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***THE DEVELOPMENT OF PERFORMANCE  
MANAGEMENT SYSTEMS AND FEEDBACK TOOLS  
FOR SUPERVISORY AND NON-SUPERVISORY  
JOBS IN THE U. S. NAVY***

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Technical Report No. 415

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# Introduction

The aim of virtually every organization is a productive workforce. One of the most challenging strategic actions, therefore, is the development of employees during their tenure with the organization. Accurate evaluation and performance feedback are crucial components of any performance management and development process. This report highlights the activities undertaken to create new performance management systems, and performance feedback and development tools for supervisory and non-supervisory jobs in the United States Navy.

## Background

In October of 2000, an “Executive Review of Navy Training” was chartered by the Chief of Naval Operations (CNO) to examine the current state of training in the Navy, to report on their findings, and to recommend actions that would lead to a ‘revolution in training.’ One result of this executive review was the formation of a Task Force for Excellence through Commitment to Education and Learning (EXCEL). Task Force EXCEL’s goal is to revolutionize and revitalize Navy training to provide Sailors the opportunity to succeed and prosper in their professional and personal lives. At the heart of this initiative is what is known as “The Sailor Continuum.” The Sailor Continuum is the foundation around which the Navy will identify the knowledge, skills, and abilities (KSAs) that Sailors need to possess to be successful. As such, it is the vehicle that will drive all training, education, and proficiency requirements for every Enlisted rate and Officer community.

The Sailor Continuum incorporates five distinct areas, also called “vectors”: professional development, personal development, leadership, certifications and qualifications, and job performance. The *Professional Development* “vector” addresses Enlisted rating and Officer community training. *Personal Development* involves such areas as general military training (GMT) and financial planning and management, as well as college-level courses that allow Sailors to complete degree programs. The *Leadership* vector focuses on providing Sailors with the tools and critical thinking skills they will need as leaders. *Certifications and Qualifications* focuses on unit-level requirements and related industry certifications that are directly tied to job proficiencies. The *Performance vector* takes into account all developmental issues, and assesses Sailors’ overall abilities.

Once established, the Sailor Continuum will provide clearly defined career paths and milestones, giving Sailors the tools and opportunities they need to grow professionally and personally. For each Navy occupational field a continuum will be created, allowing Sailors to see exactly what skills and abilities they must possess, and the corresponding training available at any point in their career. Thus, Task Force EXCEL identifies new ways the Navy can train, grow, place, and utilize personnel that maximizes their ability to accomplish the Navy mission and makes for a more productive and satisfying workplace. The work described in this report falls within the Performance Vector.

## Objectives

The primary objective of this research and development effort undertaken for the Navy, under the auspices of the Navy Personnel Command, Bureau of Naval Personnel, was to develop performance management systems for Navy supervisory and non-supervisory jobs. In addition, a performance feedback and development tool was needed to support the management system that would provide supervisors with a mechanism for offering performance feedback, and provide management with a process for offering long-term career development opportunities. It was also critical that these tools be developed and implemented in a timely fashion so that they could provide an important foundation to support the Navy's long-term commitment to education and learning. Finally, it was deemed essential that the project adopt as a fundamental tenet, Fleet involvement in all phases of the development process.

## Approach

In order to meet these objectives, several critical issues needed to be addressed. First, a procedure had to be identified for capturing the important components of the performance domains for both non-supervisory and supervisory jobs in the Navy in such a way that a single set of dimensions would be relevant for measuring performance in all non-supervisory ratings, and similarly, a single set of dimensions would be relevant for all supervisory jobs.

Second, after these two sets of performance dimensions had been identified and confirmed by subject matter experts (SMEs) as providing comprehensive coverage of the relevant performance domains, an important next step was translation of these performance dimensions into behavior-based tools. The rationale here was to develop a system that could be used by supervisors to evaluate the performance of personnel under their command, regardless of their occupation or duty assignment, and that would be seen by supervisors and managers as relevant and useful for evaluating performance. Third, in addition to evaluation of employee performance, it was important to produce a system to help supervisors provide feedback to and develop both Enlisted and Officers.

Thus, some system (or systems) must result from this process that would serve both an administrative and feedback purpose.

### *Defining the Performance Domain*

An important first step in developing a framework for coverage of the performance domain for non-supervisory and supervisory jobs in the Navy was to identify all of the behaviors that characterize these domains, and determine how they are related. Subsequently, it was necessary to reduce the universe of dimensions to a manageable number that would still represent the entire performance domain.

The process chosen was one that was recommended by Borman and Brush (1993), in their examination of managerial performance taxonomies. Subsequently, Borman, Ackerman, and Kubisiak (1994), in a large-scale study with the Department of Labor, applied this three-stage process. The first stage relied on subject matter experts (SMEs) to generate performance behaviors that were believed to capture the performance domain in question. The second stage required that a second group of SMEs categorize all these behaviors and definitions into clusters based on content similarity. The final stage relied on data analytic techniques to compare and pool the category solutions generated in Stage Two, and then provide a final performance category solution by means of principal components analysis. This process led to a final definition of the performance domain, which consisted of 10 performance categories covering all non-managerial jobs in the U. S. economy.

### *Developing a Behavior-based Performance Management System*

After the performance domains for both non-supervisory and supervisory Navy jobs had been defined, the next step was to transform the performance categories that covered each domain into a set of performance management tools. While a variety of approaches were possible, we felt it was important to produce a *behavior*-based system so that supervisors using the system could base both their evaluation and their feedback on concrete behaviors. Consequently, we chose to adopt the critical incident methodology. Originally developed by Flanagan (1954), the critical incident technique is a method for obtaining specific, behaviorally focused descriptions of work or other activities.

A good critical incident has four characteristics: it is specific, focuses on observable behaviors exhibited on the job, describes the context in which the behavior occurred, and indicates the consequences of the behavior. Thus, a good critical incident describes actual behavior in a specific situation with no mention of traits and no judgmental inferences. Critical incident data are collected by asking subject matter experts (SMEs) to recall examples of particularly effective or ineffective job behaviors they have witnessed or performed. Then, the critical

incidents are “retranslated” to confirm the distinctiveness of performance categories identified previously.

### *Developing Performance Feedback Tools*

The final objective of this project was to develop a performance feedback and employee development system. There were two components to this system, rating forms that could be used, especially to prepare for the feedback/development session, and a protocol that supervisors could use to guide them in conducting the session. For the non-supervisory and supervisory rating format, the performance categories and behavior-based performance statements served as the starting point, and then a number of more detailed *performance themes* were added for each performance category. These themes were included as a means of providing feedback targets for each performance category.

For this protocol, a performance management system developed and refined over the past 15 years at PDRI was used as a starting point. The system was then refined further to be maximally relevant for the Navy context. In the sections that follow, more detail is provided on the steps involved in developing the rating formats and designing the feedback and employee development system.

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# Defining the Performance Domain for Non-supervisory Jobs

A series of workshops were conducted at several Naval installations within the continental United States to define the performance domain for non-supervisory jobs. These workshops were intended to identify a comprehensive set of performance-related behaviors relevant to all Navy non-supervisory ratings, and reduce this list of behaviors to a manageable dimension set summarizing all of the behaviors.

## Performance Behavior Generation

The starting point for developing the performance behaviors was a set of behaviors generated on a project conducted previously for the Department of Labor (Borman et al., 1994). The purpose of that project was to develop a generic performance management system that could be used by supervisors to make for-research-only ratings for test validation research conducted by the Department of Labor. One step in that project was the generation of a set of 105 performance behaviors gathered from supervisors of a wide variety of non-management jobs. The notion was that these behaviors might also be relevant to non-supervisory jobs in the Navy.

Accordingly, this set of performance behaviors and their definitions was used in two workshops held in Millington, TN with Navy senior Enlisted personnel. Workshop participants were asked to rate the relevance of each performance behavior (1 = not relevant; 2 = relevant for some; 3 = relevant for most) for non-supervisory ratings in the Navy. They were also asked to provide recommendations for behaviors that should be added, deleted, or revised in some way. A copy of this relevance survey can be found in Appendix A.

The workshop participants generally evaluated the behaviors as very relevant for Navy non-supervisory personnel. The main changes they made to the list involved substituting Navy nomenclature where it was warranted. The groups also eliminated a total of 5 behaviors they felt were not very relevant. Thus, 100 performance behaviors, each with a label and a definition emerged from these workshops.

## Sorting of Performance Behaviors

The next stage in defining the performance domain involved reducing the total set of behaviors to a smaller but representative set of performance categories. This was accomplished by using a sorting task that asked SMEs, working independently, to sort the 100 behaviors into categories according to similarity in content.

The card sorting workshops were conducted at Naval Station San Diego, CA and Naval Station Norfolk, VA. Fifty-two Sailors participated in the card sorting workshops, 27 from San Diego and 25 from Norfolk. Data from three Sailors were dropped from the analysis due to quality concerns, leaving 49 Sailors in the card sort sample. Over 57% of participants were white, 25% were black, and 14% were Hispanic. Sixty-seven percent were male. Participants, on average, had been on active duty almost 10 years, and in a supervisory role for nearly 6 years. The majority of participants (65.3%) had at least some college. Slightly over half of the participants were engaged in shore-based activities (53%), with the remaining participating in aviation, surface force, or submarine force activities. Additional detail regarding the demographics of participants from all of the non-supervisory workshops can be found in Appendix B.

Participants were instructed to sort the behaviors appearing on 3 x 5 cards according to their similarity in content. Essentially, participants were encouraged to use the cards to derive their own ideal performance measurement system for Navy non-supervisory jobs. During each workshop, participants were also asked to complete a background information form.

After sorting all of the performance behaviors into summary categories, participants were instructed to provide a label and a definition. Participants were encouraged to try to place all of the behaviors into a defined category, but were also allowed to place them in a “miscellaneous” or “does not fit” category if necessary.

## Pooling of Behaviors and Principal Components Analysis

The final stage in defining the performance domain involved collecting and comparing participants' solutions. Specifically, for each pair of performance behaviors, the proportion of participants who sorted both behaviors into the same category was computed via a Fortran program. This was followed by also computing an indirect similarity index, which indicated for any behavior pair the degree of correspondence between each of these two behaviors' patterns of similarity with all the other behaviors. When one behavior's patterns of similarities with other behaviors corresponds closely to a second behavior's pattern of similarities with these same other behaviors, then the indirect similarity correlation between these two is high. When this correspondence between the two performance behaviors' similarities with the other behaviors is

lower, then the indirect similarity correlation is lower. In this way, the judgments of all participants were captured and pooled.

These two steps produced a similarity correlation matrix, consisting of correlations between each pair of performance behaviors, which was then submitted to a principal components analysis (PCA) with orthogonal rotation of components to a varimax solution. Component solutions, ranging between 5 and 15, were analyzed and interpreted. Results from the PCA suggested that the 10-component solution was the most interpretable. The criteria for assigning a behavior to a component was a loading of approximately .50 or greater on that component and near zero loadings on the remaining components. The component loadings for the 10-component solution are presented in Appendix C.

The ten performance categories that resulted from the PCA were reviewed, labels were developed, and definitions were written to clearly describe and differentiate the categories. These 10 performance categories and their definitions are presented in Table 1.

**Table 1**  
**Navy Non-supervisory Performance Categories and Definitions**

<b>Performance Category</b>	<b>Definition</b>
Cooperation	Interacts with others in a cooperative manner; resolves differences with others with minimal conflict; provides and accepts constructive criticism; uses sensitivity in dealing with persons from diverse backgrounds.
Task Proficiency	Performs work accurately and proficiently; attends well to details; effectively and efficiently uses resources to complete tasks; prioritizes tasks and completes them within deadlines; makes efficient use of time; maintains a stable and consistent level of work
Adaptability/Flexibility	Quickly adapts and changes priorities when needed; remains calm and focused in changing or stressful situations; effectively manages multiple tasks; effectively overcomes problems without demonstrating frustration or anxiety.
Initiative and Self Development	Suggests effective new approaches to improve processes/systems; takes on additional duties and responsibilities; requires very little supervision; learns new skills valuable for self-development.
Knowledge and Support of Unit/Command Objectives	Maintains knowledge of the unit's function and operations, and procedures/processes important for unit and Command success; understands problems/issues from Command and larger Navy perspectives; is knowledgeable and supportive of unit/Command initiatives.
Problem Solving and Decision Making	Consistently able to identify errors and spot discrepancies; recognizes and defines problems, and analyzes potential solutions; weighs positives and negatives of a situation and decides on a course of action; presents anticipated problems and possible solutions to appropriate chain of command.
Integrity/Honesty	Demonstrates integrity in day-to-day behavior; adheres to rules and regulations; keeps sensitive information confidential; behaves in a professional manner at all times; maintains proper military appearance and demeanor; understands and accepts consequences of own actions.
Work Ethic	Works hard including working long hours, when appropriate; keeps others informed if work cannot be completed on time or if there are errors or problems; reliably completes work in a timely fashion.
Communicating Effectively	Communicates clearly and effectively with others, in both verbal and written form; checks for understanding among listeners; understands written instructions, procedures, and policies; demonstrates active listening skills; asks questions to clarify and ensure understanding.
Seeking Guidance and Information	Actively gathers information or guidance from supervisor, coworkers, or other resources; knows when and how to seek guidance, and from whom; seeks clarification when needed, and at the appropriate time.

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# Developing a Performance Management System for Non-supervisory Jobs

In order to develop rating scales for non-supervisory jobs, another series of workshops were conducted at Naval installations throughout the U. S. These workshops were intended to: 1) develop behavioral anchors for the 10 dimensions to provide detailed behavioral definitions for each dimension; and 2) retranslate the behavioral anchors to provide information about the clarity of the category system and the behavioral statements.

## Critical Incident Generation

Having defined the performance domain, the next stage in this process involved designing a performance management system based on these 10 categories of performance. The first step was to collect a large number of critical incidents from U.S. Navy personnel. This task involved asking experienced Enlisted personnel to describe examples of performance that reflected the 10 categories described in Table 1.

The critical incident generation workshop for non-supervisory jobs was conducted at Naval Support Activity Mid South in Millington, TN. The 26 participants averaged nearly 12 years of active duty service, had spent almost 2 years in their current command, and worked in a supervisory capacity for over 4 years. The majority were either white (46%) or Black (46%), and almost 54% were male. Most had attended at least some college, and all were assigned to shore-based activities.

When writing critical incidents or performance examples, participants were asked to describe the circumstances leading up to the performance example, what the individual did (or did not do) that made the example effective, ineffective, or average in performance, and finally what happened as a result of the individual's actions. They were also instructed to indicate which performance category the example represents and its effectiveness level (high, mid-range, or low).

Workshop participants produced 216 total critical incidents. On average, they each wrote 8.3 critical incidents. The critical incidents were reviewed by project personnel for clarity and edited to a common format. In addition, a number of workshop participants suggested that *Seeking Guidance and Information* was a relatively narrowly defined category, and somewhat overlapping with the *Communicating Effectively* category. Upon further review, this perspective was

verified, and it was further determined that items tapping this dimension could be logically included with *Communicating Effectively*. Thus, *Seeking Guidance and Information* was dropped and concepts represented by that dimension were measured via *Communicating Effectively*.

The critical incidents that had been generated in the workshop provided an average of 24 critical incidents per performance category, covering the range of performance effectiveness. Adopting an approach developed by Borman (1979), the critical incidents were content analyzed within each performance category, and behavior summary statements were written that reflected the important themes for that category at the high, mid-range, and low effectiveness levels. These summary statements, then, became the behavioral anchors for the scales.

## Anchor Retranslation

A critical next step was to verify that these 27 behavioral summary statements written to anchor the three performance effectiveness levels for each of the 9 performance categories represented the behaviors associated with the intended performance category and effectiveness level. This was accomplished by means of an anchor retranslation process.

The anchor retranslation workshop was conducted with 11 Sailors at Naval Station Mayport, FL. Participants averaged almost 14 years of active duty service in the Navy, and had over 6 years of supervisory experience. Sixty-four percent of the participants were Black and 36% were White. All of the participants were male and most had attended at least some college. Seventy-three percent of the group was assigned to shore-based activities and the remaining group members were assigned to either aviation or surface force activities.

Participants were asked to read through each of the 27 summary statements, place them into a relevant performance category, and then rate the effectiveness of the behaviors described in each performance summary statement as high, mid-range, or low effectiveness. Overall, there was a high level of agreement of raters in terms of placement of anchors in categories and effectiveness levels. Performance statements were sorted into the intended category and effectiveness level 97.4 percent of the time. As a result of this retranslation process, the wording for two anchors within one performance category was revised slightly to help distinguish more clearly between effectiveness levels. The final set of rating scales for non-supervisory jobs is presented in Table 2.

**Table 2**  
**Final Rating Scales for Non-supervisory Jobs**

Dimension	Effectiveness		
	High	Mid-range	Low
Cooperation/Working Well with Others	Works very smoothly and cooperatively with both supervisors and coworkers; is an excellent team player; avoids unnecessary conflict and works well with all types of people; willingly accepts suggestions and guidance from others without being defensive.	Works reasonably well with supervisors and coworkers; for the most part, is a good team player, but works better with some types of people than others; is generally receptive to constructive suggestions from others, but may become somewhat defensive when criticized.	Has trouble working and interacting with supervisors and/or coworkers; may upset coworkers with unnecessary arguments, show disrespect toward supervisors, etc.; may complain inappropriately about work or about others, resulting in unnecessary conflict.
Task Proficiency and Productivity	Always completes tasks accurately and on time; is very good at prioritizing and organizing own work, resulting in highly efficient use of time; consistently produces high quality work and products; very effectively handles even difficult tasks and assignments.	Completes most tasks competently, and usually meets deadlines; effectively prioritizes and organizes own work most of the time, but may waste time on some tasks; produces reasonably sound work products, but tends to make errors or mistakes on, especially, difficult tasks/assignments.	Often completes tasks inaccurately or fails to meet deadlines; is disorganized in handling assignments, resulting in significant inefficiencies and wasted time; makes many errors or mistakes on tasks or assignments.
Adaptability/Flexibility	Very effectively adapts to changes in the work environment, changes in assignments or priorities, changes related to last minute requests, etc.; responds well and reacts constructively to stress, setbacks, or frustrations related to change; is highly effective at changing approaches or "switching gears" when requirements shift; is very adept at handling multiple tasks, if necessary.	Is reasonably flexible in adapting to changes related to the job or work environment; responds well in most stressful job-related situations, but may complain, show frustration, or otherwise react poorly in some situations; for the most part, can change approaches or switch priorities when requirements change; handles multiple tasks when required to do so, but prefers working on one task at a time.	Has considerable trouble adapting to any organizational change; complains, shows frustration, or becomes inflexible when the job or work environment is stressful; tends to get "locked in" on a single approach to handling a task or assignment, even when a different approach might be more effective; strongly prefers working on one task at a time.

**Table 2 (continued)**

Dimension	Effectiveness		
	High	Mid-range	Low
Initiative and Self Development	Consistently takes on additional duties and responsibilities without being asked; works very well with little or no supervision; seeks out opportunities to learn new skills for self-development; often suggests new ways of accomplishing tasks, improving the work environment, etc.	Will take on new tasks, when asked, but does not actively look for additional responsibilities; generally works well without supervision, but must be reminded of duties from time to time; shows some interest in learning new skills; occasionally finds new ways of improving processes or systems.	Shows little or no interest in taking on new/additional job assignments; requires considerable supervision to complete tasks; may resist or avoid learning new skills; does not look for ways to make improvements or new ways to accomplish tasks.
Knowledge and Support of Unit/Command Objectives	Demonstrates understanding of and actively maintains knowledge of unit's function and operations; understands unit procedures/processes and how they are important for unit and Command success; is able to frame problems and issues in terms relevant to Command and larger Navy perspectives; is knowledgeable and supportive of unit/Command initiatives.	Possesses knowledge of own unit's function, operations, and procedures/processes, but does not always fully understand how they relate to overall Command success; for the most part, is able to frame problems and issues in terms relevant to larger perspectives; usually is supportive of Navy initiatives.	Possesses little or no knowledge of the unit's function, operations, or procedures/processes; is unable to understand how the unit's mission relates to the mission of the Command and the Navy; has little understanding of how problems and issues impact the Command and larger Navy perspectives, and consequently tends to be less than supportive of Navy initiatives.
Problem Solving and Decision Making	Quickly recognizes and defines problems, and analyzes potential solutions; efficiently weighs the pros and cons of potential solutions to problems and is highly effective at choosing appropriate courses of action; presents anticipated problems and potential solutions to appropriate personnel.	Is able to recognize and define most problems, but sometimes has difficulty with unusual or unanticipated problems; can identify the pros and cons of potential solutions to problems, but may not always choose the most effective course of action.	Is unable to recognize and define many problems; has difficulty identifying the positives and negatives of potential solutions to problems, and thus may choose an inappropriate course of action; frequently fails to inform affected parties of problems, resulting in the need to correct errors at the last minute.

Table 2 (continued)

Dimension	Effectiveness		
	High	Mid-range	Low
Integrity/Honesty	Demonstrates integrity, honesty and openness in all work-related situations; always conducts oneself in a professional manner by exhibiting appropriate behavior, language, and appearance in uniform; keeps sensitive information in the strictest confidence; accepts consequences of own actions; shows complete integrity in handling and protecting Navy property and other resources.	Exhibits integrity and honesty in the vast majority of situations; usually conducts oneself in a professional manner, including display of appropriate behavior, language and military appearance; is careful to keep extremely sensitive information confidential, but may not be as attentive with less sensitive information; is almost always careful in handling or otherwise dealing with Navy property or other resources.	Has a tendency to act irresponsibly or be dishonest in certain situations; for example, may use inappropriate language or even lie about own behavior to avoid getting in trouble; may fail to keep sensitive information confidential, resulting in embarrassment or other negative consequences to individuals or the Navy; may try to blame others for own mistakes or misuse Navy property/resources for own personal gain.
Work Ethic	Always puts in the hours necessary to accomplish work; is consistent in informing others if unable to complete work within deadline or budget constraints; has excellent work attendance and always arrives at work on time; demonstrates very high reliability and conscientiousness at work.	Most of the time can be counted on to put in the necessary hours to accomplish own work; for the most part, keeps others informed if work is progressing slower than expected or if there are errors or other problems; exhibits good attendance and almost always notifies supervisor beforehand if about to miss or be late to work; tends to be reliable and conscientious in completing tasks or assignments.	Frequently does not finish own tasks/assignments on time, even when it is important to do so; may fail to notify others of problems or errors in work, causing delays due to other sailors having to correct problems; frequently misses work and does not call in when late; is not conscientious about completing tasks or assignments.
Communicating Effectively	Communicates with others in a highly effective manner, both orally and in written form; speaks very clearly so that others always understand what he/she means; demonstrates excellent listening skills, for example, asking questions when appropriate to clarify and ensure understanding.	Generally communicates well in discussions with others or in written form; expresses oneself clearly enough to be understood most of the time; shows reasonably good listening skills.	Does not explain things well, orally or in writing, so that supervisors, coworkers, etc., are often confused or do not understand what is being communicated; may have trouble with listening to others and thus fails to pick up on important information.



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# Defining the Performance Domain for Supervisory Jobs

In order to define the performance domain for supervisory jobs, a series of workshops were conducted at a number of Naval installations within the continental United States. These workshops were designed to identify a comprehensive set of performance-related behaviors relevant to all Navy supervisory billets, and reduce this list of behaviors to a manageable dimension set summarizing all of the behaviors.

## Performance Behavior Generation

The first stage of defining the performance domain focused on gathering information about the important components that lead to superior performance by supervisory personnel. This process began with a series of workshops conducted with a representative sample of Navy Officers.

Performance behavior generation workshops were conducted at Naval Station San Diego, CA and Naval Station Norfolk, VA. A total of 55 Officers participated. The Officers in the workshops averaged over 16 years of active-duty service in the Navy, had worked in a supervisory capacity for almost 15 years, and been at their current command for over 1 year. Most of the participants were white (78%) and male (76%) and had a four-year college degree or higher. In fact, 47 percent of the participants had a graduate degree of some form. Participants were currently assigned to aviation, surface force, submarine force, and shore-based activities, with the largest group (47%) being assigned currently to shore-based activities. Additional detail regarding the demographics for all of the supervisory workshop participants can be found in Appendix D.

Participants were told that their task was to reflect on outstanding Officers they had known or served with in the past, focus on what qualities made them excellent Officers, and design their own performance management system by naming and defining those behavioral dimensions of performance.

The supervisory behaviors and definitions, produced by workshop participants, were reviewed and edited by PDRI project personnel to a common format, and to reduce redundancy. In addition, each behavior was reviewed for multi-dimensionality, and where necessary, was separated into its constituent components to make it uni-dimensional. The end result of this review was 126 behaviors covering the performance domain for supervisory jobs in the Navy.

## Sorting of Performance Behaviors

The next stage in defining the performance domain involved reducing the 126 behaviors to a smaller but representative set of performance categories. This was accomplished in the same way as the non-supervisory case by using a sorting task that asked SMEs to independently sort the behaviors, based on similarity of content, into categories.

The card sorting workshops were conducted with 23 Officers at Naval Support Activity Mid South in Millington, TN. Participants averaged over 14 years of active duty service in the Navy, and had held supervisory positions for almost 12 years. Workshop participants were primarily white (83%), male (74%), and most had obtained a graduate level degree (52%). All of the group members were currently assigned to shore-based activities.

Participants were instructed to sort the 126 behaviors that had been placed on 3 x 5 cards according to their similarity in content, and encouraged to, essentially, derive their own ideal performance measurement system for Navy supervisory jobs. After sorting all of the performance behaviors into summary categories, each group member labeled and defined the categories. Participants were encouraged to try to place all of the behaviors into a defined category, but were also allowed to place them in a “miscellaneous” or “does not fit” category if necessary.

## Pooling of Behaviors and Principal Components Analysis

The final stage in defining the performance domain involved collecting and comparing participants' solutions. Once again, an indirect similarity index was derived for each behavior pair by computing the correlation of these proportions for each of the two behaviors and all the other behaviors. In this way, the judgments of all participants were captured and pooled.

The resulting summary correlation matrix, consisting of correlations between each pair of performance behaviors, was then submitted to a PCA with orthogonal rotation of components to a varimax solution. As before, component solutions, ranging between 5 and 15, were analyzed and interpreted. Results from the PCA indicated that the nine-component solution was the most interpretable. Appendix E contains the component loadings for the Officer nine-component solution. As with the non-supervisory PCA, the criteria for assigning a performance statement to a category was a loading of approximately .50 or greater and near zero loadings on the remaining components. In addition, the ninth component only had one behavior and was not included in the final model.

The eight performance categories that resulted from the PCA were reviewed, labels were applied, and definitions were written to clearly describe and differentiate the categories. These eight performance categories and their definitions are presented in Table 3.

**Table 3**  
**Navy Supervisory Performance Categories and Definitions**

<b>Performance Category</b>	<b>Definition</b>
Coaching/Mentoring	Providing guidance to subordinates; assessing strengths and weaknesses in personnel and providing them with honest and specific feedback; designing opportunities for subordinates to develop new skills and assisting them in establishing career plans; providing subordinates with strategic vision and goals; sharing knowledge and experience with subordinates; creating a work environment that makes individuals feel valued and motivates them to excel.
Resource Stewardship	Managing resources efficiently and effectively; ensuring deadlines are met through planning and effective communication of objectives; gathering information, identifying goals, assessing available resources, and developing innovative plans to complete projects on time and within budget; prioritizing tasks and delegating work appropriately; relating tasks/assignments to the overall unit mission; sorting through large quantities of information efficiently.
Displaying Professionalism and Integrity	Accepting responsibility for own and subordinates' actions; always maintaining ethical principles and telling the truth, regardless of consequences; displaying uncompromising values (e.g., honor, courage, commitment, integrity); willingly undertaking necessary actions, even when physically risky; maintaining sharp military appearance and physical health/fitness; supporting Navy and Command missions and goals.
Communication Skills	Practicing meaningful two-way communication (i.e., speaking clearly, listening attentively and clarifying information); providing timely and relevant information up and down the chain of command; tailoring presentations to the level of the audience; expressing opinions when appropriate; expressing oneself in a manner that produces a productive and harmonious environment; ability to evaluate the importance of information being communicated.
Leading Change	Being open to new ideas and new methods for accomplishing goals; ability to adjust to a rapidly changing environment, and modify goals and objectives based on emerging requirements; embracing change and looking for better methods/techniques to accomplish tasks; ability to adapt to new and changing missions, tasks, and situations; remaining calm, focused, and competent in changing or stressful situations.
Leading People	Effectively building and leading individual and team activities; persuading, inspiring, and motivating others, regardless of their relative positions in the hierarchy; creating a sense of enthusiasm and purpose in own team; demonstrating a positive attitude, team spirit and personality to inspire subordinates; effectively adopting different leadership styles as appropriate to individuals and settings.
Displaying Organizational Savvy	Having a thorough understanding of military regulations and initiatives and carrying them out in accordance with Navy standards; following policies, regulations, and orders, and defending them to subordinates; understanding the chain of command, and accepting and respecting the decisions of superiors; displaying appropriate courtesies to superiors, peers and subordinates; understanding how policies and actions fit into the overall mission scheme.
Embracing Personal and Professional Development	Continuously improving professional skills, knowledge, and abilities through formal and informal training, off-duty education, on-the-job training, etc.; ability to find purpose, personal benefit and growth in work; balancing self development and training with job completion such that performance does not suffer; maintaining superior technical skills through training.



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# Developing a Performance Management System for Supervisory Jobs

In order to develop rating scales for supervisory jobs, another series of workshops were conducted. These workshops were designed to: 1) develop behavioral anchors for the eight dimensions to provide detailed behavioral definitions for each dimension; and 2) retranslate the behavioral anchors to provide information about the clarity of the category system and the behavioral statements.

## Critical Incident Generation

After defining the performance domain, the next stage in this process involved designing a performance management system based on these eight categories of performance. The first step was to collect critical incidents. This task involved asking experienced Officers to describe examples of performance that represented the eight categories described in Table 3.

The supervisory critical incident generation workshop was conducted with 21 Officers at Naval Station Mayport, FL. Workshop participants averaged almost 18 years of active duty service in the Navy, had supervisory responsibilities for almost 15 years, and had been at their current command less than 2 years. They were primarily white (71%), male (91%), and had attained at least a four-year college degree. Approximately 52% of them were assigned to shore-based activities, and 38% were assigned to surface force activities.

As with the non-supervisory scale development, when writing performance examples, participants were asked to describe the circumstances leading up to the performance example, what the individual did (or did not do) that made the example effective, ineffective, or average in performance, and finally what happened as a result of the individual's actions. They were also instructed to indicate which performance category the example represents and its effectiveness level (high, mid-range, or low).

These group members produced 161 critical incidents. On average, workshop personnel each wrote 7.7 critical incidents. The critical incidents were reviewed by project personnel for clarity and edited to a common format. In addition, in conversations with a number of workshop participants, and other Navy project personnel, it was suggested that *Mission Accomplishment* was seen as an important "bottom-line" component of performance. Upon further review, this perspective was confirmed, and it was decided that a ninth performance

category should be added to our set of dimensions representative of the supervisory performance domain. *Mission Accomplishment* was defined as:

“Accomplishing the mission under all difficult conditions or when obstacles present serious difficulties; communicating a vision that reflects the command’s strategic goals and develops an implementation plan that aligns daily activities to that mission; consistently inspiring subordinates and peers to drive toward mission execution; continuously identifying means and methods to improve processes and sets an atmosphere that facilitates positive change; holding self and subordinates accountable, commensurate to their level of responsibility; developing and implementing measures of program and policy evaluation and emphasizes accomplishing results.”

The critical incidents that had been generated in the workshop provided an average of 18 critical incidents per performance category, covering the range of performance effectiveness. Again, adopting the behavior summary scale approach developed by Borman (1979), the critical incidents were content analyzed within each performance category, and behavioral summary statements were written that reflected the important themes for that category at the high, mid-range, and low effectiveness levels. These 27 summary statements, then, became the initial behavioral anchors for the scales.

## Anchor Retranslation

A critical next step was to verify that these 27 behavioral summary statements written to anchor the three performance effectiveness levels for each of the 9 performance categories represented the behaviors associated with the intended performance category and effectiveness level. This was accomplished by means of an anchor retranslation process (identical to what was done with the non-supervisory group).

The anchor retranslation workshop was conducted with 11 Officers at Naval Station San Diego, CA. These Officers averaged almost 16 years of active duty service in the Navy, and had 14 years of supervisory experience. Eighty-two percent of the participants were White; 82% were Male. Most had a graduate degree. Fifty-five percent of the participants were assigned to shore-based activities, 27% were assigned to aviation activities, and the remainder was assigned to either submarine or surface force activities.

Group members were asked to read through each of the 27 summary statements, place them into a relevant performance category, and then rate the effectiveness of the behaviors described in each performance summary statement as high, mid-range, or low effectiveness. Overall, there was a high level of agreement across raters in terms of placement of anchors in categories and effectiveness levels. In 99.2 percent of the cases, the Officers sorted the performance statements into the intended category and effectiveness level. As a result of this anchor

retranslation process, minor wording changes were made. The final set of rating scales for supervisory jobs are presented in Table 4.

**Table 4  
Final Rating Scales for Supervisory Jobs**

Dimension	Effectiveness		
	High	Mid-range	Low
Mission Accomplishment	Always accomplishes mission even under very difficult conditions or when obstacles present serious difficulties; in all situations has a vision of the most important elements of the mission and how to meet or exceed expectations for accomplishing the mission; consistently inspires subordinates and peers to drive toward mission execution.	Consistently accomplishes mission although difficult conditions or obstacles may result in occasional failure to execute elements of the mission; has a good feel for most missions and typically meets expectations for mission accomplishment; is reasonably good at leading subordinates toward mission execution.	Fails to accomplish parts or all of the mission when even minor difficulties arise; may be unable to visualize the mission, resulting in failure to meet expectations for accomplishing the mission; is ineffective at leading subordinates toward mission execution.
Coaching/Mentoring	Provides subordinates with highly useful guidance to enhance their professional development; very clearly defines expectations for subordinates' assignments and then provides timely, constructive, and supportive feedback on performance; provides the developmental opportunities to encourage subordinates to continuously learn and improve their performance; takes a highly active interest in subordinates' professional growth and career progression.	Typically provides subordinates with useful guidance regarding their professional development, but advice may at times be off the mark or otherwise unhelpful; usually provides subordinates with clear expectations about performance, but may sometimes not give feedback on tasks or feedback may not be constructive; provides some developmental opportunities to subordinates; shows a moderate degree of interest in subordinates' professional growth and career.	Either does not give guidance or provides too much direction on subordinates' assignments, resulting in micromanaging their performance; defines expectations poorly regarding subordinates' assignments, and feedback on subordinate performance is lacking or unhelpful; provides little or no developmental opportunities to subordinates; shows very little interest in subordinates' professional growth or career.
Resource Stewardship	Is highly efficient and effective at prioritizing tasks and managing people and budgetary resources; always meets deadlines for completion of the unit's work as a result of excellent planning and organizing skills; is very good at gathering and analyzing information, accurately assessing available resources, and developing innovative plans to complete projects on time and within budget; knows the strengths and weaknesses of sailors in the unit, and assigns tasks to take advantage of strengths.	For the most part prioritizes tasks and efficiently manages people and budgetary resources; has reasonably good planning and organizing skills and applies these skills to meet most deadlines; may at times move forward on an assignment before all relevant data have been gathered or be overly optimistic about available resources, but most projects are completed on time and within budget; delegates work reasonably effectively.	Manages people and budget resources inefficiently; frequently misses deadlines and often fails to complete projects on time or within budget because of poor planning and organizing skills; may gather insufficient or irrelevant data, inaccurately assess available resources, or develop inadequate plans relative to completing work/assignments; assigns tasks with little or no attention to subordinate capabilities.

Table 4 (continued)

Dimension	Effectiveness		
	High	Mid-range	Low
Displaying Professionalism and Integrity	Always accepts responsibility for own actions and actions of subordinates; displays high ethical principles, for example, always tells the truth regardless of consequences and stands by decisions and actions, even when it may be very uncomfortable or otherwise difficult to do so; consistently supports Navy and Command missions and goals, regardless of personal feelings.	Usually accepts responsibility for own and subordinates' actions; uses power and position responsibly, but may bend the rules or occasionally use power inappropriately to get around obstacles; sometimes avoids making decisions or taking actions in difficult or challenging situations, but for the most part decisions and actions are consistent with high ethical principles; is generally supportive of Navy and Command missions.	Frequently deflects blame for own poor decisions and does not take responsibility for own or subordinates' actions; may distort the truth to avoid being held responsible for problems; does not stand by decisions or actions and may avoid difficult decisions that have potentially negative consequences; is often unsupportive of Navy or Command missions.
Communication Skills	Communicates with others in a highly effective manner, both orally and in written form; speaks very clearly so that others always understand what is meant; listens attentively to others, making them feel their opinions and input are important and valued; very effectively transmits information up and down the chain of command.	Generally communicates effectively in discussions with others or in written form, but may sometimes have trouble tailoring message to a level appropriate for the audience; shows reasonably good listening skills; keeps chain of command well informed regarding most important information, but sometimes fails to convey some of the background, context, or details.	Does not explain things well, orally or in writing, so that others are often confused or do not understand what is being communicated; is unable to convey messages in a manner suited to specific audiences; has trouble with listening to others and thus may miss important information needed for taking effective actions or making good decisions; may fail to inform the chain of command regarding needed information or provide inaccurate or misleading information.
Leading Change	Thrives in a dynamic work environment, and is always open to new ideas and methods for accomplishing goals; is adept at anticipating changes and adjusting rapidly to the changing environment; is very skillful at remaining calm and focused during stressful or rapidly changing situations; routinely applies creative thinking to both old and new situations so that individual and group productivity is improved.	Is willing to consider new ideas or methods for accomplishing goals, as long as there is a critical and immediate need for change; adapts to changing environments, but may not frequently anticipate them; for the most part reacts well to situations as they evolve, but may complain or show frustration in some situations.	Is unable to effectively adapt to new or changing situations; resists even minor changes and tends to follow old procedures even when new approaches are clearly more effective; becomes easily frustrated when confronted with stressful or unfamiliar situations, and may react by displaying inappropriate behaviors (e.g., complains loudly, becomes inflexible, quits working).

Table 4 (continued)

Dimension	Effectiveness		
	High	Mid-range	Low
Leading People	Assumes responsibility for effectively building and leading individual/team activities; motivates and inspires others by taking a personal interest in their welfare and contributions to the team; creates a sense of enthusiasm and purpose in own team and always projects a positive attitude; effortlessly modifies leadership style to match the audience and setting, as required; frequently inspires junior Officers and Enlisted personnel by demonstrating through own actions the behaviors expected of the team.	For the most part, effectively leads individual and team activities; motivates and inspires others by showing an interest in their welfare, but does so sporadically; is generally able to keep team members enthusiastic and focused on the purpose of the activity; almost always projects a positive attitude, but sometimes may get discouraged when plans do not work as expected; usually serves as a good role model for junior Officers and Enlisted personnel, but sometimes may model less praiseworthy behaviors.	Is ineffective at leading individual or team activities; rarely takes an interest in the activities/interests of subordinates, and rarely involves them in planning or decision-making activities; frequently behaves in a manner that demoralizes the team and leaves subordinates feeling disillusioned and unmotivated; may use the same leadership style in all situations and with all individuals, or prefers to avoid assuming a leadership role at all.
Displaying Organizational Savvy	Maintains a thorough awareness of military regulations, policies, and initiatives and always carries them out in accordance with Navy standards; always ensures that subordinates follow policies, regulations, and orders; possesses a thorough understanding of the chain of command and displays appropriate courtesies to superiors, peers, and subordinates; understands how policies and actions fit into the overall mission of the Navy and the Command, and uses this understanding to accomplish work tasks efficiently and effectively.	Possesses a basic understanding of military regulations and initiatives; follows most policies and regulations appropriately, and usually ensures that subordinates follow them as well; for the most part, knows when and how to effectively use the chain of command, and displays appropriate courtesies to superiors, peers, and subordinates; understands how policies and actions fit into the overall mission of own unit, but does not always see the link to the overall mission of the Navy and Command.	Lacks understanding of even basic military regulations and initiatives, and is not interested in engaging in actions necessary to learn them; may violate policies and regulations resulting in negative consequences (e.g., damaged equipment, delayed project completion); frequently disregards the chain of command and is not properly respectful of superiors, peers, or subordinates; makes little or no attempt to understand how policies or own actions fit into the overall mission of the Navy or Command.

**Table 4 (continued)**

Dimension	Effectiveness		
	High	Mid-range	Low
Embracing Personal and Professional Development	Continuously improves professional capabilities through formal and informal training (e.g., off-duty education, on-the-job training); finds purpose, personal benefit, and growth in work by seeking out all available educational sources and then applying knowledge gained to improve job performance; adeptly balances self-development and training with work responsibilities, ensuring that neither is neglected; actively charts career development plans for both short-term and long-term progression in ways that benefit both self and the Navy.	Seeks out ways to improve professional skills and abilities through informal training (e.g., on-the-job training) or on-duty, Navy-sponsored classes, but may not routinely do so if it interferes with leisure activity; is usually able to balance self-development/training with work responsibilities; routinely plans developmental activities to improve chances of gaining desired assignment, but does not always take into account long-term career objectives.	Rarely engages in efforts to improve professional skills, knowledge, or abilities through any sort of formal or informal training; attempts to accomplish work responsibilities, as required, but shows little or no interest in actively seeking ways to improve work performance; lacks a sense of purpose or focus in learning new skills, or planning for own career.

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# Developing Performance Feedback Tools for Non-supervisory and Supervisory Jobs

The performance management systems developed for non-supervisory and supervisory jobs were designed to provide a mechanism for formal performance evaluations annually. However, to benefit fully from this Service-wide initiative, attention should also be focused on evaluating and improving day-to-day performance on these important categories that comprise the job domain.

Consequently, researchers developed two components of a performance feedback and employee development system that could serve as the foundation for such a system. First, a set of performance feedback forms were developed, that when linked to the important categories of performance identified earlier, provided performance themes for both supervisors and job incumbents to target for development. Second, a performance feedback and development protocol was designed to help supervisors prepare for and conduct the feedback and development session.

## Performance Feedback Forms

Having developed rating scales to serve as the cornerstone of the Navy's new non-supervisory and supervisory management systems, the next important step was to specify a system that could serve as a mechanism for performance feedback and career development. To accomplish this, researchers first returned to the performance statements that served as the raw material for the sorting task (100 for non-supervisory, and 126 for supervisory jobs), and the critical incidents (216 for non-supervisory, and 161 for supervisory jobs) that served as the raw material for subsequent development of the behavior summary scales. Then, all performance statements and critical incidents for each dimension were reviewed, and extracted relevant performance themes.

These themes were used, along with the behavior summary scale anchors, to provide a more detailed list of behaviors for the feedback system. The rationale here was for supervisors conducting feedback sessions to have as rich a behavioral depiction of each dimension's domain as possible to provide maximally relevant feedback to job incumbents. These performance feedback forms are included in Appendix F for non-supervisory jobs, and Appendix G for supervisory jobs. Each performance category is defined, and then performance target themes are provided.

The performance feedback forms provide concrete performance themes at a greater level of specificity than what is available with the rating scale anchors. Consequently, supervisors are able to provide feedback during development sessions directed at specific targeted behaviors within each performance category.

## **The Performance Feedback and Development Protocol**

To help supervisors conduct successful feedback sessions, a feedback and development protocol was also developed. This protocol provides guidance the session leader might use in preparing for and conducting performance feedback and development sessions. The protocol discusses how to prepare for the session and gives “best practices” suggestions on conducting the session, including a recommended agenda to follow, “do’s and don’ts” for conducting an effective session, and advice about after-session activities and follow-up. The content of the protocol can be found in Appendix H.

The central goals of performance feedback and development sessions are to motivate Sailors through recognition of effective performance and to facilitate performance improvement and development. Effective performance feedback and development sessions are achieved by: 1) proper planning for the session; 2) high levels of Sailor participation; 3) a helpful and constructive attitude on the part of the supervisor; 4) mutual setting of goals or performance objectives to be achieved by the Sailor; and, 5) helping the Sailor solve problems and overcome obstacles that are negatively affecting his or her performance and development.

It is very important for the supervisor to prepare for each performance feedback and development session, and it is equally important for subordinates to prepare. Supervisor preparation should focus on reviewing the dimensions and behaviors on the performance feedback and development review form to stimulate thinking about the Sailor’s performance or progress in each area, and to provide a meaningful framework for the performance feedback and development discussion. Supervisors should identify the key strengths, behaviors, and activities observed over the past review interval, and elicit from the Sailors the areas where they believe improvements are needed or where they require support or help to improve. The supervisor should also develop ideas about how to help the Sailor improve in targeted areas, how to remove barriers or obstacles that hinder performance improvement, and how work experiences and opportunities might lead to performance improvements.

Certainly, the review session is not a “one-way street.” Sailors should also be included in the preparation, including: 1) reviewing the dimensions and behaviors to provide a framework for discussion; 2) using the dimensions and target behaviors to stimulate thinking about work accomplishments since the last session; 3) identifying areas of improvement; 4) identifying recommendations for how the supervisor might help to facilitate performance improvement; 5)

thinking about short- and long-term career issues where the session leader might answer questions, provide advice, or offer other forms of help and support.

In keeping with the philosophy of Task Force Excel and the Sailor Continuum, the purpose of performance feedback and development system is to enhance professional growth, create leadership education and training opportunities, encourage personal development, increase the level of meaningful certifications and qualifications, and improve communication among all Sailors within a command. It should be a frank, open discussion of the Sailor's performance, with reference to the behavioral performance standards.



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## Concluding Remarks

This report details the activities undertaken to create new performance management and feedback tools for non-supervisory and supervisory jobs in the U. S. Navy. As noted in the introduction, one of the most challenging strategic actions that an organization can take is the development of employees during their tenure with the organization. Accurate evaluation and performance feedback are crucial components of any performance management and development process.

Such a massive undertaking, under extremely tight time constraints, required that a rigorous, scientifically-defensible, yet efficient approach be devised. In sum, the following steps were required: 1) identify a procedure for capturing the important dimensions of the performance domains for both Navy non-supervisory and supervisory jobs; 2) translate these performance dimensions into behavior-based rating formats that could be used by supervisors to evaluate the performance of personnel under their command, regardless of their occupation or duty assignment; 3) produce a system that could serve as a mechanism for routine performance feedback and career development; and 4) involve the Fleet in all phases of the development process.

To accomplish this, a methodology Borman et al. (1994) employed previously with the Department of Labor in developing performance dimensions relevant for all non-management jobs in the U.S. economy was adopted. This methodology combined the extensive use of Navy SMEs from the Fleet and innovative data analytic techniques to derive dimension sets targeted toward non-supervisory ratings and supervisory jobs. The behaviorally anchored rating scales appear widely relevant, and the performance management systems that employ the scales are nearing implementation. A performance feedback and development protocol was also designed to complement these performance management systems. Designed in this way, these performance systems and tools provide the Navy with maximal organizational alignment.

October 2002 through June 2003 has been established as a transition period between the old and the new management systems. The Performance Vector team of Task Force Excel has also developed a web site ([www.persnet.navy.mil](http://www.persnet.navy.mil)) to not only support this transition, but to serve as a tool to support the evaluation process itself, and educate Navy personnel about the future of performance management in the Navy. Currently, the web site contains such tools as the performance categories, definitions, and targeted behaviors for both non-supervisory and supervisory jobs, the feedback and development protocol, and advice about how to prepare for a feedback session. In addition, in order to

facilitate the transition between the old and new management systems, a “cross-walk” has been developed that provides a mapping of performance categories across the two systems. This comparison has been done for both supervisory and non-supervisory jobs.

The activities described in this report contribute to the goals of Task Force Excel to offer Navy personnel clearly defined career paths and milestones, and give Sailors the tools and opportunities they need to grow professionally and personally. The next step for the Performance Vector research team in this Task Force Excel “transformational revolution” is to develop an Advancement Algorithm that links performance across all five vectors on the Sailor Continuum to promotion to the next pay grade. Results of this effort will be a set of validated algorithms organized within the Task Force Excel 5 Vector Model. This model will be capable of scoring Officer and Enlisted members on promotion factors. Further goals include making the scoring system transparent such that personnel can view their own record at any time *and* evaluate what they might do in their career to earn additional evaluation points for future promotions.

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## Appendix A

# Navy Enhanced Dimension Relevance Survey for Non-supervisory Jobs



**Enhanced Dimension Relevance Survey**

You will be asked to assess the relevance of each of the attached dimensions to the jobs in your organization that you supervise or that you are familiar with. These dimensions are a representative sample of job behaviors for a vast array of jobs. Before you begin the Enhanced Dimension Relevance Survey, remember that these job behaviors or dimensions are intended to be relevant to a wide variety of jobs. The rating task is designed to ensure that this goal was achieved.

As you complete the Enhanced Dimension Relevance Survey, you will find that several of the job dimensions have the same name. We have found that although these dimensions tap the same job behavior, it does so in a way that is a little different and may be worth including because of its distinctness. There are no right or wrong answers and your responses will never be traced back to you.

This study is being conducted by the Navy Survey Policy Office (PERS-00N) on the behalf of the Commander, Navy Personnel Command. If you have any questions, please feel to contact the project director, LCDR Mark Bourne at (901) 874-4770; DSN 882; Email: mark.bourne@persnet.navy.mil.

**Instructions**

Please use the following scale for making your assessment of the relevance of each dimension to the jobs you supervise.

<p><b>1</b> <b>Not Relevant</b></p> <p>For all or the majority of non-supervisory jobs, this dimension is <b>not relevant</b>.</p>	<p><b>2</b> <b>Relevant for Some</b></p> <p>This dimension is <b>relevant for some</b> non-supervisory jobs but not for others.</p>	<p><b>3</b> <b>Relevant for Most</b></p> <p>For all or the majority of non-supervisory jobs, this dimension is <b>relevant</b>.</p>
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In generating your ratings, try to consider each dimension on its own merits and assess it individually. This survey should take approximately 20 - 30 minutes to complete. Thank you for your time and assistance with this project.

**Privacy Act Statement**

Public Law 93-579, called the Privacy Act of 1974, requires that you be informed of the purpose of this survey and the uses to be made of the information collected.

Authority: The Navy Survey Policy Office (PERS-00N) may collect the information requested in this survey under the authority of Title 5 U.S. Code 301, and Title 10, Code 5013. License to administer this survey is granted under OPNAV Report Control Symbol 5350.28 which expires on 30 APR 03.

Principal Purpose: The information collected in this survey will be used to develop and validate a measure of job performance among non-supervisory Navy enlisted personnel in the Navy. Data will be analyzed and maintained by the Navy Survey Policy Office (PERS-00N).

Routine Uses: None.

Confidentiality: All responses will be held in confidence. The information you provide will be considered only when statistically combined with the responses of others and will **NOT** be identified with any one individual. Personal identifiers will be used only to provide a means of collecting additional Sailor performance ratings, if required. The information will **NOT** become part of your permanent record and will **NOT** affect your career in any way.

Participation: Providing information is completely voluntary. Failure to respond to any of the questions will **NOT** result in any penalties except the lack of your opinions in the survey results.

**DIMENSIONS****RATING  
(Circle one)**

1. Initiative	<ul style="list-style-type: none"> <li>• Performing tasks without being asked;</li> <li>• Taking charge of assignments with little or no supervision;</li> <li>• Developing or identifying new and effective ways to accomplish a task</li> </ul>	1	2	3
2. Written communication	<ul style="list-style-type: none"> <li>• Ability to read and understand written materials pertaining to the job;</li> <li>• Generating understandable and appropriate written materials</li> </ul>	1	2	3
3. Accuracy	<ul style="list-style-type: none"> <li>• Completing job or duties efficiently;</li> <li>• Making sure tasks are completed correctly the first time</li> </ul>	1	2	3
4. Group Skills	<ul style="list-style-type: none"> <li>• Interacting effectively in a group to accomplish goals;</li> <li>• Being appropriately assertive;</li> <li>• Articulating ideas/information within a group setting</li> </ul>	1	2	3
5. Versatility/Adaptability	<ul style="list-style-type: none"> <li>• Being willing to work a flexible schedule, change priorities with little notice, and learn new skills</li> </ul>	1	2	3
6. Follows directions	<ul style="list-style-type: none"> <li>• Understanding both verbal and written instructions, procedures, or policies;</li> <li>• Seeking clarification if necessary at the appropriate time;</li> <li>• Following directions in the performance of job duties</li> </ul>	1	2	3
7. Time management	<ul style="list-style-type: none"> <li>• Ability to manage time based on work required;</li> <li>• Being aware of time required to complete projects while managing other work and when necessary prioritizing work to be completed;</li> <li>• Being flexible and able to change direction when needed to meet deadlines</li> </ul>	1	2	3
8. Consistency	<ul style="list-style-type: none"> <li>• Maintaining stable and consistent level of work and skill;</li> <li>• Not allowing skills to decline;</li> <li>• Maintaining performance standards at all times</li> </ul>	1	2	3
9. Problem solving	<ul style="list-style-type: none"> <li>• Recognizing and defining problems;</li> <li>• Investigating and selecting appropriate goal-oriented alternatives, considering the impact on various stakeholders</li> </ul>	1	2	3
10. Personal discipline	<ul style="list-style-type: none"> <li>• Adhering to rules and regulations;</li> <li>• Exercising self-control;</li> <li>• Demonstrating integrity in day-to-day behavior;</li> <li>• Not causing disciplinary problems</li> </ul>	1	2	3
11. Commitment to task	<ul style="list-style-type: none"> <li>• Focusing on task and maintaining awareness of required goals and expectations;</li> <li>• Not being distracted by irrelevant issues</li> </ul>	1	2	3
12. Safety	<ul style="list-style-type: none"> <li>• Maintaining a safe work environment;</li> <li>• Following safety procedures with respect to proper operation and use of equipment, dress, etc as appropriate for the job</li> </ul>	1	2	3

**1 = Not Relevant for Most Jobs****2 = Relevant for Some Jobs****3 = Relevant for Most Jobs**

**DIMENSIONS****RATING  
(Circle one)**

13. Work ethic	<ul style="list-style-type: none"> <li>• Demonstrating honesty and openness in daily job performance;</li> <li>• Utilizing resources in a professional manner considering time, money, and equipment in performance of tasks</li> </ul>	1	2	3
14. Innovation	<ul style="list-style-type: none"> <li>• Suggesting new ways of doing things;</li> <li>• Working to improve materials, processes, or products;</li> <li>• trying new techniques to improve performance on a daily basis</li> </ul>	1	2	3
15. Technical skills	<ul style="list-style-type: none"> <li>• Displaying a mastery of work tasks;</li> <li>• Making even difficult assignments appear routine</li> </ul>	1	2	3
16. Willingness to work	<ul style="list-style-type: none"> <li>• Being to work overtime;</li> <li>• Being flexible with working hours</li> </ul>	1	2	3
17. Communication skills	<ul style="list-style-type: none"> <li>• Ability to verbally articulate ideas;</li> <li>• Writing clearly and concisely;</li> <li>• Using vocabulary appropriately;</li> <li>• Checking for understanding among listeners;</li> <li>• Asking questions to clarify and ensure understanding;</li> <li>• Demonstrating active listening skills</li> </ul>	1	2	3
18. Organizing	<ul style="list-style-type: none"> <li>• Understanding and evaluating the importance of different pieces of information or materials;</li> <li>• Organizing or prioritizing for action or reporting</li> </ul>	1	2	3
19. Thoroughness	<ul style="list-style-type: none"> <li>• Displaying appropriate attention to detail and to each essential fact of assignment</li> </ul>	1	2	3
20. Flexibility	<ul style="list-style-type: none"> <li>• Ability to change directions in thinking or perform different tasks when business demands without compromising quality or production</li> </ul>	1	2	3
21. Integrity	<ul style="list-style-type: none"> <li>• Being truthful about work results and decisions even if they do not meet with favor of management;</li> <li>• Not blaming others for poor product</li> </ul>	1	2	3
22. Resource utilization	<ul style="list-style-type: none"> <li>• Knowing when to seek supervision and/or guidance from supervisor and/or other available resources</li> </ul>	1	2	3
23. Efficiency	<ul style="list-style-type: none"> <li>• Accomplishing job assignments/tasks at the maximum level of performance while using the minimum amount of resources possible</li> </ul>	1	2	3
24. Effort	<ul style="list-style-type: none"> <li>• Putting forth the effort to consistently complete tasks efficiently and effectively</li> </ul>	1	2	3
25. Analysis	<ul style="list-style-type: none"> <li>• Researching and reviewing progress information at suitable intervals to make adjustments in schedule, as necessary, to achieve desired results in the proper timeframe</li> </ul>	1	2	3
26. Team player	<ul style="list-style-type: none"> <li>• Supporting the common goal of the work unit;</li> <li>• Directing own efforts in coordination with others;</li> <li>• Contributing to the group effort by utilizing each members strengths and abilities to achieve its goals</li> </ul>	1	2	3
27. Focus	<ul style="list-style-type: none"> <li>• Avoiding or suppressing distractions to accomplish a specific goal</li> </ul>	1	2	3

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**DIMENSIONS****RATING  
(Circle one)**

28. Integration of organization's objectives	<ul style="list-style-type: none"> <li>Understanding organization's objectives and then setting goals consistent with those objectives</li> </ul>	1	2	3
29. Judgment	<ul style="list-style-type: none"> <li>Examining situations, weighing positives and negatives and deciding on course of action</li> </ul>	1	2	3
30. Initiative	<ul style="list-style-type: none"> <li>Asking for additional job responsibilities;</li> <li>Making suggestions and expressing ideas in formal/informal meetings;</li> <li>Learning about other aspects of organization;</li> <li>Learning about organization's role in the Navy and factors which may affect it;</li> <li>Volunteering for activities;</li> <li>Seeking self-development opportunities</li> </ul>	1	2	3
31. Responsiveness	<ul style="list-style-type: none"> <li>Understanding others' requests and appropriately responding to them</li> </ul>	1	2	3
32. Task performance approach	<ul style="list-style-type: none"> <li>Acknowledging receipt of assignments from supervisor;</li> <li>Giving feedback to supervisor on status of assignment;</li> <li>Approaching supervisor for guidance on given tasks;</li> <li>Bringing tasks to closure without prompting;</li> <li>Reporting to supervisor on closure of assignment</li> </ul>	1	2	3
33. Productivity	<ul style="list-style-type: none"> <li>Meeting established or expected quantitative levels of work within expected time frames and at an acceptable level of quality</li> </ul>	1	2	3
34. Accountability	<ul style="list-style-type: none"> <li>Ability to comprehend and accept consequences of actions</li> </ul>	1	2	3
35. Task prioritization	<ul style="list-style-type: none"> <li>Attending to deadlines or time constraints</li> <li>Gauging the length of time required to complete a task;</li> <li>Choosing appropriate priorities</li> </ul>	1	2	3
36. Job knowledge	<ul style="list-style-type: none"> <li>Demonstrating an understanding of the main duties required of the position;</li> <li>The ability to train and pass this knowledge on to relevant others as necessary</li> </ul>	1	2	3
37. Information seeking	<ul style="list-style-type: none"> <li>Asking questions of a co-worker, supervisor, or group of people to clarify a task/work situation that is unclear</li> </ul>	1	2	3
38. Organization mission awareness	<ul style="list-style-type: none"> <li>Using organizational context and goals as a guide for task performance, prioritization, decision making and allocation of resources</li> </ul>	1	2	3
39. Attendance	<ul style="list-style-type: none"> <li>Understanding the need to report to work regularly and on time and the effect absences have on others</li> </ul>	1	2	3
40. Resiliency	<ul style="list-style-type: none"> <li>Being able to overcome setbacks or failures in the workplace</li> </ul>	1	2	3
41. Follow-through	<ul style="list-style-type: none"> <li>Completing tasks;</li> <li>Keeping track of details and making sure things do not "slip through the cracks"</li> </ul>	1	2	3
42. Team skills	<ul style="list-style-type: none"> <li>Ability to work with others by sharing responsibility;</li> <li>Listening to others, giving ideas, taking suggestions, and participating in team projects</li> </ul>	1	2	3

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**DIMENSIONS****RATING  
(Circle one)**

43. Commitment to development	<ul style="list-style-type: none"> <li>Identifying personal training needs;</li> <li>Being responsive to supervisor's suggestions and taking feedback and criticism well;</li> <li>Being receptive and open to dealing with own issues;</li> <li>Demonstrating initiative and curiosity in taking on projects</li> </ul>	1	2	3
44. Initiative	<ul style="list-style-type: none"> <li>Making suggestions to enhance current processes/systems;</li> <li>Contributing ideas for new processes/systems;</li> <li>Seeking out additional responsibilities or responsibilities or opportunities to assist others if workload permits</li> </ul>	1	2	3
45. Problem solving	<ul style="list-style-type: none"> <li>Evaluating a problem;</li> <li>Figuring out how to solve a problem and if necessary, when to pass it on to others</li> </ul>	1	2	3
46. Cost consciousness	<ul style="list-style-type: none"> <li>Considering the financial impact of decisions and seeking to find "lowest cost" alternative that resolves the situation</li> </ul>	1	2	3
47. Effectiveness under pressure	<ul style="list-style-type: none"> <li>Ability to remain calm and perform effectively when trying to meet deadlines and/or under advisers conditions;</li> <li>Avoiding the "panic mode"</li> </ul>	1	2	3
48. Interpersonal skills	<ul style="list-style-type: none"> <li>Ability to interact with others in large and small teams;</li> <li>Ability to work effectively with a diverse group of individuals;</li> <li>Ability to share workload;</li> <li>Willingness to assist others</li> </ul>	1	2	3
49. Professional image	<ul style="list-style-type: none"> <li>Conducting self in a professional manner by using appropriate language and behavior;</li> <li>Dressing in a manner appropriate to the job</li> </ul>	1	2	3
50. Quick thinking	<ul style="list-style-type: none"> <li>Ability to react quickly as the situation demands, considering consequences of action taken and desired results</li> </ul>	1	2	3
51. Adherence to procedures	<ul style="list-style-type: none"> <li>Following policies and procedures as established by the company</li> </ul>	1	2	3
52. Reporting/documentation	<ul style="list-style-type: none"> <li>Recording a consistent and accurate database of transactions, interactions, contact, etc;</li> <li>Reporting data to others in the organization as necessary</li> </ul>	1	2	3
53. Integration	<ul style="list-style-type: none"> <li>Ability to understand and apply new knowledge to relevant functions or tasks</li> </ul>	1	2	3
54. Work flow knowledge	<ul style="list-style-type: none"> <li>Maintaining knowledge of the departmental work flow within the organization</li> </ul>	1	2	3
55. Conflict resolution	<ul style="list-style-type: none"> <li>Dealing effectively with individuals involved in conflicts;</li> <li>Ability to listen and evaluate situation and find creative solutions for mutual gain;</li> <li>Ability to foster relationships and facilitate decision making;</li> <li>Ability to understand issues and their impact</li> </ul>	1	2	3

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**DIMENSIONS****RATING  
(Circle one)**

56. Time management	<ul style="list-style-type: none"> <li>• Effectively prioritizing tasks;</li> <li>• Planning schedule by the day, week, or month as appropriate</li> <li>• Budgeting time as appropriate to the task which includes allowing for unplanned activities and/or emergencies;</li> <li>• Meeting deadlines;</li> <li>• Managing multiple tasks concurrently</li> </ul>	1	2	3
57. Dependability	<ul style="list-style-type: none"> <li>• Being present and available to perform tasks when required or needed;</li> <li>• Performing effectively in emergency situations</li> </ul>	1	2	3
58. Political astuteness	<ul style="list-style-type: none"> <li>• Understanding the political ramifications of his/her actions;</li> <li>• Comprehending hidden as well as overt political messages both internally and outside the organization</li> </ul>	1	2	3
59. Informing	<ul style="list-style-type: none"> <li>• Informing supervisor or appropriate parties of work issues, concerns, or problems</li> </ul>	1	2	3
60. Loyalty	<ul style="list-style-type: none"> <li>• Exhibiting an attitude of respect and support that translates into a loyalty to the organization;</li> <li>• Demonstrating care and concern for the project and the people related to the organization</li> </ul>	1	2	3
61. Team work	<ul style="list-style-type: none"> <li>• Supporting team members and contributing to the accomplishment of work group goals and objectives</li> </ul>	1	2	3
62. Acceptance of authority	<ul style="list-style-type: none"> <li>• Understanding chain of command;</li> <li>• Accepting and respecting the decisions of higher management</li> </ul>	1	2	3
63. Perspective	<ul style="list-style-type: none"> <li>• Ability to keep things in perspective;</li> <li>• Not getting obsessed with a certain task at the expense of others of equal or greater importance</li> </ul>	1	2	3
64. Self development	<ul style="list-style-type: none"> <li>• Seeking knowledge and learning new skills;</li> <li>• Seeking to improve job performance by utilizing latest technology;</li> <li>• Taking initiative to seek out additional training;</li> <li>• Asking questions and displaying a high level of curiosity in areas where knowledge is weak;</li> <li>• Being aware of a weakness</li> </ul>	1	2	3
65. Consistency	<ul style="list-style-type: none"> <li>• Performing work in a consistent, positive manner, even when tired, bored, or burned out</li> </ul>	1	2	3
66. Providing constructive feedback	<ul style="list-style-type: none"> <li>• Stepping in to correct peers when needed;</li> <li>• Providing constructive criticism to peers when the situation warrants it</li> </ul>	1	2	3
67. Discretion	<ul style="list-style-type: none"> <li>• Keeping sensitive information in strictest confidence and using it responsibly</li> </ul>	1	2	3
68. Time management	<ul style="list-style-type: none"> <li>• Making effective, efficient use of time;</li> <li>• Consistently meeting or exceeding deadlines;</li> <li>• Ability to see the “big picture” in terms of both job or departmental focus and company goals;</li> <li>• Ability to budget time, prioritize tasks, and re-prioritize with shifting deadlines</li> </ul>	1	2	3

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**DIMENSIONS****RATING  
(Circle one)**

69. Attention to detail	<ul style="list-style-type: none"> <li>Ability to consistently identify errors and spot discrepancies</li> </ul>	1	2	3
70. Safety	<ul style="list-style-type: none"> <li>Practicing safety measures on the job using appropriate safety equipment, tools, or clothing;</li> <li>Being up-to-date on relevant safety rules and guidelines</li> </ul>	1	2	3
71. Follow-up	<ul style="list-style-type: none"> <li>Verifying that outstanding issues have been finalized</li> </ul>	1	2	3
72. Communication	<ul style="list-style-type: none"> <li>Keeping appropriate people informed;</li> <li>Asking questions to enhance understanding of assignments;</li> <li>Listening to instructions and information provided by others</li> </ul>	1	2	3
73. Focus	<ul style="list-style-type: none"> <li>Ability to complete a task even when frequently interrupted or distracted</li> </ul>	1	2	3
74. Receptive	<ul style="list-style-type: none"> <li>Accepting suggestions and constructive criticism about job performance and being willing to make changes in job performances based on them</li> </ul>	1	2	3
75. Accuracy	<ul style="list-style-type: none"> <li>Producing output containing few errors and which does not require review or reworking</li> </ul>	1	2	3
76. Seeking assistance	<ul style="list-style-type: none"> <li>Asking for help or clarification when unsure about how to do something</li> </ul>	1	2	3
77. Organization skills	<ul style="list-style-type: none"> <li>Effectively prioritizing assignments based on time requirements to</li> </ul>	1	2	3
78. Professionalism	<ul style="list-style-type: none"> <li>Acting in a manner consistent with the culture or climate of the workplace;</li> <li>Ability to handle problems without showing frustration/anxiety</li> </ul>	1	2	3
79. Admission of error	<ul style="list-style-type: none"> <li>Offering honest self-appraisal which would afford correction of mistake and focusing on task completion</li> </ul>	1	2	3
80. Interpersonal skills	<ul style="list-style-type: none"> <li>Considering co-workers' requirements and needs;</li> <li>Soliciting others opinions, accepting constructive criticism, responding to others' concerns;</li> <li>Maintaining pleasant demeanor when interacting with others;</li> <li>Resolving conflicts with others by maintaining objectivity and goal orientation, as opposed to focusing on personal agenda</li> </ul>	1	2	3
81. Decision making	<ul style="list-style-type: none"> <li>Identifying problems and related issues;</li> <li>Researching or studying issues or options in a timely manner;</li> <li>Selecting the most appropriate course of action based on the circumstances</li> </ul>	1	2	3
82. Organizational knowledge	<ul style="list-style-type: none"> <li>Maintaining knowledge of organization's operations, proper procedures to follow, and knowledge of organizational flow</li> </ul>	1	2	3
83. Use of resources	<ul style="list-style-type: none"> <li>Using resources wisely;</li> <li>Distinguishing situations where additional use of resources will have a significant positive impact and where losses will be minimized</li> </ul>	1	2	3

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**DIMENSIONS****RATING  
(Circle one)**

84. Health and safety	<ul style="list-style-type: none"> <li>• Understanding and practicing good health and safety procedures;</li> <li>• Maintaining a clean work environment;</li> <li>• Following directions on use of equipment</li> </ul>	1	2	3
85. Efficiency	<ul style="list-style-type: none"> <li>• Performing work accurately and/or beyond requirements of position;</li> <li>• Being well-organized and efficient in work performance;</li> <li>• Utilizing organization's resources to the fullest extent possible</li> </ul>	1	2	3
86. Problem resolution	<ul style="list-style-type: none"> <li>• Effectively articulating problem in terms of organization/department outcomes;</li> <li>• Listening to others' perceptions of problems;</li> <li>• Identifying possible solutions;</li> <li>• Determining plan of action and following through on plan</li> </ul>	1	2	3
87. Adaptability	<ul style="list-style-type: none"> <li>• Ability to move from task to task as required without undue disruption;</li> <li>• Ability to assess situation or job and determine course of action required to reach desired outcome;</li> <li>• Not becoming flustered or disoriented when required to change course of action</li> </ul>	1	2	3
88. Reliability	<ul style="list-style-type: none"> <li>• Arriving to work on time;</li> <li>• Completing a given project or task in the established period of time;</li> <li>• Notifying those responsible if a particular task or project will not be completed as required so that an alternative course of action can be implemented immediately</li> </ul>	1	2	3
89. Time orientation	<ul style="list-style-type: none"> <li>• Providing required information, materials, or product in a timely manner or according to schedule;</li> <li>• Understanding and respecting deadlines</li> </ul>	1	2	3
90. Cooperation	<ul style="list-style-type: none"> <li>• Working with others to complete tasks or achieve goals;</li> <li>• Receiving and giving constructive suggestions or instructions to finish the task</li> </ul>	1	2	3
91. Relationship to co-workers	<ul style="list-style-type: none"> <li>• Ability to get along with fellow employees;</li> <li>• Resolving any differences with minimal conflict;</li> <li>• Performing effectively as a team member</li> </ul>	1	2	3
92. Independence	<ul style="list-style-type: none"> <li>• Working well independently;</li> <li>• Completing assignments with little or no direct supervision</li> </ul>	1	2	3
93. Creativity	<ul style="list-style-type: none"> <li>• Ability to improve the way in which job is currently performed;</li> <li>• Devising new ways to do job more quickly and efficiently</li> </ul>	1	2	3

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**DIMENSIONS****RATING  
(Circle one)**

94. Resourceful	<ul style="list-style-type: none"> <li>Investigating/analyzing all possible avenues for resolving problems;</li> <li>Having “broad” vision and not seeing ways to accomplish tasks others do not;</li> <li>Not necessarily accepting first solution</li> </ul>	1	2	3
95. Ability to work with others	<ul style="list-style-type: none"> <li>Interacting with others in a cooperative, flexible manner and being supportive of others goals and work needs;</li> <li>Accomplishing a task or responsibility using available resources or input from others while maintaining effective interpersonal relationships</li> </ul>	1	2	3
96. Integrity	<ul style="list-style-type: none"> <li>Being honest in all dealings with others;</li> <li>Revealing facts and information pertinent to a problem</li> </ul>	1	2	3
97. Verbal communication	<ul style="list-style-type: none"> <li>Communicating thoughts, directions, etc, clearly;</li> <li>Being aware of audience and speaking to their level;</li> <li>Being aware of voice, tone, inflection, and the audience response</li> </ul>	1	2	3
98. Attendance	<ul style="list-style-type: none"> <li>Demonstrating good work attendance;</li> <li>Informing supervisor of any change in schedule in a timely manner</li> </ul>	1	2	3
99. Initiative	<ul style="list-style-type: none"> <li>Ability to work independently;</li> <li>Seeking new assignments;</li> <li>Asking for more responsibility and helping others without being asked</li> </ul>	1	2	3
100. Teamwork	<ul style="list-style-type: none"> <li>Working well in a group;</li> <li>Soliciting and considering the opinions of others;</li> <li>Being supportive of others and avoiding destructive criticism;</li> <li>Ability to make others feel comfortable</li> </ul>	1	2	3
101. Attitude	<ul style="list-style-type: none"> <li>Displaying a friendly, outgoing, and positive disposition toward the organization, co-workers, and customers (internal and external)</li> </ul>	1	2	3
102. Trustworthy	<ul style="list-style-type: none"> <li>Working unsupervised in a reliable and trustworthy manner;</li> <li>Not taking advantage of situations when supervisor is not present</li> </ul>	1	2	3
103. Transfer of training	<ul style="list-style-type: none"> <li>Understanding training goals and requirements and developing and applying those skills on the job</li> </ul>	1	2	3
104. Flexibility	<ul style="list-style-type: none"> <li>Ability to change with needs of the organization;</li> <li>Understanding needs as they arise and “switching gears” as necessary;</li> <li>Being open to alternatives in job-related tasks;</li> <li>Ability to handle several tasks at once if needed</li> </ul>	1	2	3
105. Interpersonal skills	<ul style="list-style-type: none"> <li>Demonstrating capacity and willingness to work with others to accomplish task;</li> <li>Using sensitivity in dealing with persons from diverse backgrounds</li> </ul>	1	2	3

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## Appendix B

### Non-supervisory Workshop Demographics



## ***Non-supervisory Workshop Demographics***

### **Demographics Across all Workshops**

<b>Table 1 Frequency of Workshop Participants by Task</b>		
<b>Workshop Task</b>	<b>N</b>	<b>Percent</b>
Card Sorting	52	58.4
Critical Incident Generation	26	29.2
Anchor Retranslation	11	12.4
Total	89	100.0

<b>Table 2 Amount of Time on Active Duty, at Current Command and in Supervisory Roles (Years)</b>			
<b>Variable</b>	<b>N</b>	<b>Mean</b>	<b>SD</b>
Active Duty	88	10.6	7.2
Current Command	86	1.3	1.2
Supervisor (Overall)	83	5.3	5.7
Supervisor at Current Command	85	0.7	0.9

**Table 3**  
**Demographic Characteristics of Workshop Participants**

<b>Variable</b>	<b>N</b>	<b>Percent</b>
<b>Race</b>		
American Indian	2	2.2
Asian	2	2.2
Black	32	36.0
Hispanic	8	9.0
White	45	50.6
<b>Gender</b>		
Male	59	67.0
Female	29	33.0
<b>Educational Level</b>		
High School Certification (GED)	5	5.7
High School Diploma	19	21.6
Some College	47	53.4
Two-year College Degree	6	6.8
Four-year College Degree	6	6.8
Some Graduate School	3	3.4
Graduate Degree	2	2.3

<b>Table 3 (continued)</b>		
<b>Variable</b>	<b>N</b>	<b>Percent</b>
<b>Number Supervised</b>		
None	23	25.7
1 to 5	42	47.2
6 to 10	10	11.2
11 to 15	5	5.6
16 to 20	3	3.5
21 to 25	2	2.3
26 or more	4	4.5

<b>Table 4 Frequency of Workshop Participants by Ship/Activity</b>		
<b>Ship/Activity</b>	<b>N</b>	<b>Percent</b>
Aviation Activities	11	12.8
Surface Force Activities	12	14.0
Submarine Force Activities	3	3.5
Shore-based Activities	60	69.7

## Demographics by Workshop

Table 5 Active Duty and Supervisory Experience by Workshop (Years)						
Variable	Card Sorting (N=49)		Critical Incident (N=26)		Retranslation (N=11)	
	Mean	SD	Mean	SD	Mean	SD
Active Duty	9.6	8.0	11.6	5.9	13.8	4.8
Current Command	1.2	1.2	1.6	1.2	1.8	1.1
Supervisor (Overall)	5.7	6.5	4.2	4.2	6.1	3.8
Supervisor at Current Command	0.6	0.8	0.6	0.7	1.5	1.4

Table 6 Demographic Characteristics by Workshop						
Variable	Card Sorting		Critical Incident		Retranslation	
	N	Percent	N	Percent	N	Percent
<b>Race</b>						
American Indian	0	0.0	1	3.8	0	0.0
Asian	2	4.1	0	0.0	0	0.0
Black	12	24.5	12	46.2	7	63.6
Hispanic	7	14.3	1	3.8	0	0.0
White	28	57.1	12	46.2	4	36.4
<b>Gender</b>						
Male	33	67.3	14	53.8	11	100.0
Female	16	32.7	12	46.2	0	0.0
<b>Educational Level</b>						
High School Certification (GED)	5	10.2	0	0.0	0	0.0
High School Diploma	12	24.5	5	19.2	2	20.0
Some College	25	51.0	13	50.0	7	70.0

Table 6 (continued)						
Variable	Card Sorting		Critical Incident		Retranslation	
	N	Percent	N	Percent	N	Percent
Two-year College Degree	4	8.2	2	7.7	1	10.0
Four-year College Degree	3	6.1	1	3.9	0	0.0
Some Graduate School	0	0.0	3	11.5	0	0.0
Graduate Degree	0	0.0	2	7.7	0	0.0
<b>Number Supervised</b>						
None	10	20.4	12	46.2	1	9.1
1 to 5	26	53.0	11	42.3	2	18.2
6 to 10	6	12.2	1	3.8	3	27.2
11 to 15	1	2.1	2	7.7	2	18.2
16 to 20	2	4.1	0	0.0	1	9.1
21 to 25	2	4.1	0	0.0	0	0.0
26 or more	2	4.1	0	0.0	2	18.2

Table 7 Ship/Activity Assignments by Workshop						
Ship/Activity	Card Sorting		Critical Incident		Retranslation	
	N	Percent	N	Percent	N	Percent
Aviation Activities	10	20.4	0	0.0	1	9.1
Surface Force Activities	10	20.4	0	0.0	2	18.2
Submarine Force Activities	3	6.1	0	0.0	0	0.0
Shore-based Activities	26	53.1	26	100.0	8	72.7



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## Appendix C

# Non-supervisory Principal Components Analysis



### Non-supervisory Principal Components Analysis

Label	No.	Behavior	1	2	3	4	5	6	7	8	9	10
Cooperation/ Working Well with Others	24	Supporting the common goal of the work unit; directing own efforts in coordination with others; contributing to the group effort by utilizing each members strengths and abilities to achieve its goals.	-.87	-.20	-.14	-.12	.03	-.15	-.14	-.07	-.06	-.08
	90	Interacting with others in a cooperative, flexible manner and being supportive of others goals and work needs; accomplishing a task or responsibility using available resources or input from others while maintaining effective interpersonal relationships.	-.86	-.24	-.14	-.11	.09	-.12	-.13	-.09	-.05	-.05
	86	Ability to get along with others; resolving any differences with minimal conflict; performing effectively as a team member.	-.86	-.24	-.13	-.11	.08	-.13	-.11	-.08	-.05	-.07
	85	Working with others to complete tasks or achieve goals; receiving constructive suggestions or instructions to finish the task.	-.86	-.22	-.15	-.10	.09	-.11	-.14	-.09	-.05	-.07
	100	Demonstrating capacity and willingness to work with others to accomplish task; using sensitivity in dealing with persons from diverse backgrounds.	-.86	-.23	-.14	-.11	.09	-.12	-.14	-.08	-.06	-.06
	95	Working well in a group; being supportive of others and avoiding destructive criticism; ability to make others feel comfortable.	-.86	-.23	-.14	-.11	.09	-.12	-.14	-.09	-.05	-.07
	4	Interacting effectively in a group to accomplish goals; being appropriately assertive; articulating ideas/information within a group setting.	-.86	-.21	-.17	-.09	.10	-.13	-.15	-.08	-.03	-.06
	57	Supporting team members and contributing to the accomplishment of work group goals and objectives.	-.86	-.21	-.15	-.11	.07	-.14	-.14	-.06	-.05	-.08
	39	Ability to work with others by sharing responsibility; listening to others, giving ideas, taking suggestions, and participating in team projects.	-.86	-.22	-.14	-.10	.09	-.13	-.14	-.07	-.05	-.07

**Non-supervisory Principal Components Analysis (continued)**

Label	No.	Behavior	1	2	3	4	5	6	7	8	9	10
Cooperation/ Working Well with Others (continued)	44	Ability to interact with others in large and small teams; ability to work effectively with a diverse group of individuals; ability to share workload; willingness to assist others.	-.86	-.22	-.14	-.10	.09	-.12	-.15	-.07	-.04	-.07
	75	Considering co-workers' requirements and needs; soliciting others opinions, accepting constructive criticism, responding to others' concerns; maintaining pleasant demeanor when interacting with others; resolving conflicts with others by maintaining objectivity and goal orientation, as opposed to focusing on personal agenda.	-.86	-.27	-.15	-.11	.10	-.08	-.11	-.12	-.05	-.07
	51	Dealing effectively with individuals involved in conflicts; ability to listen and evaluate situation; ability to foster relationships and facilitate decision making; ability to understand issues and their impact.	-.85	-.24	-.12	-.09	.06	.06	-.09	-.12	-.01	-.08
	29	Understanding others' requests and appropriately responding to them.	-.81	-.31	-.18	-.19	.10	-.01	-.07	-.17	.04	-.03
	96	Displaying a friendly, outgoing, and positive disposition.	-.72	-.36	-.08	-.16	.14	-.11	.16	-.23	-.04	.00
	62	Stepping in to correct peers when needed; providing constructive criticism to peers when the situation warrants it.	-.56	-.34	-.19	.08	.19	.33	.03	-.20	.04	.19
	98	Understanding training goals and requirements and developing and applying those skills on the job.	.50	-.09	-.13	.07	-.15	-.05	-.04	-.22	.44	.10
	12	Maintaining a safe work environment; following safety procedures with respect to proper operation and use of equipment, dress, etc., as appropriate for the job.	.46	.07	-.38	-.39	.00	-.15	.07	-.23	-.09	-.22

**Non-supervisory Principal Components Analysis (continued)**

Label	No.	Behavior	1	2	3	4	5	6	7	8	9	10
Task Proficiency and Productivity	70	Producing output containing few errors and which does not require review or reworking.	.31	.79	.12	.11	.15	-.05	-.13	-.05	-.07	.01
	3	Completing job or duties efficiently; making sure tasks are completed correctly the first time.	.33	.77	.06	.08	.18	-.08	-.11	.08	.00	-.02
	80	Performing work accurately and/or beyond requirements of position; being well-organized and efficient in work performance; utilizing Command resources to the fullest extent possible.	.35	.75	.10	.22	.09	-.02	-.14	.01	-.08	.02
	23	Putting forth the effort to consistently complete tasks efficiently and effectively.	.34	.75	.14	.21	.22	-.11	-.09	.02	-.12	-.05
	38	Completing tasks; keeping track of details and making sure things do not "slip through the cracks".	.30	.71	.32	.03	.18	.05	-.09	.08	-.14	.02
	22	Accomplishing job assignments/tasks at the maximum level of performance while using the resources that are available.	.32	.70	.17	.28	.26	-.05	-.09	-.03	-.06	-.02
	72	Effectively prioritizing assignments based on time requirements.	.16	.68	.34	-.05	.11	.18	-.14	.29	-.03	-.14
	31	Meeting established or expected quantitative levels of work within expected time frames and at an acceptable level of quality.	.18	.68	.26	-.15	.18	-.10	-.07	.37	-.13	-.10
	52	Effectively prioritizing tasks; planning schedule by the day, week, or month as appropriate; meeting deadlines; managing multiple tasks concurrently.	.20	.66	.35	-.05	.16	.08	-.11	.33	-.05	-.17
	33	Attending to deadlines or time constraints.	.15	.65	.34	-.13	.15	.01	-.08	.39	-.08	-.14
	64	Making effective, efficient use of time; consistently meeting or exceeding deadlines; ability to see the "big picture" in terms of both job or departmental focus and Command goals.	.09	.65	.32	-.09	.11	-.03	-.15	.37	-.08	-.22

**Non-supervisory Principal Components Analysis (continued)**

Label	No.	Behavior	1	2	3	4	5	6	7	8	9	10
Task Proficiency and Productivity (continued)	78	Using resources wisely.	.32	.65	.09	-.12	.06	.37	.15	-.11	.14	-.06
	18	Displaying appropriate attention to detail and to each essential fact of assignment.	.50	.65	.00	.02	.19	-.19	.00	-.06	-.06	.05
	8	Maintaining stable and consistent level of work and skill; not allowing skills to decline; maintaining performance standards at all times.	.43	.64	.15	.16	.17	-.22	-.08	.10	-.03	.10
	15	Displaying a proficiency of work tasks; making even difficult assignments appear routine.	.38	.63	.27	.30	.23	-.06	-.11	-.07	-.09	-.04
	84	Providing required information, materials, or product in a timely manner or according to schedule; understanding and respecting deadlines.	.18	.61	.23	-.11	.08	-.05	-.13	.52	-.05	-.09
Adaptability/ Flexibility	43	Ability to remain calm and perform effectively when trying to meet deadlines and/or under advisers conditions; avoiding the "panic mode".	.18	.24	.75	-.06	.12	-.02	.04	.18	-.09	-.09
	37	Being able to overcome setbacks or failures in the workplace.	.26	.09	.75	-.07	.16	.06	.15	.12	-.18	-.03
	59	Ability to keep things in perspective; not getting obsessed with a certain task at the expense of others of equal or greater importance.	.12	.23	.74	-.16	.21	.20	.04	.05	-.15	.02
	19	Ability to change directions in thinking or perform different tasks when business demands without compromising quality or production.	.15	.28	.74	.05	.15	-.03	-.14	.09	-.04	-.19
	99	Ability to change with needs of the Command; understanding needs as they arise and "switching gears" as necessary; being open to alternatives in job-related tasks; ability to handle several tasks at once, if needed.	.14	.00	.73	-.17	-.31	-.06	-.12	.06	-.09	-.16

**Non-supervisory Principal Components Analysis (continued)**

Label	No.	Behavior	1	2	3	4	5	6	7	8	9	10
Adaptability/ Flexibility (continued)	82	Ability to move from task to task as required without undue disruption; not becoming flustered or disoriented when required to change course of action.	.25	.39	.71	.02	.19	-.05	-.10	.07	-.13	-.03
	25	Avoiding or suppressing distractions to accomplish a specific goal.	.20	.30	.69	-.03	.20	.00	-.12	-.08	-.19	.10
	46	Ability to react quickly as the situation demands, considering consequences of action taken and desired results.	.21	.40	.65	-.02	.17	.10	.00	.15	-.09	-.14
	5	Being willing to work a flexible schedule, change priorities with little notice, and learn new skills.	.21	.13	.63	-.09	.15	-.23	-.05	.43	-.17	-.05
	7	Ability to manage time based on work required; being flexible and able to change direction when needed to meet deadlines.	.20	.41	.61	-.06	.14	-.06	-.14	.40	-.04	-.11
	68	Ability to complete a task even when frequently interrupted or distracted.	.28	.51	.56	.09	.21	-.12	-.15	.01	-.12	-.01
	73	Acting in a manner consistent with the culture or climate of the workplace; ability to handle problems without showing frustration/anxiety.	-.34	-.28	.55	-.13	.31	-.05	.15	-.10	-.23	.06
	61	Performing work in a consistent, positive manner, even when tired, bored, or burned out.	.29	.42	.55	.14	.21	-.19	.04	-.02	-.16	.00
	11	Focusing on task and maintaining awareness of required goals and expectations; not being distracted by irrelevant issues.	.30	.50	.53	.04	.11	-.15	-.08	-.11	-.13	.18
	53	Being present and available to perform tasks when required or needed; performing effectively in emergency situations.	.33	.40	.50	-.08	.12	-.15	.00	.44	-.17	-.06

**Non-supervisory Principal Components Analysis (continued)**

Label	No.	Behavior	1	2	3	4	5	6	7	8	9	10
Initiative and Self Development	28	Asking for additional job responsibilities; making suggestions and expressing ideas in formal/informal meetings; learning about other aspects of your Command; volunteering for activities; seeking self development opportunities.	.15	.07	-.10	.82	.06	-.01	-.18	.00	.02	.03
	94	Ability to work independently; seeking new assignments; asking for more responsibility and helping others without being asked.	.21	.21	-.01	.77	.15	-.07	-.14	-.09	-.04	.00
	1	Performing tasks without being asked; taking charge of assignments with little or no supervision; developing or identifying new and effective ways to accomplish a task.	.21	.21	-.05	.76	.17	-.04	-.16	-.09	-.04	-.01
	60	Seeking knowledge and learning new skills; seeking to improve job performance by utilizing latest technology; taking initiative to seek out additional training; asking questions and displaying a high level of curiosity in areas where knowledge is weak; being aware of a weakness.	.30	-.03	-.01	.76	.19	.09	-.07	-.03	.12	.07
	41	Making suggestions to enhance current processes/systems; contributing ideas for new processes/systems; seeking out additional responsibilities or responsibilities or opportunities to assist others if workload permits.	-.17	-.15	-.16	.71	.02	.21	-.23	-.08	.06	.02
	88	Ability to improve the way in which job is currently performed; suggest new ways to do job more quickly and efficiently.	.27	.05	-.01	.66	.05	.42	-.13	-.09	-.01	.01
	14	Suggesting new ways of doing things; working to improve materials, processes, or products.	-.04	-.15	-.17	.66	-.02	.39	-.20	-.09	.09	.08
	87	Working well independently; completing assignments with little or no direct supervision.	.27	.33	-.04	.65	.21	-.19	-.08	-.09	-.09	-.03
	97	Working unsupervised in a reliable and trustworthy manner; not taking advantage of situations when supervisor is not present.	.30	.24	-.07	.65	.13	-.22	.15	-.06	-.13	-.02

**Non-supervisory Principal Components Analysis (continued)**

Label	No.	Behavior	1	2	3	4	5	6	7	8	9	10
Initiative and Self Development (continued)	40	Identifying personal training needs; being responsive to supervisor's suggestions and taking feedback and criticism well; being receptive and open to dealing with own issues; demonstrating initiative and curiosity in taking on projects.	.18	-.20	.00	.60	.09	.12	-.01	-.10	.07	.24
	49	Ability to understand and apply new knowledge to relevant functions or tasks.	.29	.15	-.04	.57	.11	.14	-.20	-.14	.48	.08
	79	Understanding and practicing good health and safety procedures; maintaining a clean work environment; following directions on use of equipment.	.33	-.05	-.39	-.43	-.08	-.11	.11	-.26	-.06	-.25
	66	Practicing safety measures on the job using appropriate safety equipment, tools, or clothing; being up-to-date on relevant safety rules and guidelines.	.36	-.08	-.36	-.41	-.10	-.09	.12	-.29	-.06	-.24
Knowledge and Support of Unit/Command Objectives	50	Maintaining knowledge of the departmental work flow within the Command.	.25	-.11	-.08	-.02	-.77	-.05	.07	-.05	.28	.01
	26	Understanding the Command's objectives and then setting personal goals consistent with those objectives.	.21	-.32	-.09	-.12	-.73	-.08	-.02	-.05	-.02	-.10
	48	Reporting data to others in the Command as necessary.	.09	-.26	-.26	-.17	-.72	.16	.02	-.01	.12	.20
	77	Maintaining knowledge of Command operations, proper procedures to follow, and knowledge of processes.	.27	-.18	-.17	-.21	-.71	-.10	.09	-.07	.00	-.10
	58	Understanding chain of command; accepting and respecting the decisions of higher management.	.16	-.29	-.25	-.21	-.71	-.08	.13	-.08	-.01	-.05
	81	Effectively articulating problem in terms of Command/department outcomes.	.20	-.26	-.17	-.12	-.66	.33	.09	-.12	.22	.12

**Non-supervisory Principal Components Analysis (continued)**

Label	No.	Behavior	1	2	3	4	5	6	7	8	9	10
Knowledge and Support of Unit/Command Objectives (continued)	56	Exhibiting an attitude of respect and support that translates into a loyalty to the Navy; demonstrating care and concern for the project and the people related to the Command.	-.20	-.36	-.18	-.22	-.64	-.17	.21	-.04	-.10	-.16
	47	Following policies and procedures as established by the Command.	.35	-.19	-.23	-.26	-.63	-.18	.18	-.02	-.07	-.09
Problem Solving and Decision Making	89	Investigating/analyzing all possible avenues for resolving problems; having "broad" vision and not seeing ways to accomplish tasks others do not; not necessarily accepting first solution.	-.07	-.10	-.01	.14	-.01	.80	-.08	-.11	.08	-.01
	76	Identifying problems and related issues.	.22	.02	.02	.00	.07	.76	-.01	-.17	-.04	.07
	42	Evaluating a problem; figuring out how to solve a problem and, if necessary, when to ask for help.	.21	-.01	.00	.03	.08	.74	-.12	-.17	.04	.24
	27	Examining situations, weighing positives and negatives, and deciding on course of action.	.32	.07	.11	.27	.10	.70	.10	-.09	-.01	.01
	9	Recognizing and defining problems; effectively presents problems to Chain of Command.	.12	-.23	-.21	-.10	-.46	.58	-.05	-.15	.00	.21
	55	Informing supervisor or appropriate parties of work issues, concerns, or problems.	.20	-.17	-.21	.02	-.16	.57	-.05	-.02	.17	.47
	65	Ability to consistently identify errors and spot discrepancies.	.31	.52	.20	.08	.19	.55	-.04	-.11	-.02	-.02
Integrity/Honesty	20	Being truthful about work results and decisions even if they do not meet with favor of management; not blaming others for poor product.	.04	-.15	-.05	-.05	-.06	.06	.79	.03	-.06	-.01
	13	Demonstrating honesty and openness in daily job performance; utilizing resources in a professional manner considering time, money, and equipment in performance of tasks.	.09	.02	-.08	-.15	-.08	-.03	.71	-.01	-.10	-.11

**Non-supervisory Principal Components Analysis (continued)**

Label	No.	Behavior	1	2	3	4	5	6	7	8	9	10
Integrity/ Honesty (continued)	32	Ability to comprehend and accept consequences of actions.	.27	-.14	.05	-.17	.01	-.08	.70	.11	.14	-.06
	63	Keeping sensitive information in strictest confidence and using it responsibly.	.28	-.30	-.10	-.15	-.22	-.12	.68	.02	-.14	-.01
	54	Understanding the political ramifications of his/her actions.	.25	-.22	-.06	-.19	-.12	-.06	.66	.12	.09	-.03
	74	Offering honest self-appraisal which would afford correction of mistake and focusing on task completion.	.12	.16	.14	-.03	.09	.07	.65	.12	-.17	.29
	45	Conducting self in a professional manner by using appropriate language and behavior; proper appearance in uniform.	.32	-.27	-.12	-.24	-.10	-.16	.65	.15	.00	-.03
	10	Adhering to rules and regulations; exercising self-control; demonstrating integrity in day-to-day behavior; not causing disciplinary problems.	.38	-.20	-.17	-.31	-.31	-.18	.53	-.01	-.13	-.10
	91	Being honest in all dealings with others; revealing facts and information pertinent to a problem.	-.51	-.33	-.19	-.21	.00	.06	.51	-.04	-.10	.05
Work Ethic	36	Understanding the need to report to work regularly and on time and the effect absences have on others.	.21	.13	.11	-.16	.06	-.32	.23	.69	-.12	-.03
	83	Arriving to work on time; completing a given project or task in the established period of time; notifying those responsible if a particular task or project will not be completed as required so that an alternative course of action can be implemented immediately.	.27	.19	.10	-.14	.10	-.27	.19	.66	-.13	.00
	93	Demonstrating good work attendance; informing supervisor of any change in schedule in a timely manner.	.33	.08	.13	-.14	.02	-.25	.25	.66	-.15	.02
	16	Being to work on time; being flexible with working hours.	.26	.10	.26	-.14	.06	-.30	.19	.65	-.14	-.06

**Non-supervisory Principal Components Analysis (continued)**

Label	No.	Behavior	1	2	3	4	5	6	7	8	9	10
Communicating Effectively	17	Ability to verbally articulate ideas; writing clearly and concisely; using vocabulary appropriately; checking for understanding among listeners; asking questions to clarify and ensure understanding; demonstrating active listening skills.	-.05	-.22	-.21	.04	-.12	.13	-.09	-.04	.72	.08
	34	Demonstrating an understanding of the main duties required of the position; the ability to train and pass this knowledge on to relevant others as necessary.	.12	-.18	-.34	-.11	-.11	-.18	.03	-.16	.67	.01
	6	Understanding both verbal and written instructions, procedures, or policies; seeking clarification if necessary at the appropriate time; following directions in the performance of job duties.	.30	.07	-.21	.11	.00	.14	-.13	-.17	.66	.24
	2	Ability to read and understand written materials pertaining to the job.	.35	-.05	-.28	.20	-.03	-.02	-.17	-.06	.61	.15
	92	Communicating thoughts clearly; being aware of audience and speaking at the appropriate level; being aware of voice, tone, inflection, and the audience response.	-.35	-.32	-.20	-.17	-.10	.22	.06	-.08	.54	.19
Seeking Guidance and Information	21	Knowing when to seek supervision and/or guidance from supervisor and/or other available resources.	.31	-.10	-.28	.12	-.03	.36	.08	-.04	.17	.62
	69	Accepting suggestions and constructive criticism about job performance and being willing to make changes in job performances based on them.	.13	-.16	.20	.27	.19	-.03	-.04	-.14	.00	.59
	71	Asking for help or clarification when unsure about how to do something.	.27	-.06	-.16	.06	.08	.41	-.06	-.04	.29	.56
	35	Asking questions of a co-worker, supervisor, or group of people to clarify a task/work situation that is unclear.	-.10	-.24	-.31	.07	.12	.30	-.06	-.12	.38	.53

**Non-supervisory Principal Components Analysis (continued)**

<b>Label</b>	<b>No.</b>	<b>Behavior</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>
Seeking Guidance and Information (continued)	30	Acknowledging receipt of assignments from supervisor; giving feedback to supervisor on status of assignment; approaching supervisor for guidance on given tasks; bringing tasks to closure without prompting; reporting to supervisor on closure of assignment.	.41	.20	-.26	.22	-.05	.11	-.12	.05	.23	.52
	67	Keeping appropriate people informed; asking questions to enhance understanding of assignments; listening to instructions and information provided by others.	.27	-.17	-.36	-.09	-.30	.15	.08	.09	.36	.50



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## Appendix D

### Supervisory Workshop Demographics



## ***Supervisory Workshop Demographics***

### **Demographics Across All Workshops**

<b>Table 1 Frequency of Workshop Participants by Task</b>		
<b>Workshop Task</b>	<b>N</b>	<b>Percent</b>
Dimension Generation	55	50.0
Card Sorting	23	20.9
Critical Incident Generation	21	19.1
Anchor Retranslation	11	10.0
Total	110	100.0

<b>Table 2 Amount of Time on Active Duty, at Current Command and in Supervisory Roles (Years)</b>			
<b>Variable</b>	<b>N</b>	<b>Mean</b>	<b>SD</b>
Active Duty	110	16.1	7.8
Current Command	110	1.4	1.1
Supervisor (Overall)	110	13.8	7.3
Supervisor at Current Command	110	1.4	1.1

<b>Table 3 Demographic Characteristics of Workshop Participants</b>		
<b>Variable</b>	<b>N</b>	<b>Percent</b>
<b>Race</b>		
American Indian	2	1.8
Asian	7	6.4
Black	10	9.1
Hispanic	5	4.5
White	86	78.2

Table 3 (continued)		
Variable	N	Percent
<b>Gender</b>		
Male	87	80.6
Female	21	19.4
<b>Educational Level</b>		
High School Certification (GED)	1	0.9
High School Diploma	1	0.9
Some College	9	8.2
Two-year College Degree	3	2.7
Four-year College Degree	27	24.5
Some Graduate School	18	16.4
Graduate Degree	51	46.4
<b>Number Supervised</b>		
None	3	2.7
1 to 5	36	32.7
6 to 10	14	12.7
11 to 15	8	7.3
16 to 20	11	10.1
21 to 25	5	4.5
26 or more	33	30.0

Table 4 Frequency of Workshop Participants by Ship/Activity		
Ship/Activity	N	Percent
Aviation Activities	16	14.5
Surface Force Activities	22	20.0
Submarine Force Activities	6	5.5
Shore-based Activities	66	60.0

## Demographics by Workshop

Table 5 Active Duty and Supervisory Experience by Workshop (Years)								
Variable	Dimension Generation (N=55)		Card Sorting (N=23)		Critical Incident Generation (N=21)		Anchor Retranslation (N=11)	
	Mean	SD	Mean	SD	Mean	SD	Mean	SD
Active Duty	16.4	7.8	14.1	7.0	17.7	9.1	15.5	6.9
Current Command	1.1	0.9	1.9	1.3	1.6	1.1	1.6	0.9
Supervisor (Overall)	14.5	7.1	11.7	6.7	14.5	8.8	14.0	6.9
Supervisor at Current Command	1.1	0.9	1.7	1.4	1.5	1.1	1.6	0.9

Table 6 Demographic Characteristics by Workshop								
Variable	Dimension Generation		Card Sorting		Critical Incident Generation		Anchor Retranslation	
	N	Percent	N	Percent	N	Percent	N	Percent
<b>Race</b>								
American Indian	2	3.6	0	0.0	0	0.0	0	0.0
Asian	3	5.5	2	8.7	1	4.8	1	9.1
Black	6	10.9	2	8.7	2	9.5	0	0.0
Hispanic	1	1.8	0	0.0	3	14.3	1	9.1
White	43	78.2	19	82.6	15	71.4	9	81.8
<b>Gender</b>								
Male	42	79.2	17	73.9	19	90.5	9	81.8
Female	11	20.8	6	26.1	2	9.5	2	18.2
<b>Educational Level</b>								
High School Certification	1	1.8	0	0.0	0	0.0	0	0.0
High School Diploma	0	0.0	0	0.0	1	4.8	0	0.0
Some College	5	9.1	0	0.0	3	14.3	1	9.1

**Table 6 (continued)**

Variable	Dimension Generation		Card Sorting		Critical Incident Generation		Anchor Retranslation	
	N	Percent	N	Percent	N	Percent	N	Percent
Two-year College Degree	2	3.6	1	4.3	0	0.0	0	0.0
Four-year College Degree	15	27.3	6	26.1	5	23.8	1	9.1
Some Graduate School	6	10.9	4	17.4	5	23.8	3	27.3
Graduate Degree	26	47.3	12	52.2	7	33.3	6	54.5
<b>Number Supervised</b>								
None	2	3.6	0	0.0	1	4.8	0	0.0
1 to 5	19	34.5	10	43.5	3	14.3	4	36.3
6 to 10	7	12.7	4	17.4	1	4.8	2	18.2
11 to 15	3	5.5	0	0.0	3	14.3	2	18.2
16 to 20	6	10.9	3	13.1	1	4.8	1	9.1
21 to 25	1	1.9	1	4.3	3	14.3	0	0.0
26 or more	17	30.9	5	21.7	9	42.9	2	18.2

**Table 7  
Ship/Activity Assignments by Workshop**

Variable	Dimension Generation		Card Sorting		Critical Incident Generation		Anchor Retranslation	
	N	Percent	N	Percent	N	Percent	N	Percent
Aviation Activities	11	20.0	0	0.0	2	9.5	3	27.3
Surface Force Activities	13	23.6	0	0.0	8	38.1	1	9.1
Submarine Force Activities	5	9.1	0	0.0	0	0.0	1	9.1
Shore-based Activities	26	47.3	23	100.0	11	52.4	6	54.5
Total:	55	100.0	23	100.0	21	100.0	11	100.0



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## Appendix E

# Supervisory Principal Components Analysis



**Supervisory Principal Components Analysis**

Label	No.	Behavior	1	2	3	4	5	6	7	8	9
1. Coaching/Mentoring	75	Providing direction and guidance to help subordinates make correct decisions.	.92	-.04	-.15	.06	-.07	.05	-.02	-.03	.01
	58	Providing programs for upward mobility and promotion through group and individual counsel.	.92	-.05	-.13	.08	-.10	.03	.00	-.05	.00
	108	Allowing subordinates to make decisions on their own and providing feedback on the quality of those decisions.	.92	-.01	-.17	.02	-.03	.06	-.01	-.04	.00
	38	Guiding and counseling subordinates on personal and professional development.	.92	-.11	-.13	.04	-.05	.03	-.03	-.02	-.03
	7	Teaching subordinates using methods matched to their needs.	.92	-.02	-.17	.07	-.09	.03	-.03	-.02	-.01
	99	Recognizing when subordinates are not being challenged or are overburdened.	.91	-.04	-.16	.02	-.01	.05	-.04	.01	-.06
	119	Assisting in establishing career goals for subordinate personnel within and outside of the department.	.91	-.11	-.13	.07	-.10	.04	-.04	-.04	.00
	90	Counseling subordinates accurately and honestly and assisting them with self-improvement.	.91	-.11	-.13	.06	-.10	.01	-.03	-.03	.01
	89	Providing informational resources to ignite and stimulate in your subordinates a personal or professional desire for self-improvement.	.91	-.08	-.22	.03	-.07	.02	-.05	-.04	.04
	48	Providing subordinates with a strategic vision and goals, then coaching them to carry out their tasks according to their tactical plan.	.91	-.03	-.12	.08	-.05	.17	-.04	.00	.03
	61	Understanding and adopting the perspective of subordinates to determine the causes and consequences of their actions.	.90	-.08	-.16	.03	.03	.11	.04	-.01	.02

**Supervisory Principal Components Analysis (continued)**

<b>Label</b>	<b>No.</b>	<b>Behavior</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>
1. Coaching/Mentoring (continued)	23	Sharing knowledge and experience to develop subordinates for further command flexibility.	.89	-.10	-.17	-.10	-.09	-.02	-.08	-.08	.03
	51	Applying consistent standards of evaluation to all subordinates and self.	.89	-.06	.07	.04	-.08	.09	.12	-.02	-.07
	63	Providing prompt, regular, and specific feedback to subordinates.	.88	-.10	-.18	-.17	-.12	.10	-.03	-.08	-.05
	124	Creating a pleasant and satisfying working environment for subordinates; giving meaningful rewards to subordinates for outstanding effort.	.87	.00	-.14	.05	-.13	.24	.02	-.05	-.02
	73	Assessing personnel strengths and weaknesses, and developing training plans and continuing education methods that ensure continuous knowledge attainment.	.86	-.05	-.24	.13	-.07	.07	-.10	.13	-.06
	102	Being accessible; i.e., perceived by subordinates as a caring, considerate, and fair individual.	.81	-.23	.14	.10	-.17	.26	.14	-.04	-.04
	45	Instilling sense of pride and ownership in subordinates and teammembers.	.74	-.15	.03	.11	-.11	.49	.01	-.02	-.01
	74	Delegating work fairly and equitably.	.74	.34	-.06	.14	-.11	.26	.01	-.13	-.11
	19	Sensing changes in morale, or work environment climate.	.66	-.05	-.07	-.10	.01	.57	.09	.00	-.09
	56	Understanding the technical aspects of subordinate's jobs.	.65	-.19	-.41	.31	-.20	-.06	-.10	-.07	.04
	57	Inspiring subordinates to follow you into combat.	.65	-.31	.22	.11	-.13	.49	.01	-.07	-.02
	34	Making individuals feel valued and that their input matters.	.59	-.11	.13	-.09	-.02	.52	.17	-.04	-.22
	121	Maintaining a sense of perspective and understanding the big picture.	-.46	.28	-.04	.25	.11	.07	.35	.29	.14
	71	Ability to know when to talk and when to act.	-.44	-.39	.40	-.07	.12	-.09	.14	.16	-.20

**Supervisory Principal Components Analysis (continued)**

<b>Label</b>	<b>No.</b>	<b>Behavior</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>
2. Managing Resources	9	Ensuring deadlines are met through planning and communication of objectives.	-.02	.89	-.16	.11	.01	.00	-.04	-.02	-.04
	55	Directing attention, personnel, and resources toward defined unit goals.	-.02	.89	-.19	.08	.05	.02	.00	-.05	-.05
	31	Organizing the work environment such that work can be done most efficiently.	-.02	.88	-.21	.15	.07	-.05	-.06	-.05	.03
	18	Using resources efficiently and effectively to maximize benefit and minimize both short and long term costs.	-.03	.88	-.19	.10	.05	-.05	-.02	-.07	.01
	29	Effectively budgeting and managing money assigned within command.	-.06	.87	-.21	.13	.03	-.03	-.07	-.02	-.06
	105	Starting, managing and tracking, and completing a project efficiently and effectively.	-.14	.86	-.20	.17	-.02	-.04	-.06	.05	.01
	93	Deciding which tasks are of greater importance/urgency and applying proper resources to get them done.	-.10	.86	-.21	.20	.15	-.07	-.02	.01	-.02
	122	Ability to identify goals, assess available resources, and develop an effective plan to achieve a goal.	-.08	.85	-.21	.13	.16	-.07	.05	-.02	-.01
	47	Meeting goals of the Navy by completing tasks on time, efficiently, and safely.	-.24	.80	-.21	.22	-.06	-.06	-.07	.15	.03
	8	Efficiently completing tasks ahead of time, beyond expectations, and without requiring constant supervision.	-.25	.80	-.19	.21	.00	-.07	-.11	.17	-.01
	107	Making decisions based on cost effectiveness and pragmatic considerations, rather than ease of solution.	-.12	.80	-.01	.16	.23	-.09	-.01	-.02	.10
21	Setting realistic goals and tracking progress without micro-managing.	.39	.77	-.26	.14	.09	.05	.00	.00	-.02	

**Supervisory Principal Components Analysis (continued)**

Label	No.	Behavior	1	2	3	4	5	6	7	8	9
2. Managing Resources (continued)	96	Sorting through large quantities of information and being able to access specific data quickly.	-.29	.77	-.25	.06	.19	-.15	.08	.04	.10
	32	Making decisions based on facts and information, not the source of the information.	-.06	.72	-.04	.07	.28	-.08	.03	.04	.18
	82	Gathering information, developing innovative solutions and moving quickly as needed.	-.23	.72	-.13	.12	.46	-.08	.01	-.07	.15
	26	Working through a systematic process to define a problem, identify its causes, and find a solution.	-.28	.72	-.20	.14	.35	-.11	.05	.00	.19
	94	Handling paperwork in a timely manner, completing evaluations and awards well before deadlines.	-.32	.70	-.29	.30	-.13	-.10	-.11	.16	.04
	35	Delegating work according to priority and the abilities of the available subordinates.	.49	.67	-.23	.13	-.09	.14	-.08	-.13	-.02
	86	Anticipating unexpected pitfalls and obstacles and implementing solutions to prevent them from becoming crises.	-.19	.61	-.14	.18	.57	-.08	-.05	.01	.05
	97	Relating tasks/assignments to the overall unit mission and recognizing when accomplishment of a particular task is counterproductive and detrimental to overall unit readiness.	-.19	.60	-.38	.23	.28	-.14	.07	.08	.17
	27	Taking action rather than delegating all tasks.	-.14	.58	-.01	.39	-.08	.32	-.10	.29	-.03
	28	Developing quality ideas and implementing them up and down the chain of command.	-.35	.48	-.28	-.09	.39	-.06	.03	-.03	.39
	1	Holding and communicating a positive outlook on the Navy, and one's duties and assignments.	-.13	-.47	.42	-.22	-.29	.31	.28	-.27	.03
	33	Consulting subject matter experts when task is outside area of expertise.	-.43	.44	-.41	.24	.26	-.15	.10	.20	.17

**Supervisory Principal Components Analysis (continued)**

<b>Label</b>	<b>No.</b>	<b>Behavior</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>
2. Managing Resources (continued)	103	Modeling behavior desired from subordinates, for example, with physical fitness training.	.33	-.42	.36	.30	-.29	.34	.08	-.20	.08
	78	Continuing efforts toward mission achievement in the face of obstacles.	-.37	.40	.02	.35	.19	.05	-.20	.37	-.19
3. Displaying Professionalism and Integrity	16	Assuming responsibility if situations turn bad and not hiding information because it's negative.	-.19	-.14	.86	.17	-.03	.01	-.06	.05	-.02
	17	Displaying conviction for decisions and policies.	-.21	-.17	.85	.18	-.13	.11	.06	.00	.08
	62	Accepting responsibility for one's own actions, and the actions of subordinates.	-.08	-.26	.85	.16	-.10	.10	-.02	.06	.00
	44	Ability to tell the truth, regardless of the consequences.	-.18	-.24	.84	.15	-.06	-.05	-.06	.00	-.04
	15	Maintaining ethical principles even when faced with difficult and challenging situations/problems.	-.20	-.24	.84	.14	-.04	-.03	-.09	.00	-.01
	114	Not taking advantage of one's leadership position to obtain unreasonable or excessive benefits.	-.13	-.28	.84	.17	-.13	.03	-.02	-.02	.00
	12	Ability to always do what is right, even under pressure to do otherwise.	-.21	-.26	.84	.17	-.05	-.01	-.08	-.02	-.01
	65	Preventing biases and friendships from influencing dealings with personnel.	.06	-.30	.83	.09	-.13	.02	.13	.00	-.05
	52	Displaying uncompromising values, such as honor, courage, commitment, integrity and honesty.	-.16	-.30	.82	.19	-.16	.05	.02	-.08	.01
	39	Displaying actions that are trustworthy and respectful.	-.10	-.31	.82	.13	-.20	.12	.09	-.07	.01
	66	Making decisions without fear of possible negative consequences.	-.25	-.18	.81	.20	.15	-.10	-.09	-.01	-.02

**Supervisory Principal Components Analysis (continued)**

<b>Label</b>	<b>No.</b>	<b>Behavior</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>
3. Displaying Professionalism and Integrity (continued)	13	Exhibiting tact and decorum, managing setbacks with control and maturity.	-.37	-.23	.70	.09	.16	-.01	-.07	-.06	-.18
	49	Demonstrating commitment to EEOC goals and diversity issues.	.00	-.27	.68	.14	-.26	.11	.36	-.17	-.08
	24	Willing to question the 'status quo'.	-.29	-.11	.68	.25	.23	.04	-.20	-.02	.26
	84	Supporting Navy and Command missions and goals willingly, regardless of personal feelings.	-.20	-.29	.67	.18	-.23	-.06	.38	-.07	-.02
	37	Taking responsibility for accomplishing the mission, and accepting criticism or giving credit for the results.	-.33	.13	.65	.28	-.05	.22	-.01	.29	.04
	64	Being loyal to the command, crew and organization, and backing them up as needed.	-.08	-.34	.65	.15	-.18	-.08	.41	.05	-.11
	60	Acting courteously and respectfully to others.	-.10	-.36	.63	.13	-.25	.11	.34	-.12	-.08
	43	Following through with stated, intended actions.	-.28	.24	.57	.32	-.13	-.10	.08	.37	.00
	22	Recognizing the strengths, contributions, dignity and worth of all people and showing them proper respect.	.14	-.31	.56	.02	-.15	.35	.26	-.02	-.11
	36	Completing orders and tasks even when they appear inconvenient or when one disagrees with the policy or procedure.	-.36	-.11	.53	.32	-.08	.13	.17	.23	.00
	41	Willingly undertaking necessary actions, even when physically risky.	-.36	-.36	.53	.42	.06	.12	-.01	-.08	-.10
	81	Demonstrating familiarity with all aspects of ship/division/department so that meaningful input about command decisions can be offered.	-.42	-.03	-.50	.43	-.04	-.18	.02	.11	.02
117	Achieving recognition as a resident expert in one's occupational field.	-.30	-.22	-.50	.46	-.18	-.17	-.13	.19	.05	

**Supervisory Principal Components Analysis (continued)**

<b>Label</b>	<b>No.</b>	<b>Behavior</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>
3. Displaying Professionalism and Integrity (continued)	95	Continuously improving professional skills, knowledge, and abilities through formal and informal training, technical publications, policy guidance, off-duty education, on-the-job training, etc.	-.22	-.28	-.49	.47	-.15	-.16	-.21	.26	.01
	83	Understanding your place in the command's mission, identifying weaknesses in how you contribute to those goals, and rectifying them.	-.34	.17	-.45	.33	.13	-.20	.20	.31	.21
	68	Maintaining sharp military appearance and personal physical well-being.	-.25	-.41	.43	.36	-.32	.08	.23	-.21	.08
4. Communication Skills	2	Listening to others, and considering all points of view.	-.13	-.20	-.17	-.86	-.03	.01	-.04	-.04	-.05
	106	Communicating with, and engaging people so as to support and strengthen the organization's mission.	-.14	-.26	-.15	-.85	-.10	.04	-.11	-.04	.01
	67	Ability to communicate issues throughout the organization without delay.	-.17	-.17	-.21	-.85	-.04	-.09	-.11	-.03	.03
	112	Expressing oneself in a manner that is conducive to a productive and harmonious environment.	-.16	-.25	-.16	-.85	-.11	-.01	-.06	-.05	-.04
	123	Listening attentively to others, making them feel comfortable and valuable while conversing, whether giving direction or seeking information.	-.06	-.24	-.17	-.84	-.07	.10	-.05	-.08	-.06
	115	Listening to and understanding others without jumping to premature conclusions.	-.13	-.26	-.07	-.83	-.08	.07	-.06	-.07	-.04
	87	Addressing a group of people in a formal setting.	-.19	-.22	-.20	-.82	-.08	-.08	-.15	-.03	.01
	109	Articulating thoughts effectively to convey ideas and intents to others; being receptive to ideas from others.	-.15	-.22	-.23	-.82	-.09	-.09	-.17	-.03	.01
	92	Tailoring presentation of information to audience without losing primary message.	-.17	-.23	-.24	-.80	-.08	-.14	-.13	.00	.01

**Supervisory Principal Components Analysis (continued)**

<b>Label</b>	<b>No.</b>	<b>Behavior</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>
4. Communication Skills (continued)	3	Listening to and understanding the requirements of seniors.	-.27	-.19	-.21	-.79	-.04	-.04	.11	.03	-.04
	53	Providing timely and relevant information up and down the chain of command.	-.25	.03	-.32	-.79	-.05	-.13	-.05	.04	.10
	110	Preparing a presentation and when necessary engaging the audience in interaction.	-.13	-.22	-.25	-.79	-.08	-.13	-.19	-.01	.02
	104	Actively listening and encouraging open dialogue with subordinates on professional and personal issues.	.34	-.24	-.22	-.77	-.06	.00	-.06	-.08	-.07
	116	Expressing thoughts and opinions without reservation or fear of reprisal.	-.24	-.34	.32	-.72	-.07	-.03	-.19	.02	-.04
	76	Listening to all sides of an issue and accepting input from a wide variety of sources before making decisions.	-.01	-.09	-.18	-.70	.19	.22	.05	-.02	-.12
	72	Demonstrating war fighting knowledge in stressful and adverse environments/conditions.	-.43	-.31	-.29	.54	.09	-.15	-.05	.04	-.18
	30	Being physically ready to perform in a rigorous combat environment; thereby promoting honor, courage and commitment.	-.35	-.44	.23	.51	-.28	.09	.06	-.16	-.03
	120	Maintaining superior technical skills through training.	-.30	-.26	-.47	.49	-.16	-.17	-.17	.21	.02
	4	Maintaining and developing good working relationships.	.32	-.16	-.25	-.49	.01	.36	.08	.12	-.38
	100	Using maturity, education, and breadth of influence in executing duties and responsibilities.	-.42	.13	.06	.47	.14	.16	.05	.32	.03
	80	Ability to find purpose, personal benefit and growth in work.	-.23	-.33	-.17	.47	-.06	-.10	-.12	.42	.05
54	Ability to evaluate the importance of the information being communicated.	-.40	.36	-.35	-.45	.27	-.17	-.04	.08	.11	

**Supervisory Principal Components Analysis (continued)**

<b>Label</b>	<b>No.</b>	<b>Behavior</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>
4. Communication Skills (continued)	111	Working effectively outside one's specified job description/scope; taking on additional responsibilities.	-.30	.00	-.36	.42	.29	-.17	-.30	.34	.05
	85	Persisting with extra effort to attain objectives and overcoming obstacles to get the job done.	-.41	.35	-.15	.42	.08	.02	-.15	.37	-.03
5. Demonstrating Adaptability	5	Open to new ideas and new methods for accomplishing goals.	-.16	.04	-.11	-.16	.80	.02	-.10	-.05	.08
	126	Thinking on one's feet in changing situations and making new plans "on the fly".	-.25	.26	-.11	.21	.74	.01	-.10	-.06	-.08
	50	Re-evaluating decisions after they've been made to determine if a change is required.	-.16	.47	-.16	.08	.69	-.10	.00	-.07	.13
	125	Ability to adjust to a rapidly changing environment and modify goals and objectives based on emerging requirements.	-.27	.32	-.23	.28	.68	-.07	-.09	-.02	-.06
	98	Ability to embrace change and look for better methods/techniques to accomplish tasks.	-.26	.28	-.18	.26	.66	-.03	-.19	.08	.16
	77	Ability to adapt to new and changing missions, tasks, and situations.	-.42	.15	-.18	.34	.58	-.11	-.17	.08	-.17
	91	Developing innovative ideas and thinking creatively.	-.21	.31	-.26	.25	.48	-.07	-.05	.11	.44
	88	Understanding that one's ideas may not be accepted and modifying these ideas without taking it personally.	-.33	-.28	.35	-.21	.46	.00	-.18	.10	-.26
	10	Adapting to stress effectively and remaining calm, focused, and competent in stressful situations.	-.30	-.20	.23	.41	.44	.00	-.26	.16	-.36

**Supervisory Principal Components Analysis (continued)**

<b>Label</b>	<b>No.</b>	<b>Behavior</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>
6. Leading/Inspiring	20	Effectively building and leading individual and team outcomes.	.39	.25	.03	.01	.07	.71	-.04	.02	-.04
	118	Persuading, inspiring, and motivating others, regardless of their relative positions in the hierarchy.	.24	-.36	.13	-.27	-.19	.69	-.06	.00	.06
	42	Demonstrating a positive attitude, team spirit and bold personality to inspire subordinates.	.45	-.24	.23	.10	-.13	.66	.10	.00	-.05
	11	Creating a sense of enthusiasm and purpose in the rest of your team.	.56	-.13	.14	.07	-.04	.66	.03	-.05	.01
	101	Effectively adopting different leadership styles as appropriate to individuals and settings.	.51	-.24	.07	.25	.10	.59	-.14	.04	.00
	14	Acting as a role model for junior personnel.	.44	-.37	.28	.17	-.24	.48	.01	-.17	.10
7. Displaying Organizational Savvy	69	Following regulations and policies, supporting superiors and command.	-.19	-.22	.19	.28	-.25	.00	.62	.02	.05
	113	Having a thorough understanding of military regulations and initiatives and carrying them out in accordance with Navy standards.	-.23	-.18	-.07	.36	-.30	-.07	.59	-.15	.02
	79	Following policies, regulations, and orders, and defending them to subordinates.	.03	-.33	.22	.26	-.36	.01	.54	-.08	.05
	25	Recognizing that each customer is important and consistently providing extraordinary customer service.	.21	.44	-.02	.18	-.03	.14	.54	.13	-.12
	40	Displaying appropriate courtesies to superiors, peers and subordinates.	-.13	-.39	.42	.19	-.32	.05	.49	-.20	-.07
	70	Understanding how policies and actions fit into the overall mission scheme.	-.37	.30	-.38	.26	.11	-.15	.43	.08	.04

**Supervisory Principal Components Analysis (continued)**

<b>Label</b>	<b>No.</b>	<b>Behavior</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>
8. Embracing Personal and Professional Development	46	Taking personal ownership of tasks, displaying dedication to goals and standards.	-.19	-.05	.46	.43	-.12	.03	.15	.49	-.02
	59	Balancing self development and training with job completion such that performance does not suffer.	-.14	.17	-.44	.42	.00	-.11	-.18	.48	.03
9. Miscellaneous	6	Recognizing opportunities to improve processes and programs to better meet the needs of the Navy.	-.19	.35	-.28	.24	.35	-.14	-.05	.09	.51



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## Appendix F

# Non-supervisory Performance Feedback and Development Categories and Performance Targets



**Task Proficiency:**

Performs work accurately and proficiently; attends well to details; effectively and efficiently uses resources to complete tasks; prioritizes tasks and completes them within deadlines; makes efficient use of time; maintains a stable and consistent level of work.

Target Behaviors for Performance

- Produces output that contains few errors and needs minimal or no review or reworking
- Completes tasks on time and consistently meets or exceeds task requirements
- Displays appropriate attention to detail and ensures that things do not “slip through the cracks”
- Puts forth the effort required to complete tasks efficiently and effectively
- Effectively prioritizes assignments based on time requirements
- Provides required information, materials, or products to others in a timely manner
- Uses time efficiently (i.e., does not waste time when working on tasks or assignments)

**Problem Solving and Decision Making:**

Consistently able to identify errors and spot discrepancies; recognizes and defines problems, and analyzes potential solutions; weighs positive and negatives of a situation and decides on a course of action; presents anticipated problems and possible solutions to appropriate Chain of Command.

Target Behaviors for Performance

- Is able to recognize problematic situations, and define the parameters of the problem
- Approaches problems with a solution-oriented mindset
- When faced with a problem, is able to objectively weigh the pros and cons of multiple solutions
- Chooses appropriate courses of action for solving problems
- Informs relevant parties when problems arise
- Is willing and able to see a problem through from inception to solution
- Approaches decision making from a broader perspective that takes into account more than the immediate task at hand, but also the potential impact on other people, tasks, and processes

**Initiative and Self-Development:**

Suggests effective new approaches to improve processes or systems; takes on additional duties and responsibilities; requires very little supervision; learns new skills for self-development.

## Target Behaviors for Performance

- Consistently asks for additional job duties and responsibilities
- Works well independently and performs tasks without being asked
- Helps others out without being asked
- Regularly seeks opportunities to develop new skills and acquire knowledge
- Suggests new and better ways of accomplishing work
- Recognizes own strengths and weaknesses
- Is responsive to constructive criticism and modifies behavior based upon feedback

**Work Ethic:**

Works hard including long hours, when appropriate; keeps others informed if work cannot be completed on time or if there are errors or problems; reliably completes work in a timely fashion.

## Target Behaviors for Performance

- Puts in the time necessary to accomplish assigned work
- Reports to work reliably and on time
- Sees tasks through to completion
- When obstacles arise to interfere with timely completion of work, informs others impacted by the situation
- Conscientiously attends to work responsibilities
- Informs supervisor of anticipated schedule conflicts
- Goes above and beyond the call of duty to ensure that tasks are completed to everyone's satisfaction

**Knowledge and Support of Unit/Command Objectives:**

Maintains knowledge of the unit's functions and operations, and procedures/processes important for unit and Command success; understands problems and issues from Command and larger Navy perspectives; is knowledgeable and supportive of unit/Command initiatives.

**Target Behaviors for Performance**

- Maintains knowledge of the unit/department work flow within the Command
- Understands Command objectives and initiatives and sets personal and unit goals consistent with those objectives/initiatives
- Understands the chain of command
- Accepts and respects decisions of higher management, and demonstrates loyalty to the Navy and Command
- Follows policies and procedures as established by the Command
- Actively seeks to learn about various aspects of the Command
- Effectively articulates problems in terms of Command/department outcomes

**Adaptability/Flexibility:**

Quickly adapts and changes priorities when needed; remains calm and focused in changing or stressful situations; effectively manages multiple tasks; effectively overcomes problems without demonstrating frustration or anxiety.

**Target Behaviors for Performance**

- Remains calm and performs effectively under tight deadlines and other adverse conditions
- Does not become frustrated or discouraged by setbacks and failures
- Is able to balance responsibilities and tasks such that no tasks are neglected due to an overemphasis on other tasks
- Is willing and able to adjust to multiple demands, shifting priorities, ambiguity, and rapid change
- Effectively handles several tasks at the same time, and can easily switch from one task to another
- Can change direction in thinking or approach to tasks when circumstances warrant without compromising quality or production
- Is able to avoid or suppress distractions when working on tasks

**Communicating Effectively:**

Communicates with others in an effective manner, both orally and in written form; speaks clearly so that others always understand what he/she means; demonstrates listening skills, for example, asking questions when appropriate to clarify and ensure understanding.

## Target Behaviors for Performance

- Able to communicate well with others in written form
- Communicates well verbally
- Demonstrates excellent listening skills
- Asks questions, when appropriate, to clarify and ensure understanding
- Speaks clearly so that others understand what is meant, and checks for understanding among listeners
- Understands both verbal and written instructions, procedures, and policies
- Able to gauge information needs of audience, and choose appropriate mode and level of communication

**Cooperation:**

Works smoothly and cooperatively with both supervisors and coworkers; is a team player; avoids unnecessary conflict and works well with all types of people; willingly accepts suggestions and guidance from others without being defensive.

## Target Behaviors for Performance

- Interacts with others in a positive and cooperative manner
- When appropriate, resolves differences between sailors with minimal conflict
- Willingly assists others when appropriate, and supports the common goals of the work unit
- Interacts effectively in a group (e.g., being appropriately assertive) to accomplish goals
- Shares responsibility, gives ideas, and considers suggestions by others
- Demonstrates trust and confidence in team members
- Fosters collaboration between teams and team members

**Integrity/Honesty:**

Demonstrates integrity in day-to-day behavior; adheres to rules and regulations; keeps sensitive information confidential; behaves in a professional manner at all times; maintains proper military appearance and demeanor; understands and accepts consequences of own actions.

**Target Behaviors for Performance**

- Demonstrates integrity and honesty in all situations
- Keeps sensitive information in the strictest confidence
- Accepts consequences of own actions
- Shows integrity in handling and protecting Navy property and other resources
- Conducts oneself in a professional manner at all times
- Represents the Navy well by exhibiting appropriate behavior, language, and demeanor



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## Appendix G

# Supervisory Performance Feedback and Development Categories And Performance Targets



## **Mission Accomplishment:**

Accomplishing the mission under all difficult conditions or when obstacles present serious difficulties. Communicating a vision that reflects the command's strategic goals and develops an implementation plan that aligns daily activities to that mission. Consistently inspiring subordinates and peers to drive toward mission execution. Continuously identifying means and methods to improve processes and sets an atmosphere that facilitates positive change. Holding self and subordinates accountable, commensurate to their level of responsibility. Developing and implementing measures of program and policy evaluation and emphasizes accomplishing results.

### Target Behaviors for Performance

- Appropriately analyzes Operational Risk Management in all conditions
- Demonstrates decisiveness in critical situations
- Accepts responsibility, accountability and authority and holds others to the same standard
- Embraces the principles of continuous improvement
- Applies appropriate measurement techniques to the evaluation of specific programs and policies
- Ensures linkages between technical competencies and mission needs

## **Embracing Personal and Professional Development:**

Continuously improving professional skills, knowledge, and abilities through formal and informal training, off-duty education, on-the-job training, etc.; ability to find purpose, personal benefit and growth in work; balancing self development and training with job completion such that performance does not suffer; maintaining superior technical skills through training.

### Target Behaviors for Performance

- Actively pursues learning and self-development
- Participates in formal and informal training to improve professional skills
- Balances self-development and training opportunities with job requirements
- Makes considered and well-informed decisions regarding work, family, and self
- Displays dedication to goals and standards
- Seeks feedback on performance and welcomes unsolicited feedback
- Responds appropriately to coaching
- Modifies behavior based on previous experiences and feedback
- Recognizes own strengths and weaknesses
- Seeks out ways to apply new information learned during training to the work environment

## **Communication Skills:**

Practicing meaningful two-way communication (i.e., speaking clearly, listening attentively and clarifying information); providing timely and relevant information up and down the chain of command; tailoring presentations to the level of the audience; expressing opinions when appropriate; expressing oneself in a manner that produces a productive and harmonious environment; ability to evaluate the importance of information being communicated.

### Target Behaviors for Performance

- Listens attentively and clarifies information when necessary
- Considers all points of view before taking actions or making decisions
- Takes the time to understand others without jumping to conclusions
- Listens to all sides of an issue and accepts input from a wide range of individuals
- Provides timely information to others up and down the chain of command
- Makes clear and convincing presentations to individuals or groups
- Tailors presentations to appropriate level for audience without losing primary message
- Articulates thoughts effectively to convey ideas and intent to others
- Expresses thoughts and opinions without reservation
- Fosters an atmosphere that encourages open communication

**Leading Change:**

Being open to new ideas and new methods for accomplishing goals; ability to adjust to a rapidly changing environment and modify goals and objectives based on emerging requirements; embracing change and looking for better methods/techniques to accomplish tasks; ability to adapt to new and changing mission, tasks and situations; remaining calm, focused and competent in changing or stressful situations.

**Target Behaviors for Performance**

- Remains open to new processes and procedures for accomplishing work
- Anticipates changes and is proactive in preparing for change
- Remains calm during stressful situations
- Applies creative thinking to old ways of doing things in order to be more productive
- Stays focused during rapidly changing situations
- Embraces new methods of accomplishing work goals
- Approaches new situations with a creative mindset
- Remains vigilant and ready to adapt to change in a dynamic work environment
- Modifies goals and objectives based on emerging requirements
- Is open to suggestions for ways to improve work processes/procedures

## **Coaching/Mentoring:**

Providing guidance to subordinates; assessing strengths and weaknesses in personnel and providing them with honest and specific feedback; designing opportunities for subordinates to develop new skills and assisting them in establishing career plans; providing subordinates with strategic vision and goals; sharing knowledge and experience with subordinates; creating a work environment that makes individuals feel valued and motivates them to excel.

### Target Behaviors for Performance

- Provides subordinates with useful guidance on professional development
- Makes assignments to promote subordinate development and growth
- Offers suggestions and advice that results in subordinates' learning and becoming more effective
- Defines expectations for subordinate performance and helps them set goals
- Provides training to subordinates and others when they need it
- Takes an active interest in subordinates' professional development and career progression
- Discusses with each subordinate their goals and career aspirations
- Checks on progress of subordinates' professional development and provides advice and support, as appropriate
- Provides timely, constructive feedback on performance
- Provides developmental opportunities for subordinates

## **Resource Stewardship:**

Managing resources efficiently and effectively; ensuring deadlines are met through planning and effective communication of objectives; gathering information, identifying goals, assessing available resources, and developing innovative plans to complete projects on time and within budget; prioritizing tasks and delegating work appropriately; relating tasks/assignments to the overall unit mission; sorting through large quantities of information efficiently.

### Target Behaviors for Performance

- Uses resources efficiently and effectively to maximize benefit and minimize both short- and long-term costs
- Meets deadlines through effective planning and communication of objectives
- Budgets and manages money assigned within the Command
- Develops innovative plans to complete projects on time and within budget
- Prioritizes work so that critical tasks and projects are completed in a timely manner
- Delegates and empowers others to complete tasks and assignments
- Sets realistic goals and tracks progress of tasks/projects without interfering or micro-managing others
- Effectively gathers information and makes timely decisions based on the information
- Sorts through large quantities of information and quickly identifies the relevant and important pieces
- Makes sound decisions based upon facts and accurate interpretation of information

## **Displaying Integrity and Professionalism:**

Accepting responsibility for own and subordinates' actions; always maintaining ethical principles and telling the truth, regardless of consequences; displaying uncompromising values (e.g., honor, courage, commitment, integrity); willingly undertaking necessary actions, even when physically risky; maintaining sharp military appearance and physical health/fitness; supporting Navy and command missions and goals.

### Target Behaviors for Performance

- Displays uncompromising values (e.g., honor, courage, commitment, integrity, and honesty)
- Maintains ethical principles under all circumstances
- Accepts responsibility for own actions, even if situations become difficult
- Does not hide or distort negative information to avoid getting in trouble
- Makes decisions without fear of consequences
- Does not take advantage of position to obtain unreasonable or excessive benefits
- Does not allow biases or friendships to interfere with personnel actions
- Supports Navy and Command mission and goals willingly, regardless of personal feelings
- Acts courteously and respectfully to others
- Exhibits tact/decorum and manages setbacks with control and maturity

## **Leading People:**

Effectively building and leading individual and team activities; persuading, inspiring, and motivating others, regardless of their relative positions in the hierarchy; creating a sense of enthusiasm and purpose in own team; demonstrating a positive attitude, team spirit and personality to inspire subordinates; effectively adopting different leadership styles as appropriate to individuals and settings.

### Target Behaviors for Performance

- Assumes appropriate responsibility for organizing activities of the unit
- Motivates and inspires colleagues and subordinates
- Takes the initiative for leading individual and group activities
- Creates a sense of enthusiasm toward the mission, and camaraderie among subordinates
- Takes a personal interest in the welfare and contributions of the team
- Projects a positive attitude to all those around him/her
- Modifies leadership style to match audience and setting
- Leads by example (i.e., talks the talk and walks the walk)
- Understands how to motivate through praise and constructive criticism
- Leads by involving others in the problem solving and decision making process

## **Displaying Organizational Savvy:**

Having a thorough understanding of military regulations and initiatives and carrying them out in accordance with Navy standards; following policies, regulations, and orders, and defending them to subordinates; understanding the chain of command, and accepting and respecting the decisions of superiors; displaying appropriate courtesies to superiors, peers and subordinates; understanding how policies and actions fit into the overall mission scheme.

### Target Behaviors for Performance

- Demonstrates a thorough understanding of military regulations, policies, orders, and initiatives and carries them out in accordance with Navy standards
- Ensures that subordinates follow regulations, policies, and procedures
- Recognizes that all constituencies are important and is appropriately attentive to everyone's needs
- Displays appropriate courtesies to superiors, peers, and subordinates
- Understands how policies and actions fit into the overall mission of the Navy and the Command, and uses this information to accomplish work tasks
- Develops effective give-and-take relationships with others
- Recognizes and balances the interests and needs of own group with those of the Navy and command
- Identifies the internal and external politics that impact the work of the organization
- Effectively uses informal networks to obtain resources and information
- Applies new technical, business, or military knowledge quickly



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## Appendix H

# **“Best Practices” Guidance for Conducting the Performance Feedback and Development Session**



## **“Best Practices” Guidance for Conducting the Performance Feedback and Development Session**

In this section, a sequence of steps for conducting the human performance feedback and development session that have proven effective in other settings is presented. Following that discussion, a list of “do’s and don’ts” is provided to help you conduct an effective human performance feedback and development review and avoid pitfalls frequently associated with these sessions. As you review the steps for the human performance feedback and development session, keep in mind that in some cases rigid adherence to the sequence presented may not be appropriate. Use your own good judgment; however, following the sequence shown below will generally result in effective human performance feedback and development sessions and improvements in Sailor and organizational performance.

### **Steps for the Review Session:**

There are eight specific steps recommended for conducting effective human performance feedback and development sessions, each presented separately below.

**Step 1. Put the Sailor at ease.** It’s certainly no secret that human performance feedback and development review sessions can be tense for both session leaders and Sailors. That makes it very important that you do everything you can to make the session as productive and positive as possible.

You should realize that even the simplest of steps could be critical to setting the proper tone and atmosphere for the human performance feedback and development session. For example, making sure that you meet in a private location where you won’t be interrupted can send the proper signals to the Sailor that this session and their performance and future development are important to you. Plan to give the Sailor your undivided attention during the human performance feedback and development session. Don’t take phone calls and don’t respond to pagers during the session.

Keep in mind that the purpose of the session is developmental, not evaluative. You should make sure that the Sailor understands that purpose as well. Also you should try to set a collaborative, positive tone for the human performance feedback and development session from the very beginning. You might offer the Sailor a cup of coffee or chat with him or her for a few minutes before really getting into the serious part of the discussion. Of course, you need to be sincere in these interactions and you also want to avoid overdoing it and stalling.

### **Step 2. Discuss the purpose of the human performance feedback and development session.**

As the second step, you’ll want to give the Sailor a clear picture of the purpose of the human performance feedback and development session. Remember, the session is a review. You have been giving feedback and guidance, in most cases, since the last human performance feedback and development session, and you are just using the current session to review the Sailor’s good performance, and any areas you and the Sailor have discussed in the past as needing development and improvement.

**Step 3. Provide recognition for positive personal characteristics, accomplishments since the last human performance feedback and development review, and effective behaviors you have observed or had reported to you.** You want to encourage the Sailor to continue doing well in his or her “strength areas” and provide positive feedback on desirable personal characteristics, accomplishments, and effective behaviors is a good way to do that. At this point it may be helpful to refer back to the human performance feedback and development review form, including both the dimension definition and the specific target behaviors. Focus attention on specific components of the job and help stimulate discussion about concrete behaviors associated with the relevant dimensions.

Ensure you recognize and thank the Sailor for his or her contributions to the team, as applicable. In addition, you might acknowledge any improvements that have been made as a result of past human performance feedback and development session discussions, coaching activities, or other types of job and development related feedback.

Be sure that you are specific in the praise that you are offering; tell the Sailor what he or she has done to merit the recognition that you are providing. Let all Sailors you evaluate know that you are paying attention to them and witness those activities that they are doing right. This will give them guidance regarding the behaviors they should continue to exhibit in the future.

**Step 4. Ask for the Sailor’s view of his or her performance, the work environment, and any areas where your assistance may be required.** As part of the process of establishing a two-way dialogue, it’s important to involve the Sailor as an active and contributing participant and to understand his or her views of the work situation. Experience indicates that at this point Sailors will discuss accomplishments and developmental progress in areas in which they performed well (usually overlapping with the positive feedback you have already provided), but will also address areas where they believe they could improve or where they need help. This outcome is a highly desirable, because it is far better for Sailors to mention weak areas or needs for improvement than for you to have to do it.

Any discussion of weak areas or needs for improvement should, whenever possible, be framed in the context of how you can help the Sailor improve and support both performance and development efforts. It is very useful to keep firmly in mind during this part of the human performance feedback and development session the perspective that it is not that you (i.e., the Sailor) have a problem; it is we have a problem and how can I provide a positive improvement.

During this portion of the human performance feedback and development session where you may be able to use the target behaviors on the human performance feedback and development review form to clarify the discussion. If it is not clear what the area that needs improvement actually is, referring to the target behaviors may help you and the Sailor to be more focused in your discussions and in identifying the problem area.

**Step 5. Outline development areas.** This point in the human performance feedback and development session should flow from the previous discussion of areas in need of improvement. Whenever possible, center this part of the human performance feedback and development session around the Sailor’s views of his or her weak areas, and move to work with the Sailor to identify activities, assignments, experiences, or other strategies for developing in those areas. If there is a strong need for improvement in an area that has not been discussed to

this point, then it is probably important to mention that area. However, remember that you should have already alerted the Sailor to any performance or development deficiencies at the time they occurred or were observed, so this discussion should be a “recap” and a progress review of improvement steps rather than an abrupt, first-time discussion of a weak area.

Another important point at this stage of the human performance feedback and development session is that between the Sailor’s introduction of areas for improvement and any additional areas you feel compelled to bring up (again, experience suggests these should be minimal), no more than 2-3 deficiencies should be the subject of this part of the discussion. This is because it is difficult for a person to focus on several areas for development; this can be demotivating and a source of discouragement for the Sailor.

**Step 6. Discuss steps to improve performance and development activities.** The goal at this point of the human performance feedback and development session is to jointly devise a development plan to improve Sailor performance. The elements of this plan should be activities, experiences, and changes in behavior undertaken by the Sailor and actions that you agree to take to remove barriers, change the work environment, or otherwise facilitate the Sailor’s performance improvement.

It will be important to fully engage the Sailor in this discussion of developmental suggestions. Ideas that come from his or her contributions are more likely to be followed up on in a timely and effective manner. However, you should be ready to offer help and, as necessary, suggestions on how to improve.

The possible specific developmental activities are practically limitless. But the types of activities or sources include:

- off-site courses or on-the-job training;
- different job assignments;
- books, videos, or computer-based exercises or activities;
- planned experiences off the job;
- commitment by the Sailor to practice new behaviors.

Whatever developmental strategies the two of you decide upon, you should, as much as possible, agree on timelines for each activity and a time for any necessary follow-up discussion to review progress that might be necessary before the next, regularly scheduled human performance feedback and development session.

**Step 7. Discuss career goals.** Now you should talk about areas for development linked to broader career or advancement goals. Again, as much as possible, the career goals should come from the Sailor. You should be primarily a “sounding board” to listen and offer encouragement. You may also be able to provide advice on how to achieve these goals and perhaps facilitate moving toward the goals by some action(s) on your part (e.g., sending him or her to a school).

**Step 8. End the human performance feedback and development review session.** End the human performance feedback and development session on a positive note. Express confidence that the Sailor can improve and meet your joint goals. Finally, be sure to set a date or at least a

rough timeline for reviewing progress on Sailor development steps and progress regarding your own actions to help the Sailor improve his or her performance and personal development.

## **Do's and Don'ts: Further Suggestions for Conducting the Human Performance Feedback and Development Review**

These are some additional tips for conducting effective human performance feedback and development sessions.

Listen attentively.

Don't berate or criticize the Sailor; be constructive.

Focus on the work problem, not the Sailor as a person.

Remember, it is we have a problem, not you have a problem.

Avoid comparing the Sailor to other Sailors.

Keep an open mind; you may not have all the relevant information.

Often you will be able to change some element of the Sailor's work situation that will show your concern, motivate him or her, and likely improve performance.