>1</sup> Each item consisted of a six point rating scale. Those fourteen items covered the same four areas that were used in the Ulmer and Jacobs peer evaluation instrument in Phase I. During the same time period all lieutenants rated themselves on the same instrument. On this form they

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<sup>1</sup>This fourteen-item rating form is subsequently referred to elsewhere in this report as the "Rating Form" and can be found at Appendix B.

first rated themselves on how well they compared with other lieutenants in their company. Second, they rated themselves on how well they compared with their notion of an ideal lieutenant. They were told this information would be used in developing their leadership development plan. Commanders were also asked to administer the Unit Climate Profile<sup>2</sup> at this time to determine whether any unusual or unforeseen variable might affect the research.

Phase III. At the outset of Phase III, the peer evaluation comments made by lieutenants were discussed with the company commander. The commander was shown how his ratings compared with the lieutenant's self-ratings. The results of the Unit Climate Profile for his unit were also presented and discussed. During the following five month period contacts took place between the researcher and the company commander every 4 to 6 weeks to discuss the procedures used by the company commanders in assisting the growth and development of their platoon leaders.

Phase IV. Lieutenants again evaluated themselves by completing the Rating Form. At this time they were also reevaluated by their battalion and company commanders using the same Rating Form.

In Phase I and IV measures from the battalion commander, company commander and lieutenants were also obtained from the control battalion which was not otherwise contacted during the five month research period.

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<sup>2</sup>DA Pam 600-69, 10 October 1986. Used with Sergeants (E-5) and below to sense the general level of satisfaction in a company.

## RESULTS

### General

This section is divided into five parts. First, a descriptive analysis of the lieutenant written peer evaluation procedure is provided. Second, a brief discussion of the results of administering the Unit Climate Profile is given. This is followed by an analysis of battalion commanders' and company commanders' ratings of lieutenant performance and lieutenants' self-ratings. Fourth, use of the Officer Evaluation Report Support Form (DA Form 67-8-1) as an aid in lieutenant development is discussed. Finally, the utility of the Rating Form to supplement use of the DA Form 67-8-1 by the company commander is addressed.

### Assessment of Written Peer Evaluation as a Procedure

Among the thirty-seven lieutenants participating in this exploratory effort, mixed reactions were obtained concerning the desirability of the technique to provide specific and valuable feedback which might lead to improved leadership effectiveness. Without question peer evaluation can be a potentially stressful task. Furthermore, the circumstances under which the officer must fill out the information forms may add considerably to the stress and, hence, usefulness of the responses. As noted in the Methods section, conditions under which peer evaluation data was forced to be collected emerged as an unanticipated but potent variable. Officers in one battalion were well separated in the same large room; in a second battalion they were seated shoulder to shoulder; and in the third, they were interviewed individually. Stress was operationally defined by the physical proximity--high stress (close proximity), moderate stress (intermediate proximity) and low stress (no other officers in the room). To estimate the impact of these different conditions, the number of responses given by each officer was tabulated. One measure of the impact of these different conditions was a simple tally of the number of peer evaluation responses written by each officer.

The results of the evaluation showed 33% (4 of 12) of the lieutenants responding in the high stress condition, 75% (9 of 12) in the moderate stress and 83% (10 of 12) in the low.

Table 2 presents this data together with other related measures. For example, in the high stress group only four lieutenants responded with comments about six of the twelve other lieutenants in the battalion. In the moderate stress group, nine responded with comments about the twelve in the battalion and in the low stress group ten responded with comments about twelve of the twelve in the battalion. These data, therefore, indicate that as the stress (as defined) increases, both the number of lieutenants responding and the number of responses per lieutenant decrease.

Table 2

Effects of Stress on Frequency of Peer Responding

| Response Frequency              | Stress Level (Physical Proximity) |                   |               |
|---------------------------------|-----------------------------------|-------------------|---------------|
|                                 | High<br>(Close)                   | Moderate<br>(Low) | Low<br>(None) |
| Total No. of Responses          | 20                                | 32                | 44            |
| Total No. Lieutenants in Sample | 12                                | 12                | 12            |
| Total No. Responding            | 4                                 | 9                 | 10            |
| Proportion of Sample Responding | 33%                               | 75%               | 83%           |
| No. of Peers Rated              | 6                                 | 12                | 12            |

Review of the written peer evaluations indicated that for some officers, deficiencies noted were frequently similar. Although there might be five comments about a given officer by five different officers, the behavior noted was usually the same. Hence, the number of different comments was small. Nevertheless, each of the comments was discussed with the company commander to determine whether the information provided on the peer evaluations added to his current awareness of the lieutenant. In no case was the information new and in all cases the commander was already addressing the problem. In summary, it appears that peer evaluations evoke stress and that physical proximity exacerbated the condition giving rise to quantitative and qualitative reduction in responses. Moreover, the information did not add to the company commander's knowledge. Therefore, it was concluded that a lieutenant leadership development plan based on these peer evaluations was not feasible.

Unit Climate Profile Feedback

The Unit Climate Profile (UCP) was designed to assess attitudes of pay grades 1-5 (Pvt to Sgt) on twenty-one areas related to unit function. It is now a standard measurement tool for the Army and designated as PAM 600-69, dated 10 October 1986. In this research the UCP was used at the outset to estimate whether any companies that were selected might have unique problems which the UCP could detect. It was presumed that any such problems would affect the leadership climate directly and the research indirectly. The average of all twenty-one areas for the seven companies (.28) is not substantially different from the average of .20 found in the report by Palmer (1984)<sup>3</sup> for 100 company-sized units. The companies in the research had the following averages: .71, .32, .35, .19, .29, .46, and -.38. The conclusion was drawn that the units in the research were within the limits of the data presented by Palmer and could be considered a suitable sample of companies without exceptional enlisted discontent.

<sup>3</sup>R. L. Palmer, G. M. Gividen, and E. R. Smootz. Development of the Commander's Unit Analysis Profile (CUAP). ARI RR 1386, December 1984.

# Assessment of Differences Among Ratings of Battalion Commanders, Company Commanders, and Lieutenants

Although no formal intervention (using a leadership development plan) was feasible, it was hypothesized that the intermittent contacts with the two "experimental" battalions might have had some effect. To assess this possibility, lieutenants were rated on the Rating Form by both battalion and company commanders on two occasions separated by five months. Analyses using the combined score from the two rating periods showed no significant overall differences among ratings for the different battalions [ $F(2,16) = 1.88, p > .05$ ]. The control battalion (reduced to one company) showed no pattern of responding different from the other two battalions. A test of the difference between the ratings of battalion commanders and the ratings of company commanders showed no significant differences [ $F(1,16) < 1, p > .05$ ] between them. Further, the pattern of ratings by battalion and company commanders in each battalion appeared comparable [ $F(2,16) = 1.59, p > .05$ ]. Means and standard deviations showing absolute (non-significant) differences are presented in Table 3 for descriptive purposes.

Table 3

Battalion and Company Commander Means and Standard Deviation<sup>1</sup>

| Type of<br>Commander | Battalion                  |           |                        |           |                         |           |
|----------------------|----------------------------|-----------|------------------------|-----------|-------------------------|-----------|
|                      | A (Control)<br>( $n = 3$ ) |           | B (Exp)<br>( $n = 5$ ) |           | C (Exp)<br>( $n = 11$ ) |           |
|                      | <u>X</u>                   | <u>SD</u> | <u>X</u>               | <u>SD</u> | <u>X</u>                | <u>SD</u> |
| Company              | 73.83                      | 6.43      | 64.60                  | 9.12      | 63.55                   | 9.96      |
| Battalion            | 72.50                      | 8.12      | 67.70                  | 6.70      | 61.91                   | 13.29     |

All differences non-significant ( $p > .05$ )

<sup>1</sup> Each of 14 items for each lieutenant being rated had scale values ranging from 1 to 6; hence, total score could range from 14 to 84.

There were no statistical differences between the battalion commanders' ratings and company commanders' ratings of lieutenants overall. However, when ratings were broken into the two rating periods the pattern showed battalion commanders ratings were lower on period one and higher on period two than company commanders'. Battalion commanders changed more than company commanders in their evaluation of the lieutenants. On the other hand, lieutenants' ratings of themselves started high in period one and increased only slightly in period two. (See Figure 1.) It appears that battalion and company commanders share a somewhat similar set of lieutenant performance

standards while lieutenants are using a different set of standards. These findings support the hypothesis that more feedback to lieutenants on the performance standards used by their commanders is needed.

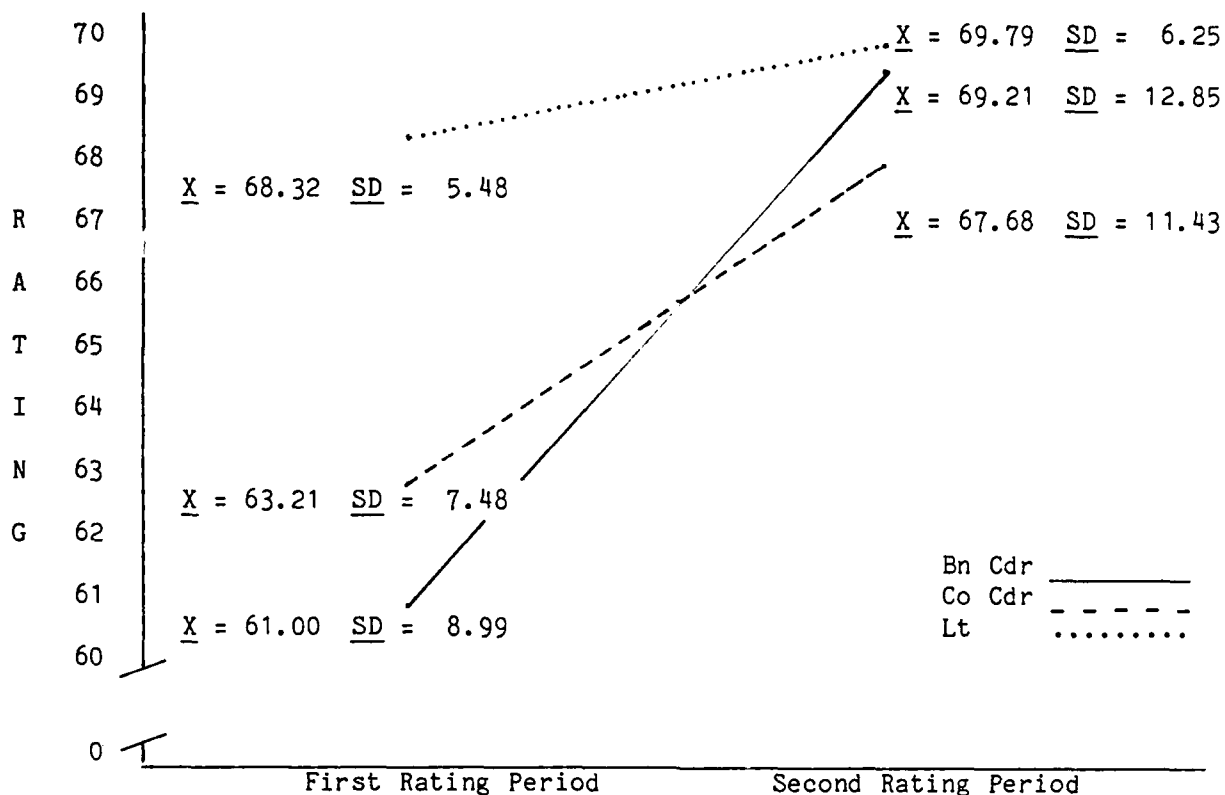


Figure 1. Mean Ratings of Lieutenants by Battalion and Company Commanders and of Lieutenants of Themselves at Two Rating Periods

The ratings which lieutenants gave of themselves compared with their concept of an ideal officer at this stage of professional development (referred to as "ideal ratings") showed no significant difference among companies [ $F(6, 12) = 1.87, p > .05$ ]. On examination of the pattern of responding of the lieutenants in the companies at the two rating periods non-significance was also found [ $F(1, 12) = 2.41, p > .05$ ]. Difference scores were obtained by substrating ideal ratings from "actual ratings" (a lieutenant's comparison of himself with other lieutenants in the unit) followed by an analysis of variance that showed no significant differences in the overall pattern of responding by lieutenants by company [ $F(1, 12) = 2.67, p > .05$ ]. These findings point to the relative stability of the ideal values rating which is not remarkable. In Table 4, the means and standard deviations are presented to portray the consistently lower ideal rating compared to the actual rating. The ideal rating is lower because the officer is comparing himself with his ideal on a scale of 1 to 6 (one low, 6 high) rather than comparing himself to other lieutenants in the company. As would be expected in any such comparison, the ideal rating score (achieved when the lieutenant rated himself in comparison with his concept of an "ideal" lieutenant) was lower than when the lieutenant compared himself with his peers.

Table 4

Comparison of Actual and Ideal Self Ratings by Lieutenants

| Company            | Test Period | Actual    |       | Ideal     |       |
|--------------------|-------------|-----------|-------|-----------|-------|
|                    |             | $\bar{X}$ | SD    | $\bar{X}$ | SD    |
| Company 1<br>N = 3 | Test 1      | 70.00     | 6.24  | 67.00     | 7.00  |
|                    | Test 2      | 67.33     | 6.81  | 61.67     | 3.79  |
| Company 2<br>N = 2 | Test 1      | 69.50     | 7.78  | 68.50     | 6.36  |
|                    | Test 2      | 69.00     | 18.38 | 68.00     | 18.38 |
| Company 3<br>N = 3 | Test 1      | 64.33     | 8.14  | 52.00     | 10.44 |
|                    | Test 2      | 67.00     | 3.61  | 56.00     | 10.15 |
| Company 4<br>N = 3 | Test 1      | 65.00     | 4.36  | 57.67     | 6.35  |
|                    | Test 2      | 69.33     | 2.52  | 62.33     | 4.16  |
| Company 5<br>N = 3 | Test 1      | 71.00     | 4.36  | 68.67     | 5.69  |
|                    | Test 2      | 72.33     | 2.08  | 67.33     | 1.53  |
| Company 6<br>N = 2 | Test 1      | 66.50     | 2.12  | 58.50     | 4.95  |
|                    | Test 2      | 69.50     | 2.12  | 66.00     | 5.66  |
| Company 7<br>N = 3 | Test 1      | 71.67     | 4.16  | 68.33     | 6.11  |
|                    | Test 2      | 73.67     | 7.51  | 74.00     | 5.29  |

Assessment of Traditional Procedures Currently in UseOfficer Evaluation Report Support Form Review

Discussions with company commanders indicated that the only procedure in use that might serve as a means to increase feedback and provide a framework for lieutenant leadership development was the Officer Evaluation Report (OER) Support Form (DA Form 67-8-1). It is often referred to as the Support Form or simply the dash one ("-1"). The Support Form is used in conjunction with the OER and, as stated on the "-1," serves as a guide for the rated officer's performance, assists in the development of the rated officer, enhances the accomplishment of the organization mission and provides additional performance information to the rating chain. The "-1" is supposed to be completed within the first 30 days of an officer's entry into a unit followed by a discussion of its contents between the rater and ratee.

The "-1" is composed of Parts I - V. Part I identifies the rated officer. Part II identifies the rating chain for the officer. Part III is for verification of initial face-to-face discussion of the document contents. Part IVa requires the rated officer to state his significant duties and responsibilities. Part IVb asks for the major performance objectives and

Part IVc asks for a list of significant contributions. Part V provides space for rater and intermediate rater comments and their signatures. (See Appendix C for a copy of DA 67-8-1.)

The current procedure used by the commander with the "-1" is to have the new lieutenant fill out the objectives section of the form so that it parallels and complements (supports) the objectives the commander has written on his own form. To facilitate this effort the company commander sometimes gives his own "-1" to the lieutenant as a model for reference. Often this is the first duty assignment for the lieutenant and his knowledge of the function of a platoon is limited. Moreover, the expectations of the company commander are also as yet unclear. Hence, the practice of aiding the new lieutenant by having him review the "-1" of his commander gets him started in the right direction. It assures a continuity of expectations flowing from the top down. To this point, the "-1" can function to assist in furthering the objectives of the unit.

The lieutenant completes Parts IVa and b with the aid of the commander's form and some help from more "seasoned" lieutenants. In most of the units the "-1" is then typed, after which a somewhat perfunctory meeting takes place between the lieutenant and his commander to satisfy the requirement in Part III. Then the form is initialed by the commander. It then goes into the lieutenant's file retained by the company commander. In most of the units, it is seldom, if ever, referred to in the following months. The form is used again when the lieutenant has to complete Part IVc, to list his accomplishments. This is done just before the commander writes the lieutenant's OER.

The commanders were asked if this form would also be useful as a means of focusing on the development of the young officer's professional and personal skills. Their responses indicated that in addition to unit objectives, behavioral performance objectives (such as improved oral and written communication), leadership skills, etc. should be included. In most instances however, the performance objectives were centered primarily on the unit and not on officer behavior. Clearly, the addition of performance components that focused on the lieutenants' behavior would enhance the value of the "-1" as a leadership development tool.

A review of the lieutenants' "-1s" also showed some confusion between goals and objectives. A goal is a general statement of what is intended to be done, but because goals are general they can be interpreted in many ways. An objective is much more specific and if well stated leaves little doubt regarding exactly what, how, and when something is to be accomplished. This confusion made it more difficult to state specifically what had been accomplished. For example, if a statement under objectives was "to support the commander's policy of combat readiness," it was difficult in the accomplishments section to spell out how this was done. If the objective were stated in operational terms--how many vehicles made it to the field, or how many were kept running during exercises and returned under their own power--it would be easier to identify the accomplishment.

For all intents and purposes, most of the commanders had previously viewed the "-1" as "just another requirement to be met." The forms were almost always typed which presented the impression that they were "locked in concrete" from the outset. Few, if any, changes had been made in them from the day they were first completed. No supplemental notes were attached which reflected changes in objectives. It is not uncommon for armor or infantry units to do many things not considered traditional armor or infantry tasks. Yet none of these different tasks found their way into the objectives part of any "-1." (Incidentally, this was as true for the company commanders' "-1s" as it was for the lieutenants'.) Without a doubt, the form was not being treated as a "living" document that reflected the changing tasks and the increasing knowledge of the young platoon leader. Professional development or military socialization of a young officer includes a broad range of experiences, some of which relate to his ability to develop a flexible attitude toward the many diversions from "preparing his unit for war" that a peace-time army must learn to accept as part of the military profession.

During the course of the research commanders were encouraged by research personnel to make use of the "-1" as a leadership development tool. They did so in varying degrees, and lieutenants who had completed the form months ago were called in by the commander for a discussion of the current relevance of the "-1" objectives and the need to add others. These changes were written on tablet paper and appended to the "-1" with an agreement to meet again in three months.

As a result, the "-1" emerged as a potentially useful performance-based vehicle for increasing feedback to lieutenants. This research indicates Commanders need improvement in their ability to perform in the face-to-face situation called for by this use of the current "-1." It further indicates that this form, if modified, has the potential for creating an administrative basis for more frequent contacts between the commander and his officers to: 1) refine unit goals on a regular basis; and, 2) further identify behaviors which would promote those goals. This, in turn, should foster further professional and personal development. All officers involved in the research agreed that modification of the "-1" would make it a document better able to facilitate the professional development of lieutenants.

#### Officer Evaluation Report Support Form Modifications

The modifications recommended were modest. In Part III (Verification of Initial Face-to-Face Discussion) more than just an initial contact should be required. To insure that the document is used, space should be made available to document each contact by initial and date. Company commanders felt this would create a requirement which would insure its use by commanders. A meeting at least once every three months was recommended. Company commanders also recognized that the objectives in Part IVb were often stated too generally. More often than not they were a repetition of the battalion and company commanders' goals and objectives. In general, a description of duties which could be applied to any platoon leader of any tank platoon was used. Frequently lacking were specific behavioral objectives for the development of that particular officer. However, it was felt that these behavioral objectives would emerge over time if additional

training for commanders were provided on how to think in behavioral terms and if the form were used regularly. The problems in IVb led to difficulty in filling out Part IVc.

One company commander indicated that Part IVb of the "-1" should reflect the same elements found in Part IV of the OER. This would force parallel use of descriptive terminology and reduce the possibility for confusion. All officers were in favor of not requiring the "-1" to be typed, but rather to only be completed in a readable form. All agreed that the form should be modified as the lieutenant matured in his role as platoon leader so it could reflect new behaviors or increased proficiency of behaviors already developed.

It seemed obvious from the way the form was being generally employed that little or no instruction had been given on the use of the "-1." This was acknowledged by all of the company commanders. Some commanders recalled a "mention" of the "-1" in the Officers' Basic Course but nothing more. In their experience, the form was universally being used just as they were currently using it. Certainly this speaks eloquently to the fact that young officers learn and perpetuate what they learn from their commanders and points to the need for careful attention to the role model function, especially as it applies to the junior officer. All officers agreed that a training program that reviews the use of the "-1" form was needed. That review should include stating functions and objectives in terms of both qualitatively and quantitatively different behaviors. In so doing, a better leadership development tool would emerge. Finally, a very important consideration in making the document a useful instrument was underscored by many of the company commanders. Specifically, they indicated that battalion commanders had to understand the value of the instrument and use it in a similar manner with their company commanders.

Without exception, company commanders stated that they wished that when they were lieutenants their commanders had used the "-1" in the manner suggested by the current research.

#### Examination of Rating Form as Supplementary Measure for Use With the Support Form ("-1")

The results of an analysis of the Rating Form were used to point out to the company commanders the discrepancy between their assessment of a lieutenant and the lieutenant's self-assessment. This was a consistent enough finding to suggest that this rating form, or a similar one, might help future commanders to identify this type of communication disjunction. An analysis of the current rating form with its six point rating scales showed it was reliable in a test-retest on a small sample. The Pearson Product Moment correlation was a .95 with a sample of ten officers.

An analysis of variance of the total of the scores obtained at the two rating periods of lieutenant self-ratings and company commander ratings of those lieutenants was not significant [ $F(1,16) < 1, p > .05$ ]. However, lieutenants and company commanders showed significant differences in the way their ratings changed between the two rating periods [ $F(1,16) = 4.67, p < .05$ ]. See Figure 1. In another ANOVA where each of the four rating areas

was used in comparing overall company commander's ratings of lieutenants and lieutenants' self-ratings the differences in Areas 1, 2, and 4 were not significant but the difference in Area 3--understanding and leading others--was significant [ $F(1,16) = 7.49, p < .05$ ]. When the pattern of company commander and lieutenant ratings in each of the two rating periods were analyzed for each of the rating areas, findings point to the fact that company commanders saw significant improvement in their lieutenants over the six month period separating ratings in the mission skills and influence skills areas. The lieutenants reflected no significant change in their self-ratings.<sup>4</sup> See Table 5 for means and standard deviations.

Table 5

Company Commander and Lieutenant Ratings at Two Rating Periods on the Four Performance Areas

| Areas                                           | N  | 1st Rating Period |           |          |           | 2nd Rating Period |           |          |           |
|-------------------------------------------------|----|-------------------|-----------|----------|-----------|-------------------|-----------|----------|-----------|
|                                                 |    | Co Cdr            |           | Lt       |           | Co Cdr            |           | Lt       |           |
|                                                 |    | <u>X</u>          | <u>SD</u> | <u>X</u> | <u>SD</u> | <u>X</u>          | <u>SD</u> | <u>X</u> | <u>SD</u> |
| (1) Mission Skills <sup>a</sup>                 | 19 | 12.63             | 2.56      | 14.05    | 1.96      | 14.63             | 3.00      | 14.47    | 2.04      |
| (2) Influence Skills <sup>b</sup>               | 19 | 18.11             | 1.82      | 19.26    | 2.08      | 19.37             | 2.67      | 19.84    | 2.63      |
| (3) Understanding & Leading Others <sup>c</sup> | 19 | 13.32             | 1.92      | 15.42    | 1.35      | 14.42             | 3.04      | 15.47    | 1.50      |
| (4) Professional Maturity                       | 19 | 19.16             | 2.79      | 19.58    | 2.19      | 19.26             | 3.65      | 20.00    | 1.80      |

<sup>a</sup> [ $F(1,16) = 6.12, p < .05$ ]

<sup>b</sup> [ $F(1,16) = 5.20, p < .05$ ]

<sup>c</sup> [ $F(1,16) = 4.25, p = .06$ ]

<sup>4</sup>-----  
The ANOVA was a a mixed design (1 between, 2 within) where battalion is the between subjects variable and raters (Co Cdr and LT) and rating periods are the within subjects variables.

## SUMMARY

This research began as a requirement to examine the utility of a peer evaluation instrument that had been designed to aid the company commanders of operational units in constructing a leader development plan for lieutenants. The idea, the instrument, and preliminary plan had been previously prepared but the final development of the research plan, the analysis and the interpretation were completed by the author.

The final research plan broadened the initial directive by requiring an examination of: 1) what the company commander was currently doing about lieutenant leader development, and 2) what system or systems were available into which the peer evaluation concept might be retrofitted or whether a completely new system would be required.

As a result of unanticipated changes in room scheduling for data collection three conditions under which peer evaluations were collected emerged. They involved the degree of privacy each lieutenant had when he was making his evaluations; seated closely together, ample spacing, and on an individual basis. The overall finding that an insufficient number of responses was given, even in the low proximity group, was of significant interest from the perspective of the Army's subculture where "looking good" is in constant conflict with "tell it like it is." This observation suggests the possibility that lieutenants have already internalized the message that commanding officers are performance raters, not leader developers. The impact on the research of the low response frequency prevented the writing of an adequate lieutenant development plan. Moreover, the usefulness of the statements was limited because commanders were already aware of the problems surfaced by the lieutenants. Both the lack of number of responses and their degree of commonality suggest that lieutenants know no more about the performance of their peers than their commanders or that peer evaluation is sufficiently threatening that no valid information can be obtained by the procedure.

The need for greater emphasis on leader development for the junior officer was emphasized by comments made by a number of company commanders. They said they understand the value to the lieutenants of developmental and performance feedback because the captains indicated how useful such feedback would have been to them when they were lieutenants. This suggests the absence of any consistent leader development training for at least two "generations" of company level officers. The comment was frequently made by captains that when they were lieutenants they had learned what a leader should not do by observing their company commanders.

One possible solution to improving both developmental and performance feedback to the lieutenants emerged in this research. A procedure that may be useful in increasing the communications between superior and subordinate officers is use of the Officer Evaluation Report Support Form (AR Form 67-8-1) or "-1.". The purpose of the Support Form includes a developmental as well as a performance rating dimension. The rating aspect appears to have received most attention. The movement in the direction of management by objectives (MBO) to increase objectivity of the OER and to insure that the

officer understood the performance criteria upon which an OER would be based were stressed. As noted in this research, the "-1" is seldom used as a developmental tool and application of the MBO concepts has significantly diminished. Junior officers have asserted the need for more feedback that aids in professional development. An evaluation of the "-1" showed it might provide an immediate improvement to the lieutenant leadership development process if two changes were made. The first is a modification in the Support Form Part III. Instead of the commander meeting with his subordinate officers once each rating period, he would be required to meet and discuss the form at least once every three months and document that such a discussion had taken place. The second--perhaps the most important change--has to do with understanding this is a critical administration change which will force commanders to acquire more skill in face to face communications with subordinate officers which deal with the development side of the officer in addition to the performance/evaluative side. The form may have been explained when it was first introduced into the Army, but that meaning apparently has been lost. Training is required which clearly explains the purpose of the form and helpful suggestions on how to prepare it, i.e., distinguishing goals from objectives and writing behavior performance objectives for development of the lieutenants. Inclusion of several goal/behavioral objectives as examples would be helpful. Emphasis in this training should be placed on the commander's responsibility to clarify first, for himself, his expectations of his subordinates and the measures he uses of those expectations, and then the commander must make certain the subordinate understands them. The more frequent discussions required by the recommended modified "-1" will help create circumstances in which performance expectations of the commander can be better communicated to his lieutenants.

Finally, the research pointed out the possibility that other instruments may be successful in providing the company commander with useful information. The fourteen-item rating form used by the commanders and lieutenants emerged as an instrument that provided potentially useful information. An interesting dimension of the commander/lieutenant relationship was seemingly tapped, i.e., the need for the company commander to carefully clarify the subjective as well as objective performance measures and standards that he uses in dealing with his lieutenants. The differences found when comparing the patterns of commander evaluation on the four rated areas and the lieutenants in September/October and in March suggests that company commanders saw improvement in their lieutenants that the lieutenants did not see in themselves. These findings may be accounted for by recognizing that self ratings are based on the lieutenants' own self-reference while the company commanders' ratings are based on an external criteria--such as job performance. Nevertheless, knowledge of a lieutenant self-assessment compared by the commander with his own assessment of the lieutenant provides a basis for improving feedback and performance based interactions between the company commander and the lieutenant.

## CONCLUSIONS

Peer evaluations in TOE units measured by the peer evaluation instrument employed in this research were not effective in achieving the quality or quantity of responses necessary to develop a lieutenant leadership development plan.

The Officer Evaluation Report Support Form (DA Form 67-8-1) or "-1" is an effective procedure available to commanders. However the potential value of the "-1" as a performance and developmental tool is not being exploited. This is not a result of lack of interest by company commanders but a lack of training in the use of the form. Modifications in the form itself and a training program that teaches commanders and subordinates how to specify behavioral objectives using the "-1" are both required to improve lieutenant leader development.

The utility of the fourteen-item Rating Form used in this research (or a similar evaluation instrument) by commanders and lieutenants for periodic clarification of performance expectations in conjunction with the OER Support Form should be further examined.

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APPENDIX A

PEER EVALUATION QUESTIONNAIRE

## LIEUTENANT LEADERSHIP DEVELOPMENT RESEARCH

### PURPOSE

Your tour as a platoon leader has several objectives. One of these is to give you the opportunity to develop yourself as a leader. The purpose of this support form is to give lieutenants in this battalion a basis for creating leader skill development plans. This information will not be used for evaluation purposes, and will not be reflected in any way in any official files.

This form is experimental, and the approach is new. The kind of battlefield for which we prepare will make the most intense demands on all our leaders. We must use the time we have available now to grow as much as we can in the skills needed to lead our soldiers well under those conditions. We owe them no less than our very best.

In this research phase, the comments you provide will first be consolidated by scientists at the Army Research Institute, Fort Hood Field Unit. As appropriate, the information will be given to the respective company commanders in conjunction with training on how to use the leadership development plan concept.

### INSTRUCTIONS

Four forms are attached. Each has a list of the lieutenants in your battalion. Each form deals with a specific competency area, and requests you to make a constructive criticism of each other officer you know well enough to advise. The four areas are Mission Skills, Influence Skills, Understanding and Leading Others, and Professional Maturity. For each officer you know well enough, in the space by his name write a description of an important skill that needs developing, or a specific lack of skill that might compromise his potential combat leadership.

For each comment, you are to estimate how often you have noted this behavior or lack of it and to rate your confidence that a change will occur if the behavior is brought to the lieutenant's attention by the company commander.

Turn the page for examples.

Example 1: LT \_\_\_\_\_ strongly needs help in land navigation.

How frequently have you observed this behavior? (Circle your choice)

20 Times    15    10    5    4    3    2    Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_    Probably Yes \_\_\_    Maybe \_\_\_    Probably \_\_\_    Definitely No \_\_\_

Example 2: LT \_\_\_\_\_ is abrasive with his men and does not support them.

He needs to talk more with his platoon sergeant to get an understanding of  
how to talk with the young soldiers. He does not know them well enough.

How frequently have you observed this behavior? (Circle your choice)

20 Times    15    10    5    4    3    2    Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_    Probably Yes \_\_\_    Maybe \_\_\_    Probably \_\_\_    Definitely No \_\_\_

YOUR SUGGESTIONS SHOULD BE SPECIFIC, AND AIMED AT HELPING PROFESSIONAL  
DEVELOPMENT, AS ONE PROFESSIONAL SOLDIER TO ANOTHER.

PEER SUPPORT FORM

MISSION SKILLS

Observer's Name \_\_\_\_\_

This area consists of the following:

Efficient/effective use of resources  
Effective planning and organization of effort  
Concern for high standards of performance

For each officer you know well enough, please write a specific suggestion for improvement in this area. Then rate your statement on frequency of occurrence and likelihood of change.

NAME

COMMENT

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How frequently have you observed this behavior?

20 Times   15   10   5   4   3   2   Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_\_ Probably Yes \_\_\_\_ Maybe \_\_\_\_ Probably \_\_\_\_ Definitely No \_\_\_\_

NAME

COMMENT

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How frequently have you observed this behavior?

20 Times   15   10   5   4   3   2   Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_\_ Probably Yes \_\_\_\_ Maybe \_\_\_\_ Probably \_\_\_\_ Definitely No \_\_\_\_

# MISSION SKILLS

Observer's Name \_\_\_\_\_

NAME

COMMENT

How frequently have you observed this behavior? (Circle your choice)

20 Times    15    10    5    4    3    2    Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_ Probably Yes \_\_\_ Maybe \_\_\_ Probably \_\_\_ Definitely No \_\_\_

How frequently have you observed this behavior?

20 Times    15    10    5    4    3    2    Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_ Probably Yes \_\_\_ Maybe \_\_\_ Probably \_\_\_ Definitely No \_\_\_

How frequently have you observed this behavior? (Circle your choice)

20 Times    15    10    5    4    3    2    Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_ Probably Yes \_\_\_ Maybe \_\_\_ Probably \_\_\_ Definitely No \_\_\_

RATING FORM  
INFLUENCE SKILLS

\_\_\_\_\_  
Observer's Name

This area consists of the following:

Persuasive Skills  
Willingness to Confront Others  
Forcefulness  
Concern for Clarity

For each officer you know well enough, please write a specific suggestion for improvement in this area. Then rate your statement on frequency of occurrence and likelihood of change.

NAME

COMMENT

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How frequently have you observed this behavior?

20 Times   -15   10   5   4   3   2   . Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_\_ Probably Yes \_\_\_\_ Maybe \_\_\_\_ Probably \_\_\_\_ Definitely No \_\_\_\_

NAME

COMMENT

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How frequently have you observed this behavior?

20 Times   . 15   10   5   4   3   2   Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_\_ Probably Yes \_\_\_\_ Maybe \_\_\_\_ Probably \_\_\_\_ Definitely No \_\_\_\_

# INFLUENCE SKILLS

Observer's Name \_\_\_\_\_

NAME

COMMENT

How frequently have you observed this behavior? (Circle your choice)

20 Times    15    10    5    4    3    2    Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_\_ Probably Yes \_\_\_\_ Maybe \_\_\_\_ Probably \_\_\_\_ Definitely No \_\_\_\_

How frequently have you observed this behavior?

20 Times    15    10    5    4    3    2    Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_\_ Probably Yes \_\_\_\_ Maybe \_\_\_\_ Probably \_\_\_\_ Definitely No \_\_\_\_

How frequently have you observed this behavior? (Circle your choice)

20 Times    15    10    5    4    3    2    Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_\_ Probably Yes \_\_\_\_ Maybe \_\_\_\_ Probably \_\_\_\_ Definitely No \_\_\_\_

RATING FORM  
UNDERSTANDING AND LEADING OTHERS

\_\_\_\_\_  
Observer's Name

This area consists of the following:

Understanding People and Situations  
Positive Attitude Toward and Care About Subordinates  
concern for and Ability to Develop Subordinates

For each officer you know well enough, please write a specific suggestion for improvement in this area. Then rate your statement on frequency of occurrence and likelihood of change.

NAME

COMMENT

How frequently have you observed this behavior? (Circle your choice)

20 Times   15   10   5   4   3   2   Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_\_ Probably Yes \_\_\_\_ Maybe \_\_\_\_ Probably \_\_\_\_ Definitely No \_\_\_\_

How frequently have you observed this behavior? (Circle your choice)

20 Times   15   10   5   4   3   2   Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_\_ Probably Yes \_\_\_\_ Maybe \_\_\_\_ Probably \_\_\_\_ Definitely No \_\_\_\_

UNDERSTANDING AND LEADING OTHERS

Observer's Name \_\_\_\_\_

NAME

COMMENT

How frequently have you observed this behavior? (Circle your choice)

20 Times    15    10    5    4    3    2    Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_\_ Probably Yes \_\_\_\_ Maybe \_\_\_\_ Probably \_\_\_\_ Definitely No \_\_\_\_

How frequently have you observed this behavior?

20 Times    15    10    5    4    3    2    Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_\_ Probably Yes \_\_\_\_ Maybe \_\_\_\_ Probably \_\_\_\_ Definitely No \_\_\_\_

How frequently have you observed this behavior? (Circle your choice)

20 Times    15    10    5    4    3    2    Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_\_ Probably Yes \_\_\_\_ Maybe \_\_\_\_ Probably \_\_\_\_ Definitely No \_\_\_\_

RATING FORM  
PROFESSIONAL MATURITY

\_\_\_\_\_  
Observer's Name

This area consists of the following:

Initiative in Making Decisions and Overcoming Obstacles  
Self Confidence  
Concern with Image  
Understanding of and Commitment to the Army

For each officer you know well enough, please write a specific suggestion for improvement in this area. Then rate your statement on frequency of occurrence and likelihood of change.

NAME

COMMENT

|  |  |
|--|--|
|  |  |
|  |  |
|  |  |

How frequently have you observed this behavior? (Circle your choice)

20 Times    15    10    5    4    3    2    Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_    Probably Yes \_\_\_    Maybe \_\_\_    Probably \_\_\_    Definitely No \_\_\_

|  |  |
|--|--|
|  |  |
|  |  |
|  |  |

How frequently have you observed this behavior? (Circle your choice)

20 Times    15    10    5    4    3    2    Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_    Probably Yes \_\_\_    Maybe \_\_\_    Probably \_\_\_    Definitely No \_\_\_

NAME

COMMENT

How frequently have you observed this behavior? (Circle your choice)

20 Times   15   10   5   4   3   2   Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_   Probably Yes \_\_\_   Maybe \_\_\_   Probably \_\_\_   Definitely No \_\_\_

How frequently have you observed this behavior?

20 Times   15   10   5   4   3   2   Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_   Probably Yes \_\_\_   Maybe \_\_\_   Probably \_\_\_   Definitely No \_\_\_

How frequently have you observed this behavior? (Circle your choice)

20 Times   15   10   5   4   3   2   Only once

Do you think the lieutenant would work to improve the skill if  
the company commander served as the mentor/coach?

Definitely Yes \_\_\_   Probably Yes \_\_\_   Maybe \_\_\_   Probably \_\_\_   Definitely No \_\_\_

APPENDIX B  
FOURTEEN-ITEM RATING FORM

## LIEUTENANT LEADERSHIP DEVELOPMENT

### PURPOSE

This form is experimental, and the approach is new. The kind of battlefield for which we prepare will make the most intense demands on all our leaders. We must use the time we have available now to grow as much as we can in the skills needed to lead our soldiers well under those conditions. We owe them no less than our very best.

The information you provide on these forms will be used by the research team from ARI, Fort Hood, as one of the indicators of the effectiveness of the Lieutenant Leadership Development Program. Measurements will be taken before the program's inception and at its conclusion, approximately six months from now.

### INSTRUCTIONS

As the battalion or company commander you are asked to measure your platoon leaders on the scale illustrated below.

|                                     |                           |                           |                                |                          |                             |
|-------------------------------------|---------------------------|---------------------------|--------------------------------|--------------------------|-----------------------------|
| <hr/>                               |                           |                           |                                |                          |                             |
| Needs<br>Significant<br>Improvement | Needs Much<br>Improvement | Needs Some<br>Improvement | Needs<br>Little<br>Improvement | Meets My<br>Expectations | Exceeded My<br>Expectations |

Compare each lieutenant with your own personally held view of a professional officer on the first rungs of the career ladder.

Please turn the page and begin.

Concern for Clarity

|                                     |                           |                           |                                |                          |                            |
|-------------------------------------|---------------------------|---------------------------|--------------------------------|--------------------------|----------------------------|
|                                     |                           |                           |                                |                          |                            |
| Needs<br>Significant<br>Improvement | Needs Much<br>Improvement | Needs Some<br>Improvement | Needs<br>Little<br>Improvement | Meets My<br>Expectations | Exceeds My<br>Expectations |

UNDERSTANDING AND LEADING OTHERS

Understanding People and Situations

|                                     |                           |                           |                                |                          |                            |
|-------------------------------------|---------------------------|---------------------------|--------------------------------|--------------------------|----------------------------|
|                                     |                           |                           |                                |                          |                            |
| Needs<br>Significant<br>Improvement | Needs Much<br>Improvement | Needs Some<br>Improvement | Needs<br>Little<br>Improvement | Meets My<br>Expectations | Exceeds My<br>Expectations |

Positive Attitude Toward and Care About Subordinates

|                                     |                           |                           |                                |                          |                            |
|-------------------------------------|---------------------------|---------------------------|--------------------------------|--------------------------|----------------------------|
|                                     |                           |                           |                                |                          |                            |
| Needs<br>Significant<br>Improvement | Needs Much<br>Improvement | Needs Some<br>Improvement | Needs<br>Little<br>Improvement | Meets My<br>Expectations | Exceeds My<br>Expectations |

Concern for and Ability to Develop Subordinates

|                                     |                           |                           |                                |                          |                            |
|-------------------------------------|---------------------------|---------------------------|--------------------------------|--------------------------|----------------------------|
|                                     |                           |                           |                                |                          |                            |
| Needs<br>Significant<br>Improvement | Needs Much<br>Improvement | Needs Some<br>Improvement | Needs<br>Little<br>Improvement | Meets My<br>Expectations | Exceeds My<br>Expectations |

PROFESSIONAL MATURITY

Initiative in Making Decisions and Overcoming Obstacles

|                                     |                           |                           |                                |                          |                            |
|-------------------------------------|---------------------------|---------------------------|--------------------------------|--------------------------|----------------------------|
|                                     |                           |                           |                                |                          |                            |
| Needs<br>Significant<br>Improvement | Needs Much<br>Improvement | Needs Some<br>Improvement | Needs<br>Little<br>Improvement | Meets My<br>Expectations | Exceeds My<br>Expectations |

Self Confidence

|                                     |                           |                           |                                |                          |                            |
|-------------------------------------|---------------------------|---------------------------|--------------------------------|--------------------------|----------------------------|
|                                     |                           |                           |                                |                          |                            |
| Needs<br>Significant<br>Improvement | Needs Much<br>Improvement | Needs Some<br>Improvement | Needs<br>Little<br>Improvement | Meets My<br>Expectations | Exceeds My<br>Expectations |

Concern with Image

|                                     |                           |                           |                                |                          |                            |
|-------------------------------------|---------------------------|---------------------------|--------------------------------|--------------------------|----------------------------|
|                                     |                           |                           |                                |                          |                            |
| Needs<br>Significant<br>Improvement | Needs Much<br>Improvement | Needs Some<br>Improvement | Needs<br>Little<br>Improvement | Meets My<br>Expectations | Exceeds My<br>Expectations |

Understanding of and Commitment to Army

|                                     |                           |                           |                                |                          |                            |
|-------------------------------------|---------------------------|---------------------------|--------------------------------|--------------------------|----------------------------|
|                                     |                           |                           |                                |                          |                            |
| Needs<br>Significant<br>Improvement | Needs Much<br>Improvement | Needs Some<br>Improvement | Needs<br>Little<br>Improvement | Meets My<br>Expectations | Exceeds My<br>Expectations |

APPENDIX C

OFFICER EVALUATION REPORT SUPPORT FORM

**OFFICER EVALUATION REPORT SUPPORT FORM**

For use of this form, see AR 623-105; the proponent agency is DCSPER.

*Read Privacy Act Statement on Reverse before Completing this form***PART I - RATED OFFICER IDENTIFICATION**

NAME OF RATED OFFICER (Last, First, MI)

GRADE

ORGANIZATION

**PART II - RATING CHAIN - YOUR RATING CHAIN FOR THE EVALUATION PERIOD IS:**

|                           |      |       |          |
|---------------------------|------|-------|----------|
| <b>RATER</b>              | NAME | GRADE | POSITION |
| <b>INTERMEDIATE RATER</b> | NAME | GRADE | POSITION |
| <b>SENIOR RATER</b>       | NAME | GRADE | POSITION |

**PART III - VERIFICATION OF INITIAL FACE-TO-FACE DISCUSSION**

AN INITIAL FACE-TO-FACE DISCUSSION OF DUTIES, RESPONSIBILITIES, AND PERFORMANCE OBJECTIVES FOR THE CURRENT RATING PERIOD TOOK PLACE ON \_\_\_\_\_

RATED OFFICER'S INITIALS \_\_\_\_\_ RATER'S INITIALS \_\_\_\_\_

**PART IV - RATED OFFICER (Complete a, b, and c below for this rating period)****a. STATE YOUR SIGNIFICANT DUTIES AND RESPONSIBILITIES**

DUTY TITLE IS \_\_\_\_\_, THE POSITION CODE IS \_\_\_\_\_

**b. INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES**

c. LIST YOUR SIGNIFICANT CONTRIBUTIONS

SIGNATURE AND DATE

**PART V – RATER AND/OR INTERMEDIATE RATER** *(Review and comment on Part IVa, b, and c above. Insure remarks are consistent with your performance and potential evaluation on DA Form 67–8.)*

a. RATER COMMENTS *(Optional)*

SIGNATURE AND DATE *(Mandatory)*

b. INTERMEDIATE RATER COMMENTS *(Optional)*

SIGNATURE AND DATE *(Mandatory)*

**DATA REQUIRED BY THE PRIVACY ACT OF 1974 (5 U.S.C. 552a)**

1. **AUTHORITY:** Sec 301 Title 5 USC; Sec 3012 Title 10 USC.

2. **PURPOSE:** DA Form 67–8, Officer Evaluation Report, serves as the primary source of information for officer personnel management decisions. DA Form 67–8–1, Officer Evaluation Support Form, serves as a guide for the rated officer's performance, development of the rated officer, enhances the accomplishment of the organization mission, and provides additional performance information to the rating chain.

3. **ROUTINE USE:** DA Form 67–8 will be maintained in the rated officer's official military Personnel File (OMPF) and Career Management Individual File (CMIF). A copy will be provided to the rated officer either directly or sent to the forwarding address shown in Part I, DA Form 67–8. DA Form 67–8–1 is for organizational use only and will be returned to the rated officer after review by the rating chain.

4. **DISCLOSURE:** Disclosure of the rated officer's SSN (Part I, DA Form 67–8) is voluntary. However, failure to verify the SSN may result in a delayed or erroneous processing of the officer's OER. Disclosure of the information in Part IV, DA Form 67–8–1 is voluntary. However, failure to provide the information requested will result in an evaluation of the rated officer without the benefits of that officer's comments. Should the rated officer use the Privacy Act as a basis not to provide the information requested in Part IV, the Support Form will contain the rated officer's statement to that effect and be forwarded through the rating chain in accordance with AR 623–105.

END

DATE

FILMED

DTIC

10-88