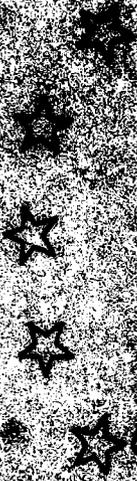


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AERONAUTICAL SYSTEMS DIVISION'S MERIT  
PROMOTION APPRAISAL SYSTEM:  
AN ANALYSIS AND REVIEW

William K. Malone, Captain, USAF

LSSR 76-81

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A rating system that distinguishes employees who deserve advancement in their career fields is an important part of any promotion system. This research presents a brief review of the development and implementation by the Aeronautical Systems Division (ASD) of such a rating system, the Merit Promotion Appraisal System (MPAS). Trend and validity analysis were performed upon data collected by questionnaires administered by the ASD Human Resources Center in 1979. The trend analysis was accomplished by comparison of rating distributions and means for the years 1975-1980. The validity analysis was performed using Pearson Correlation coefficients, Student t-test, multitrait-multimethod matrix comparisons, and comparisons of like-questions from follow-up questionnaires administered in successive years. The results of these analyses indicated that the MPAS was (1) apparently successful in the first year or two of implementation, (2) appeared to have a fair level of acceptance and validity, and (3) has since been weakened by inflationary pressures.

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AERONAUTICAL SYSTEMS DIVISION'S MERIT  
PROMOTION APPRAISAL SYSTEM:  
AN ANALYSIS AND REVIEW

A Thesis

Presented to the Faculty of the School of Systems and Logistics  
of the Air Force Institute of Technology

Air University

In Partial Fulfillment of the Requirement for the  
Degree of Master of Science in Systems Management

By

William K. Malone, BS  
Captain, USAF

September 1981

Approved for public release;  
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This thesis, written by

Capt William K. Malone

has been accepted by the undersigned on behalf of the faculty of the School of Systems and Logistics in partial fulfillment of the requirements for the degree of

MASTER OF SCIENCE IN SYSTEMS MANAGEMENT

DATE: 30 September 1981

Edward J. Quinn Jr.  
COMMITTEE CHAIRMAN

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## CHAPTER 1

### INTRODUCTION

#### Overview

In March of 1977, the development of the Merit Promotion Appraisal System (MPAS) was begun by and for the Air Force Systems Command (AFSC) at Wright-Patterson AFB, Ohio. The Commander of the Aeronautical Systems Division (ASD) is the ranking AFSC Commander on the base and has certain responsibilities for all AFSC activities. Among these responsibilities is personnel management of civilian and military employees (15:3).

When civilian vacancies occur, all qualified AFSC civilian employees at Wright-Patterson AFB are eligible for consideration through merit promotion. The selecting supervisor is provided a list of the top three to five eligible candidates for each vacancy. Candidates are ranked by merit appraisals, training, education, and experience. Since the merit appraisal comprises approximately half of the total points, the validity and acceptability of the ratings across AFSC activities is of major concern to both the employees and AFSC managers (15:4).

Prior to the MPAS, merit appraisals had become inflated and showed little variance from one employee to another. It had become impossible to distinguish an exceptionally productive employee from the fair or low-producing employee. The MPAS had the objective of

obtaining a more valid measure of employees' abilities and providing feedback (15:4).

Under MPAS, employees are rated through use of Behaviorally Based Rating Scales (BBRS). For technical and professional employees, MPAS measures eleven factors as perceived by the immediate supervisor and reviewed by the next higher level supervisor. Professional employees are those employees that not only have the knowledge to do technical jobs but also are in positions which require some management expertise. These employees usually are in a double interval promotion system. For example, they may start as a GS-5 with promotion steps to GS-7, GS-9, and GS-11. Technical employees are only required to have the technical expertise for their jobs and are in a single interval promotion system. They usually have pay grades from GS-5 through GS-9 and are promoted only one pay grade at a time. Clerical personnel are similarly rated on eight different factors. Examples of the rating forms are shown in Appendices A, B, and C. To obtain an overall merit appraisal rating, the factors are averaged and multiplied by ten. Since the BBRS are on a scale of one to seven points for each factor, the maximum possible overall merit appraisal rating is seventy. This overall merit appraisal rating is one input for ranking eligible individuals for any given job.

After the MPAS was fully developed, it was implemented in the EN division of ASD in 1977. In early 1978, the Air Force Wright Aeronautical Laboratory (AFWAL) also began using MPAS for employee ratings. Finally, in late 1978, all civilian personnel in ASD and

AFWAL were rated under the MPAS. This progressive implementation of the MPAS was likewise accompanied by training of affected personnel to increase acceptance of the rating system. The training provided management personnel experience in using the system and increased their appraisal skills.

The common tendency of supervisors to rate all subordinates the same, or nearly the same, makes it difficult to recognize individuals deserving promotion. If the obtained ratings are not useful, other secondary factors are used to indicate promotability; i.e., training, experience, seniority. Therefore, it is essential that any rating system used for promotion of individuals be as valid and discerning as possible (2:6).

To obtain information useful in the development of any new appraisal system that may be forthcoming, an analysis of the strengths and weaknesses of the MPAS should be helpful. A large data base of information is available for the effective evaluation of the MPAS. The ratings obtained in the appraisals from 1977 through 1980 contain not only each individual factor used in the rating, but also the individual's age, sex, organization, grade, and race. Information obtained from follow-up questionnaires in 1977, 1978, and 1979 is available for use in determining how well the MPAS was accepted by the employees. These questionnaires were administered to the managers rating employees on the MPAS and to employees rated by the MPAS to provide feedback on the system. Finally, data obtained for a study to compare self ratings, peer ratings, supervisory ratings, and

ratings by a manager who is not the employee's direct supervisor is available that would be very useful in examining the validity of MPAS.

### Objective

Since the objective of the MPAS was to provide a promotion rating system that would discern between individuals deserving promotion and those individuals that do not, the objective of this study is to determine some of the strengths and weaknesses of the MPAS through analysis of the available data.

These sub-objectives are used in the analysis: (1) trend analysis of the promotability ratings from 1975 through 1980, (2) validity analysis of the overall promotability rating and rating factors of the data from the supervisor ratings, self-ratings, peer ratings, and alternate-supervisor ratings, and (3) acceptance of the MPAS as a valid measurement of promotability.

### Summary

This chapter has presented a brief description of the MPAS and its development. Also included in this chapter are the objectives which this thesis pursues. In Chapter 2, more background into the development of the MPAS is given. The methodology used in the accomplishment of the stated objectives is presented in Chapter 3. Chapter 4 contains the results of the data analysis using the presented methodology. Finally, Chapter 5 presents the conclusions and recommendations derived from the data analysis.

## CHAPTER 2

### BACKGROUND

#### Overview

A good manager is naturally concerned about the overall performance of subordinates. In order to assess the promotability of a job candidate into a specific job, it is important to assess the candidate's specific areas of strengths or developmental needs. This assessment makes it possible to match a candidate's specific qualifications with specific job requirements.

The immediate supervisor is in the best position to assess the qualifications of a subordinate. However, the manager selecting an individual for a position must assess a large number of personnel on the basis of the supervisors' ratings. The selector will not, in general, be familiar with the specific areas of strengths or developmental needs of every candidate. Under the prior system the ratings did not distinguish a profile of strengths and developmental needs in the candidates for promotion.

#### Purpose

This chapter gives some background to the basic changes necessary to change the previous rating system into a more successful promotability rating system for ASD. These changes were in (1) the basis of rating, (2) the number of scales, (3) the degree of overlap,

(4) the scale definitions, (5) the rating scale position anchors, (6) the coverage of job requirements, (7) the management participation, and (8) the training.

#### Basis of Rating

In the rating system prior to MPAS, the basis of the ratings was the amount of supervision required by the subordinates (18; 22). This concept is not desirable because it does not address the central issue of (1) the present effectiveness or (2) the promotability of the subordinate.

Under the MPAS the subordinate was rated on the basis of his or her observable job performance rather than personal traits. This method is more reasonable than the prior system because the amount of supervision required by subordinates may differ for reasons that are irrelevant to their potential for promotion (3; 4; 6; 9:745-775; 12).

#### Number of Scales

In the prior rating system, the supervisor was required to use twenty-eight different scales or dimensions to indicate the promotability of a subordinate (18; 22). Under the MPAS only eleven factors or dimensions are used for technical and professional subordinates and eight factors for clerical personnel. This reduction in the number of factors has the advantage of reducing not only the difficulty of rating personnel but of reducing the time required to do the rating. In addition, there is evidence that five to eight rating scales tend to yield better quality ratings in comparison to a greater number of rating scales (7; 13; 16).

### Degree of Overlap

Lack of overlap in the factor scales in a rating system is useful because it allows a more appropriate promotion decision by the selector when promotion opportunity arises. Under the prior system the rating scales on the different factors exhibited a high degree of overlap. These rating scales yielded promotional profiles that did not differ from one employee to another (18; 22).

The rating format used in the MPAS had been previously tested in other organizations. The resulting evidence suggests that less overlap occurs in this type of rating scale. Training the raters in the use of the rating format further decreases the lack of overlap (11; 16; 17; 19; 21).

### Scale Definitions

In the prior rating system, the clarity of the scale definitions varied considerably. Some of the scales were clearly defined and some were ambiguous (18; 22). If the scale definitions are unclear, the rater has to rely on an overall impression of the performance of the ratee in order to rate the ratee. Lack of clarity of the scale definitions tends to produce a high degree of overlap among the ratings obtained (8; 9:745-775; 19; 21).

### Rating Scale Position Anchors

The prior rating system defined the scale steps or position anchors by adjective descriptions (18; 22). The trouble with this approach is that it requires different supervisors to interpret the adjectives for themselves. With little concrete information to tie

down the definition of each adjective, the supervisors will tend to interpret the scale position steps by their own standards.

Under the MPAS, general global descriptions of behavior are used to define the low, median, and high rating for each seven-step scale. These standard descriptions were developed by supervisors writing critical incidents which they felt were typical of the job performance of subordinates whose ratings average six or more over the different rating dimensions. This procedure was less precise than the method used by Campbell, et al., (4; 6) in which the supervisor is given a set of job-specific performance incidents and asked to determine which incident could be expected from the subordinates. The strength of Campbell's method is its specificity. The high degree of specificity required by the method makes it inapplicable for development of scales intended for broad application to many complex jobs at different organizational levels, such as those that exist in the ASD. In addition, the highly specific method used by Campbell tends to assume prior knowledge of job requirements. In view of the frequently unpredictable nature of tasks in the ASD, the more global approach to the definition of scale steps was used (1).

The MPAS differs from the prior rating format in that it involves much more careful and detailed definition of the scales and their position anchors. There is a large body of evidence that a more detailed or structured set of instructions or definitions in the rating format tends to reduce the difficulty of judgment for the rater and to increase the quality of the obtained ratings (9:745-775; 16; 17; 19; 21).

### Coverage of Job Requirements

In the prior rating system the rating scales were not clearly relevant to job performance. In addition, not all aspects of job performance were represented by the current set of rating scales (18; 22). Under the MPAS the rating dimensions were defined by those individuals who would be using the system to make ratings. Thus, the appropriateness of the rating scales to the jobs was built into the system. Those who are most qualified to design the rating scales were involved in designing them. The fact that individuals who use the system had input to its design has the effect of increasing the relevance of the ratings (4; 6; 8; 10; 19).

### Management Participation

In the prior rating system there was little management control over the rating format or the quality of the ratings. There was little evidence, if any, that there was any effective feedback to the supervisors on the quality of these ratings. Various managers gave the impression that the process of performing the merit appraisal ratings was unimportant and a waste of valuable time (18; 22).

It was true that the prior system with its apparent high leniency factor created no immediate problem for the supervisor who performed the ratings. The difficulty in the quality of the ratings became apparent when the ratings were to be used as a basis for promotion. Due to the lack of a discernable difference in ratings between candidates, the training and experience factors were a major determinant of the promotability ratings. This is unfortunate

because the immediate supervisor is the single person most qualified to assess the promotability of a subordinate. The supervisor's judgment is potentially of much greater value than the training and experience information by itself.

Under the MPAS, members of management have defined the rating format and scale content. This is an improvement over the prior system because it insures that the scale content will more adequately reflect relevant aspects of job performance. This total management input to the system is essential if management is to gain information from the ratings which is useful in making promotion decisions (16; 18; 19).

#### Training

There are several studies (13; 16; 17; 19; 23) which indicate the effectiveness and importance of training raters in reducing leniency and other rating errors.

In the prior rating system there was very little in the way of training of the raters in how to make ratings (18; 22). For any kind of rating method, it is important for the rater to know how to use the rating format to describe the job performance of the ratee. The lack of training and the closely associated lack of standards of rating quality left the interpretation of the rating scales and the scale steps or anchors up to the individual supervisor. This, in turn, tended to produce differences in the way the ratings were performed by different supervisors. Given no other standards of performance for the ratings and their perceived low priority, the supervisor did what

was easiest for him or her in the context of other pressing tasks. Poor quality and inflated ratings were the results (13; 17; 19; 23).

It would not be practical to design a rating system which would describe everything a subordinate might do in his or her job. This is especially true if the job in question involves highly complex and rapidly changing technology with somewhat unpredictable task requirements (16). This situation tends to be true at ASD.

Correct rating of subordinates is necessarily a matter of informed judgment. Under MPAS, extensive training programs were implemented to ensure a higher quality of ratings. The cases used in the training were not specific to a particular branch because their purpose was to raise questions as well as answer them. The purpose of the cases was to train the supervisors in how to match a specific subordinate's performance to the appropriate scale and to the appropriate scale anchor (or scale step) within that scale. The training gave the supervisor a chance to actually practice the rating of subordinates in the form of the case studies and was given immediate feedback as to the correctness of his or her rating. This technique of training raters helped to correct the errors such as first impressions and halo effects (13).

Because of the need for informed judgment and for training credibility, the trainers used were line managers who were highly familiar with the work done by the supervisors' subordinates. These managers could answer questions about the applicability of the scales to particular situations (1).

### Summary

This chapter has shown the major elements and features of the promotion appraisal system which have been changed with the development of the MPAS. How successful were these changes in creating an effective and useful tool for determining the promotability of individuals? Did the MPAS show high validity and acceptability to the employees? These questions are examined in the following chapters.

## CHAPTER 3

### METHODOLOGY

#### Purpose

This chapter presents the methodology used to achieve the objectives of (1) trend analysis, (2) validity analysis, and (3) acceptability of the MPAS to employees.

#### Trend Analysis

To show some indication of effectiveness of the implementation of the MPAS and to show any tendency for the MPAS to return to a condition of inflation of rating, a trend analysis of the distribution of ratings for successive years from 1975 through 1980 was conducted. Data for the graph of the previous rating system were obtained from the 1978 MPAS status report (1). Data and rating means for the 1978 through 1980 graphs were obtained from listings on file at ASD/DPCH.

A comparison between the 1975-76 graphs and the first MPAS graph for the overall rating system was made to determine the effectiveness of the initial implementation. A decrease in the percentage of individuals rated at the high end of the rating scale would tend to indicate a more effective rating system. A further comparison of histograms and rating means for succeeding years was made to obtain an indication of a return to inflated ratings. This trend would be reflected on the histograms by a shift toward the upper end of the

rating scale. Further evidence of inflated ratings would be a progressive increase in the yearly rating mean.

#### Validity Analysis

A second technique was used to examine the validity of the overall ratings obtained by the MPAS. The data used in this test were obtained in June of 1979 by ASD/DPCH. Four different studies, as shown in Appendices D, E, F, and G, were administered for eighty-eight different target employees to obtain the data. Study Number Thirty was administered to the immediate supervisors of the target employees. The supervisors were advised that the identity of the target employees would remain anonymous and the data would only be used for validation of the MPAS. The supervisors were asked to provide the actual ratings given the employee and the "precise" ratings they would have given the employee if no outside pressures existed. Study Number Thirty-One was administered to the employees for a self-rating. Study Number Thirty-Two was administered to a peer of the target employee. The peer was to have been able to observe the target employee at work and to have some knowledge of the target employee's job. Study Number Thirty-Four was administered to an alternate supervisor at or above the actual supervisor's level and with some knowledge of the target employee's work activities. All studies were to be returned with no indication of the employee's name but with the different studies linked by a random number common to each form.

The data obtained from these studies are shown in Appendix H. Note should be made of the great quantity of missing information in

this data. For example, only fifty-six of the eighty-eight target cases were available for use in obtaining pair-wise Pearson Correlation coefficients between the overall actual ratings and the immediate supervisors "precise" overall ratings. When computing the pair-wise Pearson Correlation coefficients for the individual rating factor of Speaking Ability in the self rating study, only twenty-four of the eighty-eight cases were available.

Since all employees were not rated on the same number of factors, an overall rating for the different individuals and the different studies was computed by multiplying the average of the factors by a value of ten. This computation gave an overall rating that ranged from ten to seventy. This technique of obtaining a rating is the same technique as used in the MPAS.

These overall ratings were then studied for correlation using Pearson Correlation and Student t-test. A study of the two analysis outcomes would give some information concerning the overall validity of the ratings obtained in the MPAS.

A follow-up technique, using the same data obtained above, is the multitrait-multimethod matrix suggested by Campbell and Fisk (5). This method was used to determine the convergent and discriminate validity of the factors used in the MPAS. An example of a multitrait-multimethod matrix is shown in Table 3.1.

To indicate convergent validity (the amount of agreement between raters on the same traits), the values in the validity diagonals should be significantly different from zero (5:82). For

TABLE 3.1

A SYNTHETIC MULTITRAIT-MULTIMETHOD MATRIX

|          | Method 1       |                |                | Method 2       |                |                | Method 3       |                |                |     |       |       |
|----------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|-----|-------|-------|
| Traits   | A <sub>1</sub> | B <sub>1</sub> | C <sub>1</sub> | A <sub>2</sub> | B <sub>2</sub> | C <sub>2</sub> | A <sub>3</sub> | B <sub>3</sub> | C <sub>3</sub> |     |       |       |
| Method 1 | A <sub>1</sub> |                |                |                |                |                |                |                |                |     |       |       |
|          | B <sub>1</sub> | .51            | (.89)          |                |                |                |                |                |                |     |       |       |
|          | C <sub>1</sub> | .38            | .37            |                |                | (.76)          |                |                |                |     |       |       |
| Method 2 | A <sub>2</sub> |                |                |                |                |                |                |                |                |     |       |       |
|          | B <sub>2</sub> | .22            | (.57)          | .10            | .68            |                | (0.94)         |                |                |     |       |       |
|          | C <sub>2</sub> | .11            | .11            | (.46)          | .59            |                | .58            |                | (.84)          |     |       |       |
| Method 3 | A <sub>3</sub> |                |                |                |                |                |                |                |                |     |       |       |
|          | B <sub>3</sub> | .23            | (.58)          | .12            | .43            |                | (0.66)         |                | .34            | .67 | (.92) |       |
|          | C <sub>3</sub> | .11            | .11            | (.45)          | .34            |                | .32            |                | (.58)          | .58 | .60   | (.85) |

Note: ○ = Validity Diagonal  
 = Heterotrait-Heteromethod Triangle  
 = Heterotrait-Monomethod Triangle

example, all of the validity diagonals in Table 3.1 have a value significantly higher than zero.

Discriminate validity can be indicated by the validity diagonal value being higher than the values in its row and column of the heterotrait-heteromethod triangles. That is, the validity value for a variable should be higher than the correlations between that variable and any other variable not having either a common trait or method (5:82). For example, in Table 3.1 the validity diagonal for Trait  $A_1-A_3$  (.56) is higher than the values for Trait  $A_1-B_3$  (.23), Trait  $A_1-C_3$  (.11), Trait  $B_1-A_3$  (.22), and Trait  $C_1-A_3$  (.11). All of the validity diagonals in Table 3.1 are higher than the values in their row and column of the heterotrait-heteromethod triangles.

A second means of showing discriminate validity involves comparing the validity diagonal value with the values in its row and column for the heterotrait-monomethod triangles. This implies that the correlations are higher when different methods are used to measure the same variable than when different variables are measured by the same method (5:83). For example, in Table 3.1 the validity diagonal for Trait  $B_1-B_2$  (.57) is higher than the value for Trait  $B_1-C_1$  (.37) but not higher than the value for Trait  $A_2-B_2$  (.68). Therefore, it would be questionable whether any discriminate validity was indicated.

For the purposes of this analysis, the rating form factors will be used as traits and the five different sources of ratings will be used as methods. The multitrait-multimethod matrix technique will

be applied to the three separate forms used in the MPAS (Form A, professional; Form B, technical; Form C, clerical). Due to the varying number of cases used to compute the correlation coefficients, the normal technique of comparing the magnitude of the coefficients will not be used. Instead, the comparisons will be made between the level of significance of each correlation coefficient.

#### Acceptability Analysis

The final technique used to analyze the MPAS was an attempt to determine if the employees have accepted the MPAS as a valid means of measuring promotability. The analysis was done through comparison of the results of a September, 1978, technical report (20) and similar questions on 1979 questionnaires administered to 1,077 employees who were rated on the MPAS and 371 supervisors who rated employees on MPAS forms. Copies of these questionnaires are shown in Appendices I and J. The comparison was based on questions concerning the perception of validity and the overall reaction of the personnel to the MPAS. A description of the March, 1979, questionnaire is the same as this description of the 1978 questionnaires contained in the AFIT TR 78-5:

Eleven factors (scales) were contained in the new appraisal system: (1) self management; (2) work administration; (3) problem analysis; (4) decision making; (5) speaking ability; (6) writing ability; (7) working relationships; (8) work leadership; (9) personnel management and EEO commitment; (10) performance under pressure; and, (11) work output. The questionnaire used to evaluate the new appraisal system sought four types of information about each factor. Specifically, it was designed to gather supervisor and subordinate S&E opinions concerning the amount of information available related to each factor, the meaningfulness of each factor, each factor's

appropriateness, and the difficulty in understanding or rating each factor. Additionally, questions were included which requested supervisor and subordinate views of specific benefits of the new system, as well as an overall evaluation of the form by those rated with it. Lastly, write in comments were solicited [20:1].

#### Summary

This chapter presented the methodology used to analyze trends toward a return to inflated ratings. The methodology for analysis of validity and for the acceptance trend of MPAS was also shown. Chapter 4 will give the results of these analyses.

## CHAPTER 4

### DATA AND ANALYSIS

#### Introduction

This chapter will present the results from the methodology described in Chapter 3. First, the results of the trend analysis and some possible reasons for the variation in the histograms will be presented. The results of the validity analysis and some discussion of the findings will follow. Finally, the results of the study for a change in attitude of the employees and supervisors toward the acceptability of the MPAS will be presented.

#### Trend Analysis

When the histograms of the appraisal ratings for the years 1975 through 1977 (Figures 4.1 through 4.3) are studied in detail, it becomes evident that there is an improvement in distribution of ratings for the year 1977 (Figure 4.3). Note that the distribution of the 1975 and 1976 ratings in Figures 4.1 and 4.2 are highly concentrated at the high end of the scale compared to the 1977 ratings in Figure 4.3, which are much closer to being symmetrically distributed. Since the data represented by Figure 4.3 is the first data available under the MPAS, it seems reasonable to say the initial implementation of the MPAS was successful. However, there was an additional factor present at the same time which may confuse the interpretation of the

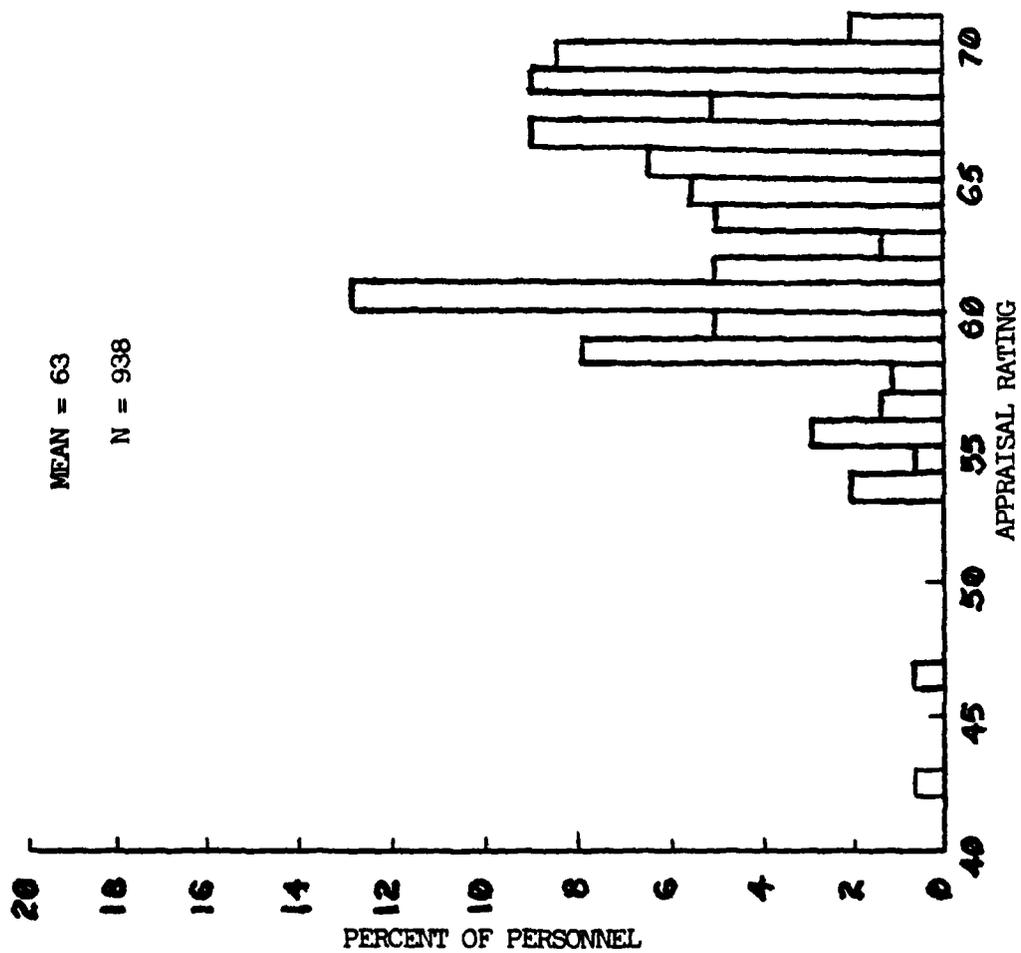


Fig. 4.1 Aeronautical Systems Division—Engineering  
1975 Promotability Ratings

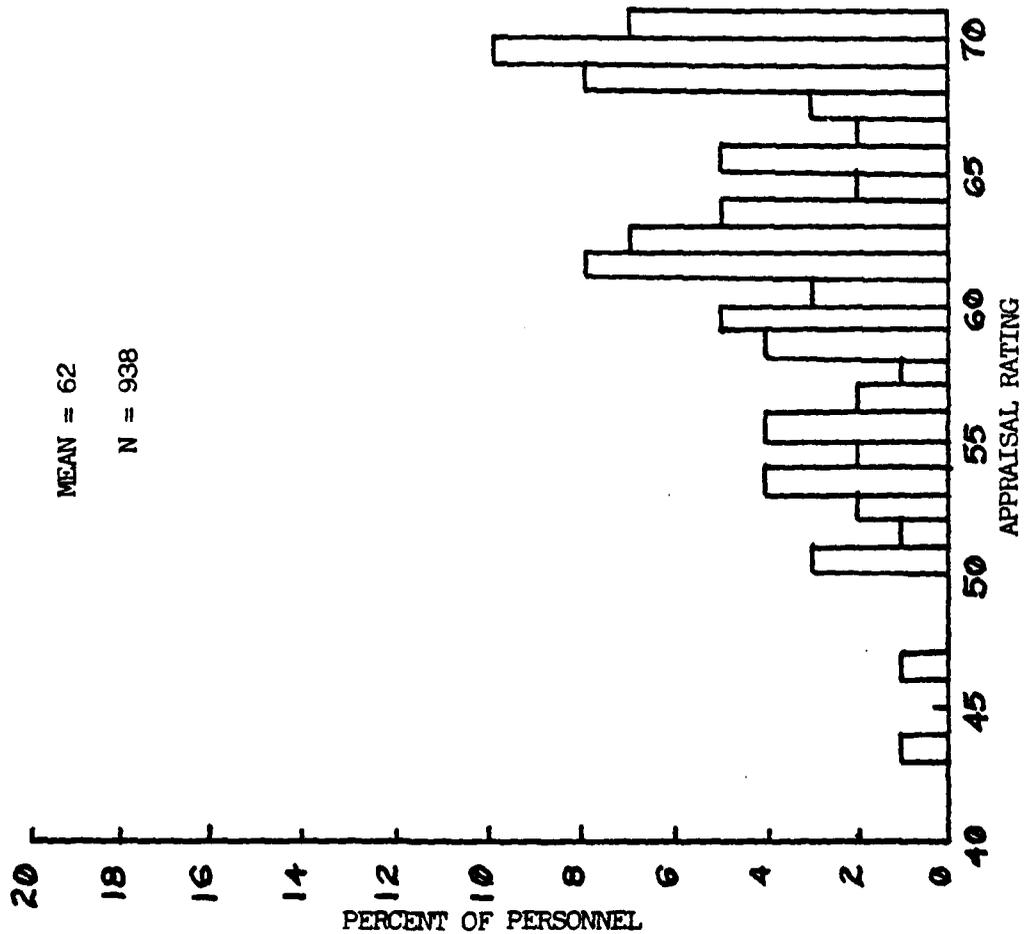


Fig. 4.2 Aeronautical Systems Division—Engineering  
1976 Promotability Ratings

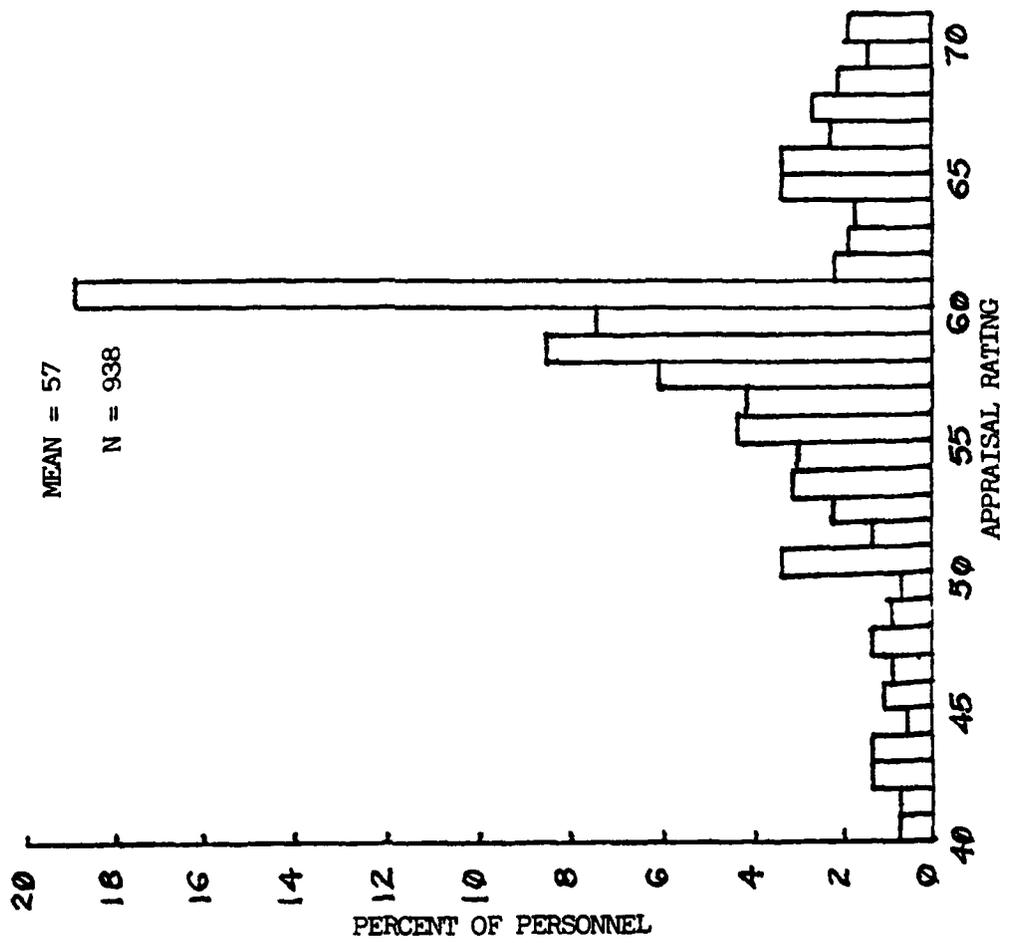


Fig. 4.3 Aeronautical Systems Division—Engineering  
1977 Promotability Ratings

histograms. As stated in the 1978 status report on the MPAS (1), the sharp peak just below the 6.1 value was probably influenced by the use of guidelines in 1977. This use of guidelines may be one factor producing the more symmetrical distribution in the 1977 ratings in Figure 4.3

A visual analysis of the 1978-80 histograms for engineers in ASD (Figures 4.4 through 4.6), along with the corresponding rating means, give an indication that the ratings obtained from the MPAS are showing a trend toward a return to inflated ratings. The distributions from year to year tend to be skewed more and more negatively. This means that a higher percentage of the appraisal ratings are moving toward the upper end of the rating scale each year. The fact that the mean of the ratings increases each year also reinforces this finding. Additional histograms showing the distribution of appraisal ratings for the years 1978 through 1980 are presented in Appendix K. In every case, the data presented indicates a return to inflated ratings after the initial improvement upon implementation. The rating means presented in Table 4.1 also give evidence that in every case the appraisal ratings are moving toward inflated values.

#### Validity Analysis

Validity analysis was performed upon data collected in June of 1979. Four follow-up questionnaires obtained information from five different perspectives: (1) actual ratings, (2) immediate supervisors' "precise" ratings, (3) self ratings, (4) peer ratings, and (5) alternate-supervisor ratings.

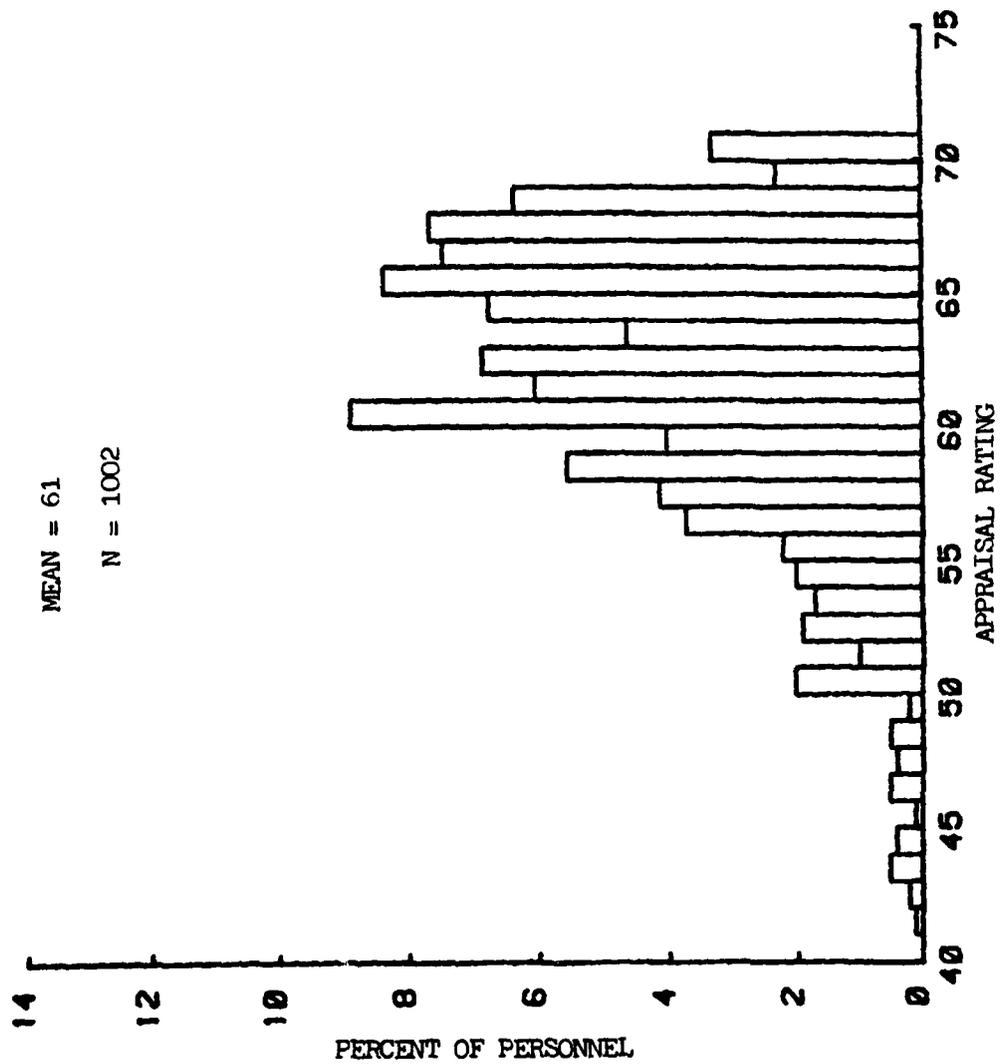


Fig. 4.4 Aeronautical Systems Division—Engineering  
1978 Ratings

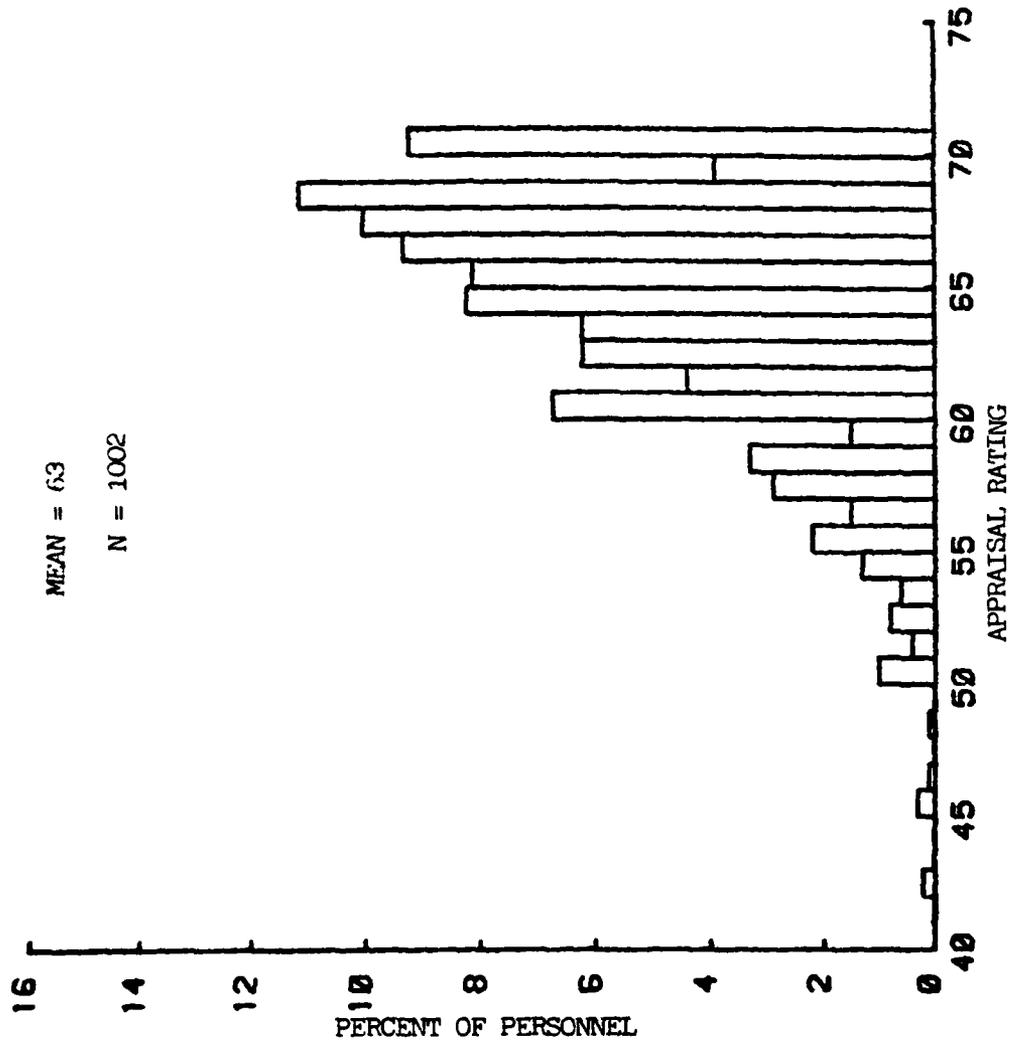


Fig. 4.5 Aeronautical Systems Division—Engineering  
1979 Ratings

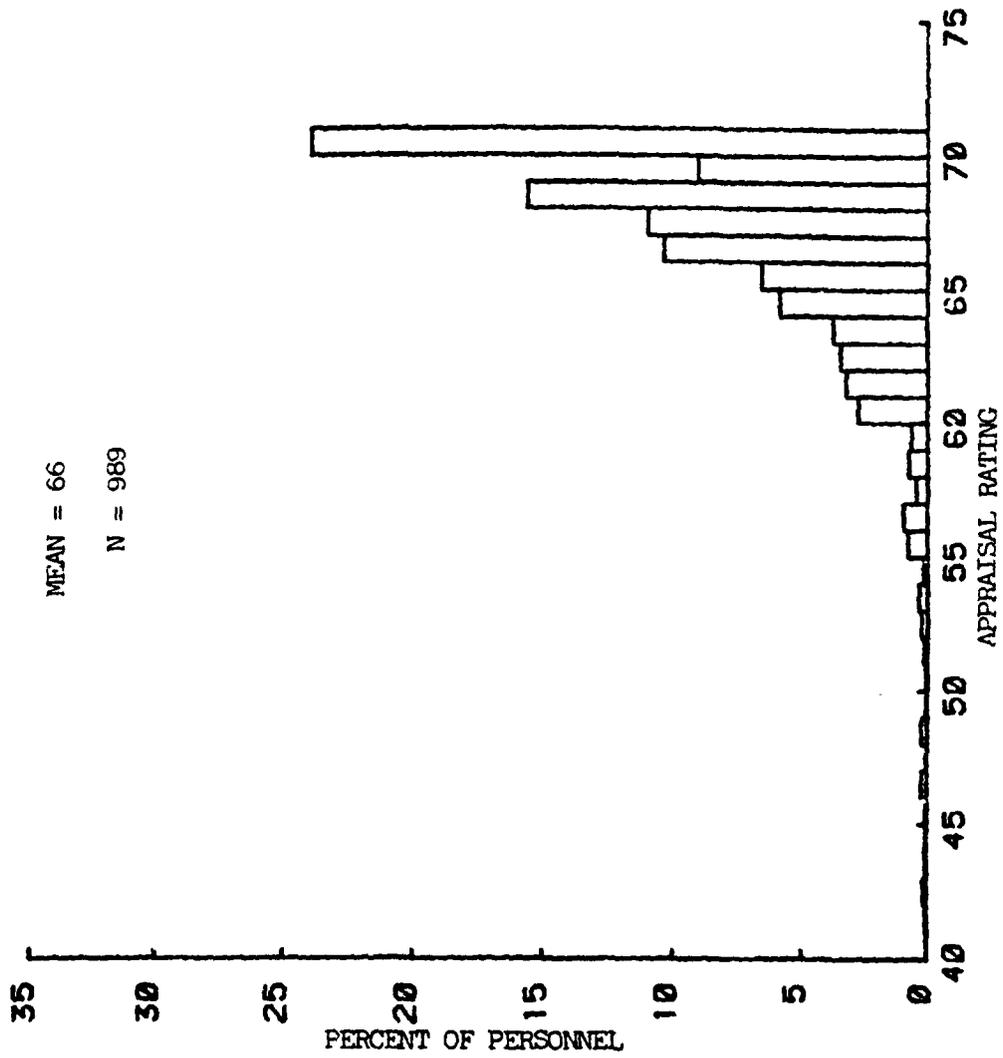


Fig. 4.6 Aeronautical Systems Division—Engineering  
1980 Ratings

TABLE 4.1  
RATING APPRAISAL MEANS

| ORGANIZATION  | YEAR |      |      |      |      |      |
|---|------|------|------|------|------|------|
|   | 1978 |      | 1979 |      | 1980 |      |
|   | N    | MEAN | N    | MEAN | N    | MEAN |
| ASD-Engineers                                       | 1002 | 61   | 1002 | 63   | 989  | 66   |
| ASD-Professional                                    | 1411 | 61   | 1574 | 63   | 1639 | 65   |
| ASD-Technical                                       | 122  | 59   | 164  | 62   | 191  | 64   |
| ASD-Clerical  | 634  | 55   | 896  | 63   | 876  | 65   |
| ASD-All   | 2183 | 60   | 2647 | 63   | 2713 | 65   |
| 4950th Test Wing                                    | 813  | 58   | 914  | 61   | 899  | 63   |
| Foreign Technology Division                         | 310  | 57   | 426  | 59   | 499  | 62   |
| Air Force Wright<br>Aeronautical Laboratory         | 1749 | 58   | 1800 | 60   | 1753 | 62   |
| Air Force Aerospace Medical<br>Research Laboratory  | 124  | 58   | 126  | 60   | 123  | 62   |
| Air Force Human Resources<br>Laboratory             | 20   | 53   | 6    | 67   | 25   | 62   |
| Joint Aeronautical Material<br>Activities (AFSC/PM) | -    | -    | 31   | 61   | 34   | 62   |
| All Serviced Activities                             | 5244 | 59   | 5959 | 61   | 6059 | 64   |

The correlations shown in Table 4.2 indicate that the overall actual ratings were most highly correlated with the overall ratings received from the target employee's immediate supervisor. Even though the immediate supervisors had been informed that the "precise" ratings they gave would not be used for anything other than an analysis of the MPAS, it is probably true that they still felt a considerable amount of pressure to report the same ratings as were recorded during the actual rating cycles. Therefore, the high correlation between the overall actual rating and the supervisors' overall "precise" rating is not surprising. There were three notable exceptions to the supervisors' overall rating being the most highly correlated. For female employees on all forms, the highest correlation was between the actual overall ratings and the overall alternate supervisor ratings. Female clerical (Form C) employees and male technical (Form B) employees show the highest correlation between the actual overall ratings and the overall ratings received from their fellow employees. If the high correlation shown by the immediate supervisor is ignored by reason of the expected relationship, the alternate supervisors' overall ratings show the highest correlation for all forms and sexes. The alternate supervisors' overall ratings have the highest or close to the highest correlation, other than immediate supervisor, in eight of the nine different categories shown.

For the Form C (Technical) female sample, it was interesting to find the highest correlation with the Peer method of measurement. The reason for this may be the small number of cases in this category.

TABLE 4.2

TABLE OF PEARSON CORRELATIONS AND  
STUDENT t-TEST VALUES

| FORM | SEX    | ACTUAL OVERALL<br>RATINGS AGAINST | # OF<br>CASES | CORRELATION<br>COEFFICIENT | 2-TAILED<br>PROBABILITY |
|------|--------|-----------------------------------|---------------|----------------------------|-------------------------|
| All  | Both   | Supervisor                        | 56            | .783*                      | .018@                   |
|      |        | Self                              | 35            | .405*                      | .363                    |
|      |        | Peer                              | 49            | .509*                      | .039@                   |
|      |        | Alt-Supervisor                    | 37            | .573*                      | .258                    |
|      | Female | Supervisor                        | 21            | .599*                      | .132                    |
|      |        | Self                              | 14            | .066                       | .392                    |
|      |        | Peer                              | 16            | .527**                     | .191                    |
|      |        | Alt-Supervisor                    | 17            | .601*                      | .704                    |
|      | Male   | Supervisor                        | 35            | .887*                      | .053                    |
|      |        | Self                              | 21            | .544*                      | .704                    |
|      |        | Peer                              | 33            | .512*                      | .121                    |
|      |        | Alt-Supervisor                    | 20            | .536*                      | .254                    |
| A    | Both   | Supervisor                        | 31            | .891*                      | .033@                   |
|      |        | Self                              | 17            | .339                       | .827                    |
|      |        | Peer                              | 30            | .452*                      | .124                    |
|      |        | Alt-Supervisor                    | 20            | .622*                      | .066                    |
|      | Female | Supervisor                        | 2             | 1.000*                     | .500                    |
|      |        | Self                              | 2             | -1.000*                    | .647                    |
|      |        | Peer                              | 3             | .598                       | .198                    |
|      |        | Alt-Supervisor                    | 3             | .963**                     | .081                    |
|      | Male   | Supervisor                        | 29            | .886*                      | .039@                   |
|      |        | Self                              | 15            | .548**                     | .762                    |
|      |        | Peer                              | 27            | .458*                      | .255                    |
|      |        | Alt-Supervisor                    | 17            | .556*                      | .155                    |
| B    | Male   | Supervisor                        | 5             | .925*                      | .853                    |
|      |        | Self                              | 5             | .272                       | .915                    |
|      |        | Peer                              | 5             | .970*                      | .294                    |
|      |        | Alt-Supervisor                    | 3             | .268                       | .660                    |
| C    | Both   | Supervisor                        | 20            | .578*                      | .145                    |
|      |        | Self                              | 13            | .420                       | .063                    |
|      |        | Peer                              | 14            | .553*                      | .316                    |
|      |        | Alt-Supervisor                    | 14            | .571**                     | .907                    |
|      | Female | Supervisor                        | 19            | .575*                      | .145                    |
|      |        | Self                              | 12            | .399                       | .074                    |
|      |        | Peer                              | 13            | .589**                     | .437                    |
|      |        | Alt-Supervisor                    | 14            | .571**                     | .907                    |

Note: No female Form B (Technical) sample. Not enough male cases in Form C (Clerical) sample to generate values.

@Reject null hypothesis of equal mean ratings.

\*p ≤ 0.01

\*\*p ≤ 0.05

Almost without exception, the method of measurement that exhibited the lowest correlation with the actual overall ratings was the Self method. Furthermore, the Self method of rating measurement showed the least number of cases to compare to the actual ratings. One hypothesis for these results is that the target individuals may not have felt the follow-up studies would be of any use in making the MPAS more consistent with their perceptions. Therefore, some did not bother to respond to the questionnaires.

For the Student t-test values, the null hypothesis being tested was that the difference between the means of the overall ratings was zero ( $H_0: \mu_1 - \mu_2 = 0$ ). The alternate hypothesis was that the difference between the means of the overall ratings was not zero ( $H_a: \mu_1 - \mu_2 \neq 0$ ). The values of alpha used for this thesis was 0.05. Using the hypotheses and alpha levels stated above, it can be seen from Table 4.2 that most of the probabilities were above the specified alpha level. Therefore, the null hypothesis of equal means was accepted for most cases. Three of the four notable exceptions are the probabilities for the supervisor ratings in the sections that included all respondents, the section for Form A-All, and the section for Form A-Males. In all three of these cases, the mean of the "precise" ratings was higher than the mean of the actual ratings. The fourth exception is for the peer ratings in the section for all respondents. In this case, the peer rating mean was lower than the actual rating mean.

For the Pearson Correlations to effectively indicate any validity for the MPAS, the correlations must not only be relatively

high but the means for the different methods of measurement should statistically be the same. From Table 4.2, the data gathered from Alt-Supervisors is strongest in developing validity confidence for the MPAS ratings. The correlation is high and, statistically, the mean ratings are the same.

Since it was probable that the "precise" ratings obtained from the immediate supervisors were contaminated by the perceived pressures that existed, the data for the multitrait-multimethod matrix was obtained using only the four methods of actual rating, self rating, peer rating, and alternate supervisor rating.

The results with respect to comparison of validity values with other heteromethod values in each block of the multitrait-multimethod matrix method for convergent and discriminate validity are presented in summarized form in Table 4.3. Table 4.3 values (Form A-All) are condensed from the data given in Appendix L. Although all combinations of sex and form were attempted on the eighty-eight cases of data in Appendix H; due to missing data, the information on Form A-All was the only combination that generated output with all correlation coefficients calculated. Therefore, analysis is presented on these data.

In terms of convergent validity, Table 4.3 indicates that significant validity was achieved in five of the eleven factors. The validity values for Work Administration, Decision Making, Speaking Ability, Writing Ability, and Work Leadership did show significantly high coefficients in at least half of their validity diagonals.

TABLE 4.3  
 VALIDITIES OF TRAITS FOR FORM A (PROFESSIONAL) AS JUDGED  
 BY THE HETEROMETHOD COMPARISONS

|                            | SELF-ACTUAL |                      |                          | ALTSUPER-ACTUAL |                      |                          | ALTSUPER-SELF |                      |                          |
|----------------------------|-------------|----------------------|--------------------------|-----------------|----------------------|--------------------------|---------------|----------------------|--------------------------|
|                            | Val.        | High-<br>est<br>Het. | No.<br>Higher<br>Signif. | Val.            | High-<br>est<br>Het. | No.<br>Higher<br>Signif. | Val.          | High-<br>est<br>Het. | No.<br>Higher<br>Signif. |
| Self Management            | .26         | .70                  | 11                       | .10             | .43                  | 14                       | .30           | .75                  | 11                       |
| Work Administration        | .70*        | .66                  | 1                        | .55*            | .66                  | 5                        | .62**         | .72                  | 7                        |
| Problem Analysis           | -.08        | .49                  | 14                       | .36             | .53                  | 10                       | .14           | .60                  | 13                       |
| Decision Making            | .13         | .70                  | 15                       | .72**           | .66                  | 0                        | .38           | .70                  | 7                        |
| Speaking Ability           | .67**       | .55                  | 0                        | .58**           | .66                  | 1                        | .84**         | .72                  | 0                        |
| Writing Ability            | .48*        | .66                  | 2                        | .57**           | .61                  | 1                        | .55**         | .65                  | 2                        |
| Working Relationships      | .26         | .45                  | 5                        | .27             | .62                  | 12                       | .33           | .64                  | 9                        |
| Work Leadership            | .65*        | .68                  | 2                        | .31             | .57                  | 12                       | .77**         | .76                  | 1                        |
| Personnel Management       | .56         | .73                  | 8                        | -.10            | .49                  | 19                       | .62           | .77                  | 13                       |
| Performance Under Pressure | .24         | .53                  | 6                        | .08             | .45                  | 20                       | .20           | .62                  | 10                       |
| Work Output                | .39         | .52                  | 2                        | .36             | .45                  | 6                        | .03           | .72                  | 19                       |
| Overall Rating             | .34         | .73                  | 8                        | .62**           | .66                  | 1                        | .53**         | .77                  | 4                        |

TABLE 4.3--Continued

|                            | PEER-ACTUAL |                      |                          | PEER-SELF |                      |                          | PEER-ALTSUPER |                      |                          |
|----------------------------|-------------|----------------------|--------------------------|-----------|----------------------|--------------------------|---------------|----------------------|--------------------------|
|                            | Val.        | High-<br>est<br>Het. | No.<br>Higher<br>Signif. | Val.      | High-<br>est<br>Het. | No.<br>Higher<br>Signif. | Val.          | High-<br>est<br>Het. | No.<br>Higher<br>Signif. |
| Self Management            | .36*        | .54                  | 1                        | .29       | .38                  | 1                        | .33*          | .58                  | 10                       |
| Work Administration        | .47*        | .58                  | 5                        | .29       | .71                  | 10                       | .65**         | .60                  | 0                        |
| Problem Analysis           | .33*        | .57                  | 8                        | .24       | .49                  | 3                        | .49**         | .70                  | 4                        |
| Decision Making            | .42**       | .59                  | 6                        | -.09      | .51                  | 11                       | .49**         | .64                  | 9                        |
| Speaking Ability           | .69**       | .58                  | 0                        | .26       | .38                  | 7                        | .71**         | .67                  | 0                        |
| Writing Ability            | .40**       | .52                  | 2                        | .14       | .33                  | 3                        | .46**         | .63                  | 3                        |
| Working Relationships      | .33*        | .52                  | 7                        | -.04      | .40                  | 20                       | .56**         | .75                  | 0                        |
| Work Leadership            | .06         | .57                  | 19                       | .06       | .71                  | 18                       | .62**         | .72                  | 5                        |
| Personnel Management       | -.01        | .60                  | 20                       | -.17      | .40                  | 14                       | .54*          | .75                  | 6                        |
| Performance Under Pressure | .17         | .40                  | 17                       | .04       | .39                  | 17                       | .68**         | .64                  | 0                        |
| Work Output                | .34*        | .45                  | 3                        | .20       | .40                  | 8                        | .59**         | .65                  | 0                        |
| Overall Rating             | .45**       | .54                  | 3                        | .06       | .42                  | 14                       | .69**         | .70                  | 0                        |

Note: Val. = value in validity diagonal

Highest Het. = highest heterotrait value

No. Higher Signif. = number of heterotrait values with higher significance than that of the validity diagonal

\*p ≤ 0.05

\*\*p ≤ 0.02

In terms of discriminate validity, Table 4.3 indicates three factors that definitely show significant validity. Speaking Ability shows the highest significance with its validity values having higher significance in 124 of the 132 comparisons. The other two factors which showed high discriminate validity were Writing Ability and Work Administration. Table 4.4 contains the summarized information for the heterotrait-monomethod comparison for the matrix for Form A in Appendix L. The only factor which indicated a significant degree of discriminate validity in the comparison of validity diagonals to the values in the rows and column entries of the heterotrait-monomethod triangles was Speaking Ability.

Considering all of the information available for the multitrait-multimethod matrix, Speaking Ability showed the strongest case for being considered a validated MPAS rating factor. To a lesser degree, Writing Ability and Work Administration can be established as validated factors. The rest of the factors on Form A (Professional) were not strongly validated by this data.

#### Acceptability

Since the acceptance of the MPAS by the employees would be reflected in the extent that the personnel believed the MPAS was a valid measurement of their promotability, the responses to questions from follow-up questionnaires, Studies Twenty-Four and Twenty-Six, were analyzed. In March of 1979, Study Twenty-Four was administered to 371 supervisors and Study Twenty-Six was administered to 1,077 employees rated on the MPAS rating forms. Copies of these studies are

TABLE 4.4

VALIDITIES OF TRAITS FOR FORM A (PROFESSIONAL) AS JUDGED  
BY THE MONOMETHOD COMPARISONS

|                            | SELF-ACTUAL |                      |                          | ALTSUPER-ACTUAL |                      |                          | ALTSUPER-SELF |                      |                          |
|----------------------------|-------------|----------------------|--------------------------|-----------------|----------------------|--------------------------|---------------|----------------------|--------------------------|
|                            | Val.        | High-<br>est<br>Het. | No.<br>Higher<br>Signif. | Val.            | High-<br>est<br>Het. | No.<br>Higher<br>Signif. | Val.          | High-<br>est<br>Het. | No.<br>Higher<br>Signif. |
| Self Management            | .26         | .70                  | 10                       | .10             | .70                  | 11                       | .30           | .85                  | 11                       |
| Work Administration        | .70*        | .84                  | 10                       | .55*            | .84                  | 10                       | .62**         | .76                  | 7                        |
| Problem Analysis           | -.08        | .86                  | 11                       | .36             | .86                  | 9                        | .14           | .89                  | 10                       |
| Decision Making            | .13         | .80                  | 11                       | .72**           | .80                  | 0                        | .38           | .86                  | 10                       |
| Speaking Ability           | .67**       | .73                  | 5                        | .58**           | .73                  | 4                        | .84**         | .77                  | 0                        |
| Writing Ability            | .48*        | .78                  | 8                        | .57**           | .78                  | 5                        | .55**         | .80                  | 8                        |
| Working Relationships      | .26         | .64                  | 11                       | .27             | .64                  | 11                       | .33           | .69                  | 10                       |
| Work Leadership            | .65*        | .89                  | 10                       | .31             | .79                  | 10                       | .77**         | .90                  | 6                        |
| Personnel Management       | .56         | .77                  | 6                        | -.10            | .77                  | 11                       | .62           | .75                  | 9                        |
| Performance Under Pressure | .24         | .82                  | 11                       | .08             | .82                  | 11                       | .20           | .82                  | 11                       |
| Work Output                | .39         | .83                  | 10                       | .36             | .74                  | 11                       | .03           | .85                  | 11                       |
| Overall Rating             | .34         | .90                  | 11                       | .62**           | .84                  | 11                       | .53**         | .84                  | 11                       |

TABLE 4.4—Continued

|                            | PEER-ACTUAL |                      |                          | PEER-SELF |                      |                          | PEER-ALTSUPER |                      |                          |
|----------------------------|-------------|----------------------|--------------------------|-----------|----------------------|--------------------------|---------------|----------------------|--------------------------|
|                            | Val.        | High-<br>est<br>Het. | No.<br>Higher<br>Signif. | Val.      | High-<br>est<br>Het. | No.<br>Higher<br>Signif. | Val.          | High-<br>est<br>Het. | No.<br>Higher<br>Signif. |
| Self Management            | .36*        | .70                  | 9                        | .29       | .85                  | 11                       | .33*          | .72                  | 11                       |
| Work Administration        | .47*        | .84                  | 10                       | .29       | .76                  | 11                       | .65**         | .77                  | 0                        |
| Problem Analysis           | .33*        | .86                  | 10                       | .24       | .87                  | 10                       | .49**         | .80                  | 9                        |
| Decision Making            | .42**       | .80                  | 7                        | -.09      | .86                  | 11                       | .49**         | .86                  | 11                       |
| Speaking Ability           | .69**       | .73                  | 0                        | .26       | .77                  | 10                       | .71**         | .73                  | 0                        |
| Writing Ability            | .40**       | .78                  | 6                        | .14       | .80                  | 10                       | .46**         | .71                  | 9                        |
| Working Relationships      | .33*        | .64                  | 10                       | -.04      | .69                  | 11                       | .56**         | .69                  | 0                        |
| Work Leadership            | .06         | .79                  | 11                       | .06       | .90                  | 11                       | .62**         | .87                  | 7                        |
| Personnel Management       | -.01        | .87                  | 11                       | -.17      | .87                  | 10                       | .54*          | .88                  | 8                        |
| Performance Under Pressure | .17         | .82                  | 11                       | .04       | .82                  | 11                       | .68**         | .80                  | 0                        |
| Work Output                | .34*        | .77                  | 11                       | .20       | .85                  | 11                       | .59**         | .79                  | 0                        |
| Overall Rating             | .45**       | .88                  | 11                       | .06       | .88                  | 11                       | .69**         | .84                  | 0                        |

Note: Val. = value in validity diagonal

Highest Het. = highest heterotrait value

No. Higher Signif. = number of heterotrait values with higher significance than that of the validity diagonal

\*p ≤ 0.05

\*\*p ≤ 0.02

shown in Appendices I and J. Table 4.5 shows the responses to questions that addressed the respondents' perception of the validity of the MPAS. Validity in this case means that the rating system measures what it was intended to measure. Table 4.5 also shows a comparison of the responses to similar questions on a 1978 follow-up questionnaire. Since the 1978 questionnaires were administered at separate times to AFWAL and ASD, the results shown for the 1978 questionnaire were computed for all respondents at one time. For example, since the AFIT Technical report (20) shows that fifty-nine percent, or forty-one, of the supervisor respondents for ASD chose Personnel Management and EEO Commitment as difficult to rate and twenty-six percent, or twenty-four, of the supervisor respondents for AFWAL indicated the same factor, Table 4.5 indicates that forty percent, or 65 divided by 161 times 100, of the total supervisor respondents indicate Personnel Management and EEO Commitment as difficult to rate.

TABLE 4.5

## PERCEIVED VALIDITY

Question 14 (Study 26). Which two factors did you find most difficult to understand in terms of why you received a given rating?

Question 48 (Study 24). Which two factors did you find most difficult to rate?

|  | % Indicating Factor |            |      |            |
|--|---------------------|------------|------|------------|
|  | 1978                |            | 1979 |            |
|  | S&E                 | Supervisor | S&E  | Supervisor |
| A. Self Management                       | 11                  | 9          | 9    | 13         |
| B. Work Administration                   | 13                  | 20         | 8    | 8          |
| C. Problem Analysis                      | 11                  | 12         | 7    | 10         |
| D. Decision Making                       | 13                  | 14         | 6    | 10         |
| E. Speaking Ability                      | 10                  | 6          | 5    | 3          |
| F. Writing Ability                       | 11                  | 3          | 5    | 3          |
| G. Working Relationship                  | 12                  | 2          | 7    | 4          |
| H. Work Leadership                       | 15                  | 15         | 5    | 6          |
| I. Personnel Management & EEO Commitment | 18                  | 40         | 13   | 15         |
| J. Performance Under Pressure            | 11                  | 7          | 9    | 8          |
| K. Work Output                           | 10                  | 6          | 7    | 6          |

Question 25 (Study 26). In your experience, do you think the Merit appraisal ratings were performed with conscientious use of the factor definition and rating steps in the new form?

|     |                             | % Indicating Response |      |
|-----|-----------------------------|-----------------------|------|
|     |                             | 1978                  | 1979 |
| 1/2 | Definitely not/Probably not | 40                    | 30   |
| 3/4 | Probably yes/Definitely yes | 60                    | 69   |

Question 26 (Study 26). Based on the wording of the scale steps, do you think the ratings you received on the new merit appraisal form should have been:

|     |                    | % Indicating Response |      |
|-----|--------------------|-----------------------|------|
|     |                    | 1978                  | 1979 |
| 1/2 | Much lower/Lower   | 7                     | 6    |
| 3   | Same               | 55                    | 55   |
| 4/5 | Higher/Much higher | 37                    | 39   |

TABLE 4.5--Continued

Question 27 (Study 26). Compared to what you think other people's ratings may have been, do you think the ratings you received on the new merit appraisal form should have been:

|     |                    | % Indicating Response |             |
|-----|--------------------|-----------------------|-------------|
|     |                    | <u>1978</u>           | <u>1979</u> |
| 1/2 | Much lower/Lower   | 2                     | 1           |
| 3   | Same               | 50                    | 47          |
| 4/5 | Higher/Much higher | 48                    | 52          |

In both the 1978 and 1979 studies, the one factor that the employees indicate is difficult to understand or rate is the Personnel Management & EEO Commitment factor. All of the factors for employees rated on the forms decrease in percentage from 1978 to 1979. This general decline seems to indicate that the employees were gaining knowledge of and confidence in the system.

Analysis of the 1979 responses to Questions 25, 26, and 27 reveals that approximately one-third to one-half of the employees doubted the correctness of the ratings they received. These percentages are almost identical to the 1978 responses.

Table 4.6 presents the results of the responses to questions on the 1979 follow-up questionnaires pertaining to the overall reaction of the respondents to the MPAS. Also included in Table 4.6 are the results of the response to similar questions on the 1978 follow-up questionnaires.

TABLE 4.6

## OVERALL REACTION

Question 23 (Study 26). How much impact do you think numerical ratings given on the appraisal form have on your personal progress?

Question 37 (Study 24). How much impact do you think numerical ratings given on the appraisal forms have on whether an employee is promoted?

|     |                    | % Indicating Response |                   |                |                   |
|-----|--------------------|-----------------------|-------------------|----------------|-------------------|
|     |                    | 1978                  |                   | 1979           |                   |
|     |                    | <u>S&amp;E</u>        | <u>Supervisor</u> | <u>S&amp;E</u> | <u>Supervisor</u> |
| 1/2 | Very little/Little | 55                    | 44                | 49             | 31                |
| 3   | Some               | 30                    | 46                | 30             | 37                |
| 4   | A great deal       | 15                    | 9                 | 21             | 31                |

Question 32 (Study 26). Taken on the whole, what is your reaction to the new merit promotion appraisal form?

|    |  | % Indicating Response |             |
|----|--|-----------------------|-------------|
|    |  | <u>1978</u>           | <u>1979</u> |
| 1. | I dislike the new form.                              | 9                     | 4           |
| 2. | I have a somewhat negative reaction to the new form. | 27                    | 11          |
| 3. | I feel neutral about the new form.                   |                       | 52          |
| 4. | I have a somewhat positive reaction to the new form. | 55                    | 28          |
| 5. | I am very positively impressed by the new form.      | 8                     | 4           |

In both the 1978 and 1979 studies, the supervisors seemed more impressed with the impact of the rating forms than the employees rated on these forms. But the employees are becoming more aware of the importance of the MPAS ratings. This fact is indicated by the increase in the percentage of employees who indicated the ratings on the forms would have an effect on their progress.

The decrease in the percentage of respondents that indicated an overall negative reaction to the merit promotion appraisal form in Question 32 may be attributed to the addition of the added response of neutrality. Response number three may have absorbed some of the borderline negative reactions as well as the borderline positive reactions. In 1979 questionnaires, the extreme responses of number one and five are approximately half the percentage of responses for 1978 questionnaires.

Information obtained from Question 32 has a questionable value in determining the acceptability of the MPAS to employees. The responses to the questions in Tables 4.5 and 4.6 indicated that the employees are becoming more aware of the importance of the MPAS to their personal advancement and are gaining more knowledge of the MPAS and its forms. The responses to Questions 25 through 27 indicate there is still some doubt that ratings received were correct.

#### Summary

The analysis of the results of this research indicates that the initial implementation of the MPAS did have the effect of increasing the variance in the ratings. But over the intervening years, the ratings have steadily returned to an inflated status.

Further analysis indicated that even though there is some indication of the validity of the overall ratings and the factors used in the MPAS, the amount of missing information in the data files causes considerable risk in interpretation of the results.

Finally, the analysis of the results of follow-up questionnaires indicated that the employees rated under the MPAS were accumulating a greater understanding of the MPAS, both the forms and their uses. Indication was still noticed of an uneasiness as to the correctness of ratings received by the employees.

The analysis of Chapter 4 has included specific conclusions for each subobjective as each was addressed. Chapter 5 contains a summary of the more significant conclusions, as well as recommendations.

## CHAPTER 5

### CONCLUSIONS AND RECOMMENDATIONS

#### Overview

In the preceding chapters the subject of the strengths and weaknesses of the MPAS was addressed. Some sub-objectives were stated as research goals. The plan to research answers was then described. The results of the research plan were presented and analyzed. This chapter summarizes the findings and conclusions of this research and offers recommendations for future actions.

#### Conclusions

The trend analysis indicates a definite increase in variance—less inflated ratings—upon implementation of the MPAS. The picture at implementation was clouded by the unofficial guidelines for rating over the same period of time. Trend analysis also shows that the MPAS returned to inflated ratings over a two to three year time period. This trend toward inflated ratings is probably caused by two factors: (1) pressure felt by supervisors to give their employees a high rating to make them competitive for jobs and (2) lack of feedback to raters as to whether their performance as raters is acceptable.

The validity of the overall ratings was confirmed to a degree. Also the convergent and discriminate validity of some of the factors, most notably the Speaking Ability factor, was strongly supported.

Missing data from the data base for the validity research was a big problem in the interpretation of the results.

The final major conclusion was that the employees, as could be expected, are gaining more insight into the workings of the MPAS. There were indications from the research on the 1978-79 follow-up questionnaires that the perceived validity (does it measure what it says it will measure) of the MPAS has been on the increase. There were also indications that a large number of the employees still do not accept the rating received under the MPAS as correct, a finding which is perhaps not unexpected.

#### Recommendations

To perform a multitrait-multimethod matrix analysis of the convergent and discriminate validity of the rating factors of the MPAS, the necessary questionnaires (ones very similar to the ones in Appendices D, E, F, and G used to collect data for this research) should be administered to a larger cross section of the work force at ASD. In addition, a very close follow-up of the questionnaires should be used to ensure less missing data for research purposes. The value of the whole approach depends upon an adequate sampling of the target employees. Follow-up research using the more adequate data base obtained from the questionnaires and the multitrait-multimethod matrix analysis would be very useful in determining if the individual rating factors in the MPAS are valid. Also, a more adequate data base would enable the analysis of the technical (Form B) and clerical (Form C) forms for convergent and discriminate validity.

### Summary

Even though this research was somewhat inconclusive, some useful information was obtained. To effectively operate a complex organization like ASD, it is imperative there be an effective instrument to measure job performance and promotability. Once a measuring instrument acceptable and valid to employees has been proven effective, improved management of our most precious of resources (people) can be accomplished. The MPAS was designed to accomplish this purpose and was apparently successful in the first year or two of implementation. It appeared to have a fair level of acceptance and validity. But the downfall of so many appraisal systems—inflationary pressures—appears to have seriously weakened the MPAS.

APPENDICES

APPENDIX A  
MERIT PROMOTION APPRAISAL SYSTEM  
RATING FORM A (PROFESSIONAL)

MERIT PROMOTION APPRAISAL SYSTEM

FORM A

|                                      |                                    |
|--------------------------------------|------------------------------------|
| NAME (Last - First - Middle Initial) | DATE OF APPRAISAL                  |
| ORGANIZATION (To lowest level)       | PERIOD OF SUPERVISION              |
| POSITION (Title - Series - Grade)    | FROM                               |
|                                      | TO                                 |
|                                      | NAME/TITLE OF IMMEDIATE SUPERVISOR |
|                                      | NAME/TITLE OF REVIEWING SUPERVISOR |

INSTRUCTIONS FOR COMPLETING SUPERVISORY APPRAISAL  
RETURN TO ASD/DPCE

The Air Force Merit Promotion Program requires the immediate or first level supervisor to complete an appraisal on each employee supervised. This Supervisory Appraisal system has been designed to help the supervisor make and record the required merit promotion appraisal.

*Steps in completing the form:*

1. Supervisor enters the required data on the top of this page.
2. Supervisor reviews each factor and determines the proper rating as discussed in the next section. Circle the proper step in the box on page # 2. Circle N/A if a rating factor is not applicable.
3. Have the appraisal reviewed by the next higher level supervisor; resolve differences; both supervisors sign and date the form in the space provided on page # 2.
4. Show and discuss the appraisal with the employee; have the employee also sign on page # 2.
5. If the employee does not already have a copy of ASD Form 387, please give them one.
6. Complete the card punch data required as noted in the instructions on page # 2.
7. Tear off pages 1 and 2 and send to ASD/DPCE, unless given other instructions.

*Rating Employee Potential:*

Each of the eleven Merit Promotion Appraisal factors consists of three parts:

1. A basic factor definition found in the first sentence of the definition;
2. Subfactors in the remainder of the definition which represent activities related to the basic factor definition; and
3. A seven step rating scale.

As an example, consider Factor 1 - Self Management. This factor relates to how well the employee organizes, schedules, and accomplishes own work. *Self Management* includes such subfactors as the use of resources, setting priorities, coping with change, assuming responsibility, and amount of supervision required. Some assignments may not allow the employee to display performance in all five of these subfactors. Some work assignments may involve performance related to Self Management, but not specifically covered by any of the subfactors. The supervisor must decide which aspects of the employee's performance are in the basic factor definition and should be included in the rating.

The supervisor's rating of the employee's potential must be based on his or her knowledge of the employee's current performance. In accordance with CSC regulations, the Merit Promotion Appraisal factors have been carefully designed to focus on elements of the employee's job which are important for success in higher-level work.

When rating the employee's potential, the supervisor should give appropriate consideration to the complexity and diversity of the work required at the employee's grade level. For example, proficiency at work of a particular level of complexity and diversity might indicate high potential for a G.S. 7 Engineer. However, this same level of proficiency would indicate low potential for the job of a G.S. 13 Engineer.

The task of the supervisor, in using the Merit Promotion Appraisal Factors, is to rate on a scale of seven steps the employee's potential for success in higher level work. Scale steps One, Four and Seven provide examples of low, average and high levels of performance for some of the subfactors. Steps Two, Three, Five and Six represent intermediate degrees of potential.

Continuing with Factor 1 - Self Management, as an example:

**Step 1. Low Potential** - The employee is able to organize and schedule routine work adequately, but usually requires supervisory assistance in organizing more difficult work and in setting priorities. Supervisory intervention is required to insure either completion of the effort or stopping the effort before the point of diminishing returns.

Continued on page 3

**SUMMARY  
OF THE MERIT PROMOTION APPRAISAL**

**INSTRUCTIONS FOR COMPLETION OF APDS CARD DATA**

1. Blocks 6-7 Include First Two Letters of Employees Last Name
2. Blocks 8-16 Employees Social Security Account Number (SSAN)
3. Blocks 22-27 The Date of Discussion of Rating with Employee...  
Year - Month - Day
4. Blocks 44-54/56-66 Supervisors SSAN
5. Blocks 55-67 Identify Military (M) or Civilian (C)

**FACTOR NUMBER**

|     |     |     |     |     |     |     |     |     |     |     |
|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|
| 1   | 2   | 3   | 4   | 5   | 6   | 7   | 8   | 9   | 10  | 11  |
| N/A |
| 7   | 7   | 7   | 7   | 7   | 7   | 7   | 7   | 7   | 7   | 7   |
| 6   | 6   | 6   | 6   | 6   | 6   | 6   | 6   | 6   | 6   | 6   |
| 5   | 5   | 5   | 5   | 5   | 5   | 5   | 5   | 5   | 5   | 5   |
| 4   | 4   | 4   | 4   | 4   | 4   | 4   | 4   | 4   | 4   | 4   |
| 3   | 3   | 3   | 3   | 3   | 3   | 3   | 3   | 3   | 3   | 3   |
| 2   | 2   | 2   | 2   | 2   | 2   | 2   | 2   | 2   | 2   | 2   |
| 1   | 1   | 1   | 1   | 1   | 1   | 1   | 1   | 1   | 1   | 1   |

|           |   |               |   |          |   |                    |   |
|-----------|---|---------------|---|----------|---|--------------------|---|
| LAST NAME |   | EMPLOYEE SSAN |   | FORM NO. |   | DATE OF DISCUSSION |   |
| 1         | 2 | 3             | 4 | 5        | 6 | 7                  | 8 |
| U         | I | Z             | C | A        | 6 | 7                  |   |
| 1         | 2 | 3             | 4 | 5        | 6 | 7                  | 8 |
| 7         | 7 | 7             | 7 | 7        | 7 | 7                  | 7 |
| 6         | 6 | 6             | 6 | 6        | 6 | 6                  | 6 |
| 5         | 5 | 5             | 5 | 5        | 5 | 5                  | 5 |
| 4         | 4 | 4             | 4 | 4        | 4 | 4                  | 4 |
| 3         | 3 | 3             | 3 | 3        | 3 | 3                  | 3 |
| 2         | 2 | 2             | 2 | 2        | 2 | 2                  | 2 |
| 1         | 1 | 1             | 1 | 1        | 1 | 1                  | 1 |

|                       |           |                          |  |
|-----------------------|-----------|--------------------------|--|
| DATES                 |           | SIGNATURE OF SUPERVISORS |  |
| REVIEWING             | IMMEDIATE |                          |  |
| SIGNATURE OF EMPLOYEE |           | SIGNATURE OF SUPERVISORS |  |
|                       |           |                          |  |

THIS APPRAISAL, COMPLETED BY MY SUPERVISOR, WAS SHOWN TO ME AND ITS CONTENTS DISCUSSED WITH ME.

DATE

- Step 4. Average Potential - The employee is adaptable to changing conditions and unforeseen events in organizing and scheduling routine work. The supervisor occasionally assists the employee in planning for more difficult work. The employee takes considerable initiative for managing own final work through completion.
- Step 7. High Potential - The employee's organization of work always results in the most efficient use of time. Is very adaptable to constantly changing workloads and unpredictable contingencies, adjusting priorities accordingly, and the supervisor is never required to revise the employee's plans. Assumes full responsibility for all aspects of assigned tasks, assuring that the output meets the needs of the requestor.

One of two approaches can be taken in rating an employee on a given factor. One approach is to consider the factor as a whole and rate the employee's performance relative to the basic factor definition based on your overall impression. Using this approach, you would decide between a rating at Step 2 and a rating at Step 3 by simply looking at Step 1 and 4 and deciding whether the employee is closer to being just above Step 1 or just below Step 4.

A second approach is to rate the employee on each of the subfactors which apply and then average these ratings. Let us consider a very simplified example of how two employees might be rated on Self Management using this approach. The first employee is reasonably adaptable to changing conditions but has never produced a finished product without major supervisory intervention. The second employee is reasonably adaptable to changing conditions, has never needed a push to get the job finished, but often times needs assistance in deciding which of several tasks deserves most of his or her attention. The two employees would be rated as follows:

| <u>Employee I</u>  |         |                             |
|--|---------|-----------------------------|
| Employee Behavior  | Scale   | Step                        |
| Reasonably adaptable to changing conditions                              | 4       |                             |
| Never produced a finished product without major supervisory intervention | 1       |                             |
|  | Average | $\frac{1}{2 \text{ or } 3}$ |

| <u>Employee II</u>   |         |                             |
|--|---------|-----------------------------|
| Employee Behavior  | Scale   | Step                        |
| Reasonably adaptable to changing conditions  | 4       |                             |
| Never needed a push to get the job finished  | 7       |                             |
| Often needed assistance in deciding which of several tasks deserved most of his or her attention | 3       |                             |
|  | Average | $\frac{3}{4 \text{ or } 5}$ |

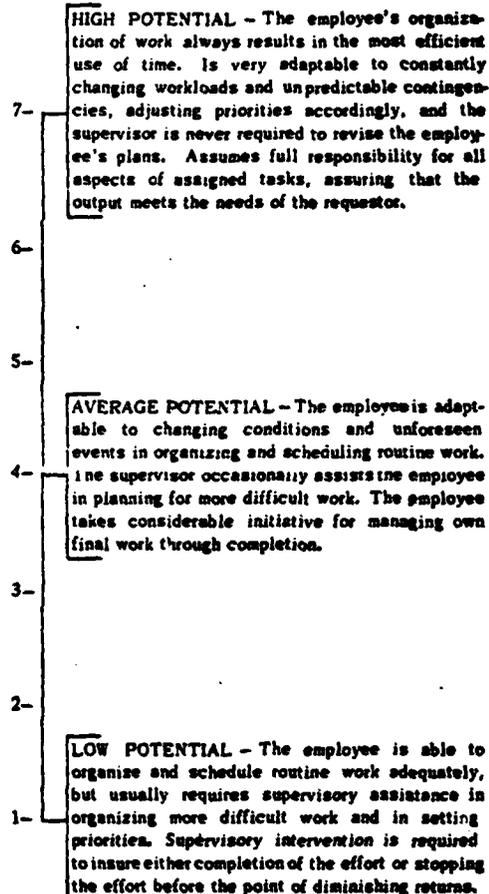
As noted earlier, the performance rated may include aspects related to the basic factor definition, but not specifically covered by any of the subfactors.

Whichever rating method is used, the supervisor must arrive at a single rating for each factor which represents his or her best judgement of the employee's potential for success in higher level work, relative to each basic factor definition. Furthermore, the supervisor must be prepared to explain to the employee, using specific examples of the employee's job performance, why the employee was rated as he/she was.

#### FACTOR 1 - SELF MANAGEMENT

This factor evaluates the employee's potential for promotion based upon how well the employee organizes, schedules, and accomplishes his/her own work. Self management includes such areas as the use of available resources; setting priorities among activities; coping with changing conditions and unforeseen events; assuming responsibility for the completion of one's own work; and the amount supervision required.

#### STEPS



**FACTOR 2 - WORK ADMINISTRATION**  
*(Supervisors/Managers and other designated employees\*)*

This factor evaluates the employee's potential for promotion based upon how well the employee organizes and schedules the work of others. Work administration includes such areas as handling the impact of new and unanticipated work on present work and coping with changing conditions and unforeseen events; establishing goals and milestones for others and delegating authority; tracking and managing positions, manpower, and other resources; establishing and changing work priorities; and assuming responsibility for the work of others.

**STEPS**

- 7- **HIGH POTENTIAL** - The employee organizes and schedules resources such that new or unanticipated work can be accommodated with minimum impact on other work needs. Goals, schedules, and milestones are optimally established and achieved within the group. Overall work administration is such as to maximize subordinates' productivity.
- 6-
- 5-
- 4- **AVERAGE POTENTIAL** - The employee adequately administers new and unanticipated work. Establishes realistic goals, schedules, and priorities for subordinates. Effectively manages resources. Recognizes the need for additional resources (manpower, time, dollars) before programs are adversely impacted.
- 3-
- 2-
- 1- **LOW POTENTIAL** - The employee adequately administers planned work but has difficulty with new or unanticipated work. Often fails to establish realistic goals and schedules for subordinates, unnecessarily changes individual assignments, and frequently does jobs himself rather than delegate to subordinates. Does not clearly establish priorities for the group.

\*Employees designated by the rater and by the reviewing supervisor as having some form of responsibility for the work of others.

**FACTOR 3 - PROBLEM ANALYSIS**

This factor evaluates the employee's potential for promotion based upon how well the employee identifies problems and proposes solutions. Problem analysis includes such areas as isolating problems by major factors; collecting relevant background data; and proposing solutions which consider the important trade offs; and utilizing innovative approaches when necessary. *(Deciding among alternative solutions is not included in this factor.)*

**STEPS**

- 7- **HIGH POTENTIAL** - The employee quickly and accurately recognizes which problems are the most complex or unprecedented, and identifies the novel or unique factors which must be considered for a solution. Is alert to alternate approaches, recognizes novel relationships between the factors, and proposes comprehensively optimized solutions. Frequently proposes useful unique or innovative approaches, but does not propose complex solutions to simple problems.
- 6-
- 5-
- 4- **AVERAGE POTENTIAL** - The employee identifies problems and clarifies them by isolating most critical or major factors. Collects the required data and proposes solutions which consider most of the important trade offs with little supervisory assistance. Will occasionally suggest unanticipated or innovative approaches to solving problems.
- 3-
- 2-
- 1- **LOW POTENTIAL** - The employee is able to analyze and propose acceptable solutions for routine problems, but requires frequent assistance for more difficult problems. Shows little creativity or innovation.

**FACTOR 4 - DECISION MAKING**  
*(Supervisors/Managers and other designated employees\*\*)*

This factor evaluates the employee's potential for promotion based upon how well the employee evaluates solutions (own or others') and makes decisions. Decision making includes such areas as considering pertinent decision factors; recognizing significant effects of proposed solutions; recognizing when problem analysis and solution generation has been adequate; and being able to make decisions in a timely manner.

**STEPS**

- 7- HIGH POTENTIAL - Whether routine, complex or controversial, the employee thoroughly reviews various possible solutions to problems/issues and evaluates the tradeoffs and possible impacts of the different alternatives. Recognizes when unique possibilities may have been neglected and if a decision should be delayed for further problem analysis. Consistently selects the most appropriate course of action in a timely manner.
- 5- AVERAGE POTENTIAL - For most problems the employee reviews the various solutions proposed, evaluates all reasonable trade offs and possible impacts of the different alternatives, recognizes inadequacies in existing problem analysis and solutions. Makes timely and adequate decisions.
- 1- LOW POTENTIAL - The employee evaluates possible solutions to routine problems, considering relevant alternatives and normally makes acceptable decisions on time. In complex or controversial areas, is often reluctant to make a decision or makes poor decisions.

**FACTOR 5 - SPEAKING ABILITY**

This factor evaluates the employee's potential for promotion based upon ability to express ideas when speaking. Speaking ability includes such areas as being concise, clear and well organized; expressing ideas appropriately for the audience; and being persuasive.

**STEPS**

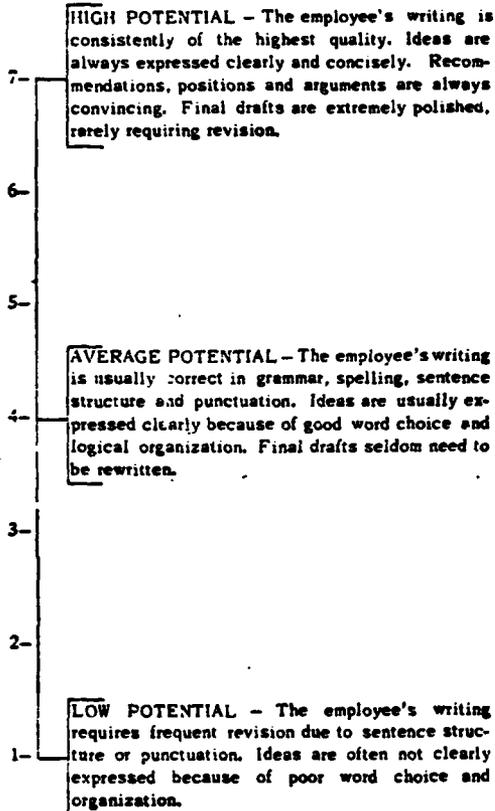
- 7- HIGH POTENTIAL - The employee gives clear, concise, thorough, well organized and smoothly flowing briefings in a confident manner that is almost always appropriate for the audience. Presents an air of confidence, can persuade a critical audience, handles interruptions and difficult questions well, and encourages surfacing of key issues. Is equally effective during informal discussions or formal briefings.
- 4- AVERAGE POTENTIAL - The employee's briefings progress smoothly, are usually appropriate for the audience, and are delivered in a confident manner. Usually handles interruptions and difficult questions well.
- 1- LOW POTENTIAL - The employee sometimes has difficulty expressing ideas in a clear and well-organized manner, in conversation or in informal briefings. Has difficulty answering straight-forward questions adequately and sometimes appears ill-at-ease.

\*\*Employees designated by the rater and by the reviewing supervisor as having some form of decision making responsibility.

## FACTOR 6 - WRITING ABILITY

This factor evaluates the employee's potential for promotion based upon ability to express ideas in writing. Writing ability includes such areas as being concise, clear and well organized; being grammatically correct; expressing ideas appropriately for the reader; and being persuasive.

### STEPS

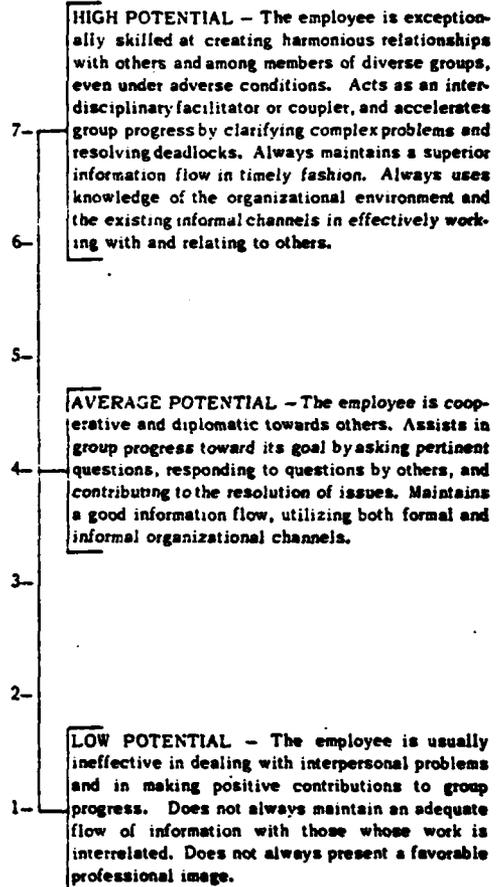


ASD FORM 387

## FACTOR 7 - WORKING RELATIONSHIPS

This factor evaluates the employee's potential for promotion based upon how well the employee works with other people, both individually and in groups. Working relationships include such areas as working with supervisors, peers, subordinates, support and staff personnel, and others such as contractor representatives; keeping others informed of work status and changes that relate to their activities; facilitating and stimulating multi-number or interdisciplinary activity; and behaving in a professional manner.

### STEPS



PAGE 8 OF 8 PAGES

**FACTOR 8 - WORK LEADERSHIP**  
(Supervisors/Managers and other designated employees\*)

This factor evaluates the employee's potential for promotion based upon how well the employee influences and motivates subordinates or other personnel to work effectively, both individually and in teams. Work leadership includes such areas as monitoring the work of other employees; providing guidance to them; giving them understanding of overall goals; and providing opportunities for participation.

**STEPS**

|   |   |
|---|---|
| 7 | <b>HIGH POTENTIAL</b> - The employee gains a very high level of respect and confidence from subordinates and accepts total responsibility for their efforts. Insures that everyone understands how their work relates to larger organizational goals and maximizes the opportunity for all to contribute. Review: subordinates' work and deals effectively with subordinates whose output ranges from outstanding to very marginal. Stimulates enthusiasm, creativity, and effective self management. |
| 6 |   |
| 5 |   |
| 4 | <b>AVERAGE POTENTIAL</b> - The employee normally gains respect and confidence from subordinates and accepts responsibility for their efforts. Reviews their work and provides meaningful guidance. Guidance is often sought out. Leads routine group efforts well and non-routine efforts adequately.   |
| 3 |   |
| 2 |   |
| 1 | <b>LOW POTENTIAL</b> - The employee has little beneficial influence on subordinates and sometimes avoids responsibility for their efforts. Usually accepts responsibility for routine group tasks, but avoids responsibility for complex or controversial tasks.  |

\*\*Employees designated by the rater and by the reviewing supervisor as having some form of responsibility for the work of others.

**FACTOR 9 - PERSONNEL MANAGEMENT & EEO COMMITMENT**  
(Supervisors/Managers\*)

This factor evaluates the employee's potential for promotion based upon how well the employee carries out personnel management responsibilities. Personnel management includes such areas as recruiting candidates; filling positions on the basis of merit; encouraging and assisting subordinates to set and pursue their career goals; encouraging and assisting employees' training and career development; giving valid performance ratings and counseling; and securing recognition for deserving subordinates or taking corrective actions for inadequate performance. EEO and Affirmative Action are elements of all personnel management responsibilities.

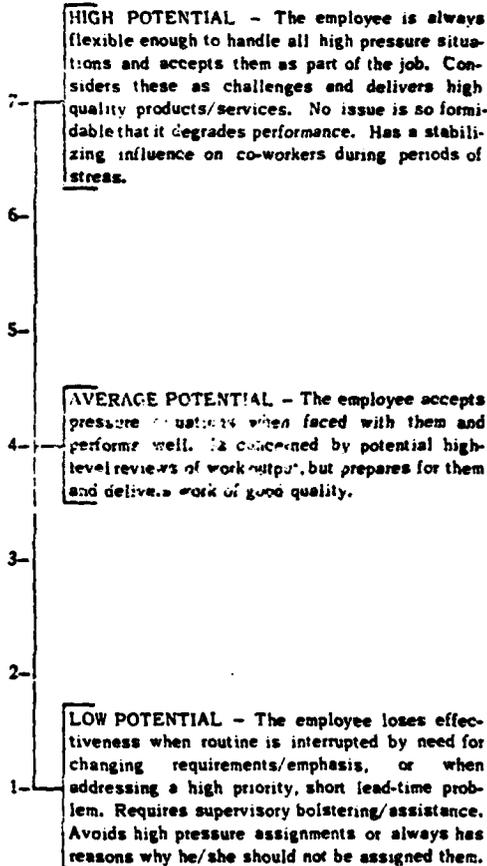
**STEPS**

|   |  |
|---|--|
| 7 | <b>HIGH POTENTIAL</b> - The employee aggressively searches for outstanding candidates to fill open positions, from both inside and external to the organization. Actively identifies subordinates' training needs and encourages subordinates' professional growth and career progression. Provides frequent counseling, guidance and performance feedback. Either motivates a poor performer to do better work or takes appropriate corrective action. Aggressively utilizes all available forms of recognition to reward outstanding performers. Actively supports organization's Affirmative Action Plan. |
| 6 |  |
| 5 | <b>AVERAGE POTENTIAL</b> - The employee adequately fills open positions on the basis of the candidates' merit. Is alert to training opportunities for subordinates and encourages their participation. Conducts required appraisals and provides adequate subordinate counseling. Secures recognition for really outstanding performers and takes appropriate correction action for noticeably poor performers. Actively supports the requirements of the organization's Affirmative Action Plan.  |
| 4 |  |
| 3 |  |
| 2 | <b>LOW POTENTIAL</b> - Employee superficially evaluates qualifications of candidates when filling open positions. Attaches low priority to subordinates' career goals, training, growth and professional progression, but will usually agree to subordinates' self-initiated training plans. Must be pushed by supervisor to accomplish required appraisals and seldom provides adequate counseling. Almost never seems to have the time required to secure recognition for outstanding performers. Passively supports organization's Affirmative Action Plan.   |
| 1 |  |

**FACTOR 10 - PERFORMANCE UNDER PRESSURE**

This factor evaluates the employee's potential for promotion based on how well the employee's usual performance is maintained under pressure. Sources of pressure include time and/or resource constraints; changing conditions; high level visibility; unclear task requirements; and other adverse conditions.

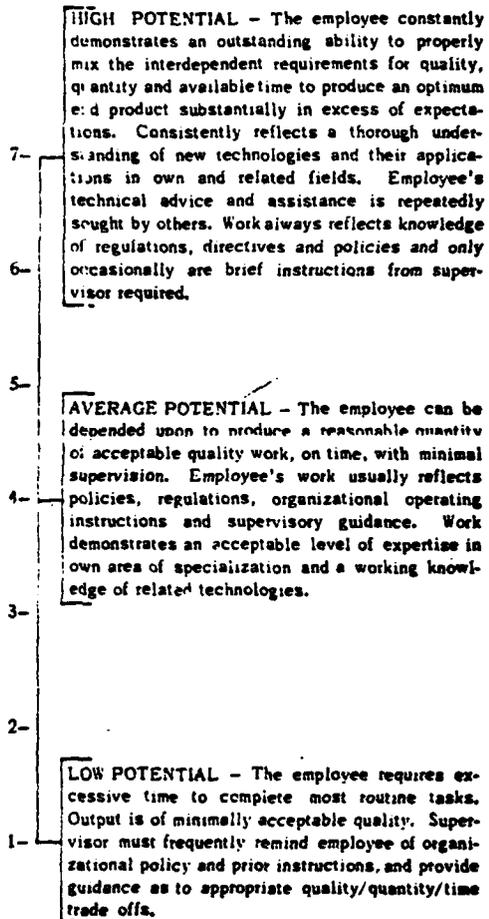
**STEPS**



**FACTOR 11 - WORK OUTPUT**

This factor evaluates the employee's potential for promotion based upon total work output. Work output includes quality, quantity, and timeliness. It also includes compliance with relevant regulations, directives, policies, and instructions and deadlines from supervisors. Quality includes the extent to which the work demonstrates use of basic technical/professional knowledge and appropriate new developments in the employee's field and related fields.

**STEPS**



APPENDIX B  
MERIT PROMOTION APPRAISAL SYSTEM  
RATING FORM B (TECHNICAL)

**MERIT PROMOTION APPRAISAL SYSTEM  
FORM B**

|                                      |
|--------------------------------------|
| NAME (Last - First - Middle Initial) |
| ORGANIZATION                         |
| POSITION                             |

|                                      |    |
|--------------------------------------|----|
| DATE OF APPRAISAL                    |    |
| PERIOD OF SUPERVISION                |    |
| FROM                                 | TO |
| NAME / TITLE OF IMMEDIATE SUPERVISOR |    |
| NAME / TITLE OF REVIEWING SUPERVISOR |    |

**INSTRUCTIONS FOR COMPLETING SUPERVISORY APPRAISAL**

The Air Force Merit Promotion Program requires the immediate or first level supervisor to complete an appraisal on each employee supervised. This Supervisory Appraisal system has been designed to help the supervisor make and record the required merit promotion appraisal.

*Steps in completing the form:*

1. Supervisor enters the required data on the top of this page.
2. Supervisor reviews each factor and determines the proper rating as discussed in the next section. Circle the proper step in the box on page #2. Circle N/A if a rating factor is not applicable.
3. Have the appraisal reviewed by the next higher level supervisor; resolve differences; both supervisors sign and date the form in the space provided on page #2.
4. Show and discuss the appraisal with the employee, have the employee also sign on page #2.
5. Complete the card punch data required as noted in the instructions on page #2.
6. Tear off pages 1 and 2 and send to ASD/DPCE, unless given other instructions.

*Rating Employee Potential:*

Each of the eleven Merit Promotion Appraisal Factors consists of three parts:

1. A basic factor definition found in the first sentence of the definition;
2. Subfactors in the remainder of the definition which represent activities related to the basic factor definition; and
3. A seven step rating scale.

As an example, consider Factor 1 - Self Management. This factor relates to how well the employee organizes, schedules, and accomplishes own work. Self Management includes such subfactors as the use of resources, setting priorities, coping with change, assuming responsibility, and amount of supervision required. Some assignments may not allow the employee to display performance in all five of these subfactors. Some work assignments may involve performance related to Self Management, but not specifically covered by any of the subfactors. The supervisor must decide which aspects of the employee's performance are in the basic factor definition and should be included in the rating.

The supervisor's rating of the employee's potential must be based on his or her knowledge of the employee's current performance. In accordance with CSC regulations, the Merit Promotion Appraisal factors have been carefully designed to focus on elements of the employee's job which are important for success in higher-level work.

When rating the employee's potential, the supervisor should give appropriate consideration to the complexity and diversity of the work required at the employee's grade level. For example, proficiency at work of a particular level of complexity and diversity might indicate high potential for a G.S. 7 Engineer. However, this same level of proficiency would indicate low potential for the job of a G.S. 13 Engineer.

The task of the supervisor, in using the Merit Promotion Appraisal Factors, is to rate on a scale of seven steps the employee's potential for success in higher level work. Scale steps One, Four and Seven provide examples of low, average and high levels of performance for some of the subfactors. Steps Two, Three, Five and Six represent intermediate degrees of potential.

Continuing with Factor 1 - Self Management, as an example:

- Step 1. Low Potential** - The employee is able to organize and schedule routine work adequately, but usually requires supervisory assistance in organizing more difficult work and in setting priorities. Supervisory intervention is required to insure either completion of the effort or stopping the effort before the point of diminishing returns.



**Step 4. Average Potential** - The employee is adaptable to changing conditions and unforeseen events in organizing and scheduling routine work. The supervisor occasionally assists the employee in planning for more difficult work. The employee takes considerable initiative for managing own final work through completion.

**Step 7. High Potential** - The employee's organization of work always results in the most efficient use of time. Is very adaptable to constantly changing workloads and unpredictable contingencies, adjusting priorities accordingly, and the supervisor is never required to revise the employee's plans. Assumes full responsibility for all aspects of assigned tasks, assuring that the output meets the needs of the requestor.

One of two approaches can be taken in rating an employee on a given factor. One approach is to consider the factor as a whole and rate the employee's performance relative to the basic factor definition based on your overall impression. Using this approach, you would decide between a rating at Step 2 and a rating at Step 3 by simply looking at Steps 1 and 4 and deciding whether the employee is closer to being just above Step 1 or just below Step 4.

A second approach is to rate the employee on each of the subfactors which apply and then average these ratings. Let us consider a very simplified example of how two employees might be rated on Self Management using this approach. The first employee is reasonably adaptable to changing conditions but has never produced a finished product without major supervisory intervention. The second employee is reasonably adaptable to changing conditions, has never needed a push to get the job finished, but often times needs assistance in deciding which of several tasks deserves most of his or her attention. The two employees would be rated as follows:

| <u>Employee I</u>  |               |      |
|--|---------------|------|
| Employee Behavior  | Scale         | Step |
| Reasonably adaptable to changing conditions                              | 4             |      |
| Never produced a finished product without major supervisory intervention | 1             |      |
| <b>Average</b>   | <b>2 or 3</b> |      |

| <u>Employee II</u>   |               |      |
|--|---------------|------|
| Employee Behavior  | Scale         | Step |
| Reasonably adaptable to changing conditions  | 4             |      |
| Never needed a push to get the job finished  | 7             |      |
| Often needed assistance in deciding which of several tasks deserved most of his or her attention | 3             |      |
| <b>Average</b>   | <b>4 or 5</b> |      |

As noted earlier, the performance rated may include aspects related to the basic factor definition, but not specifically covered by any of the subfactors.

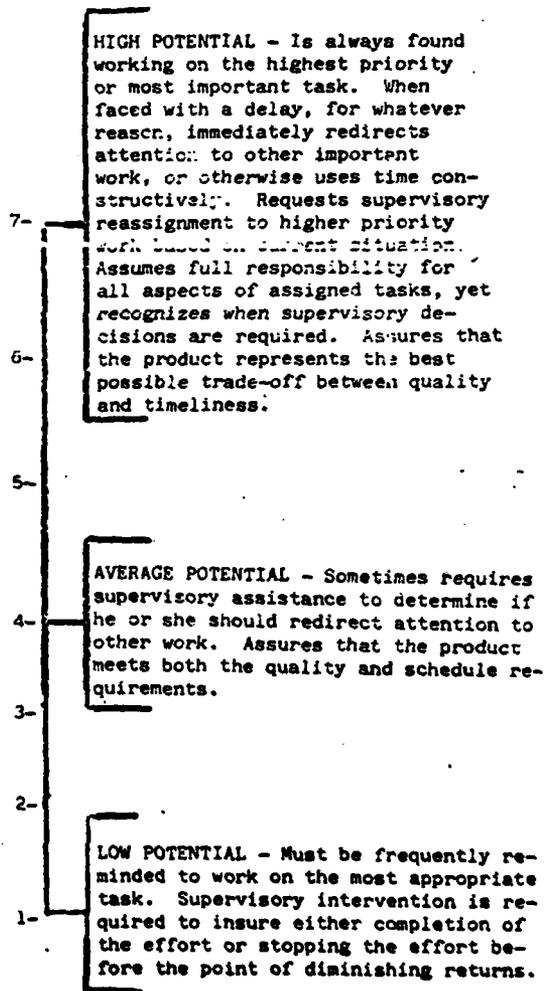
Whichever rating method is used, the supervisor must arrive at a single rating for each factor which represents his or her best judgement of the employee's potential for success in higher level work, relative to each basic factor definition. Furthermore, the supervisor must be prepared to explain to the employee, using specific examples of the employee's job performance, why the employee was rated as he, she was.

ASD FORM 173

#### FACTOR 1 - SELF MANAGEMENT

This factor evaluates the employee's potential for promotion based upon how well the employee organizes, schedules, and accomplishes own work. Self Management includes such areas as the use of available resources; setting priorities among activities; coping with changing conditions and unforeseen events; and assuming responsibility for the completion of one's own work.

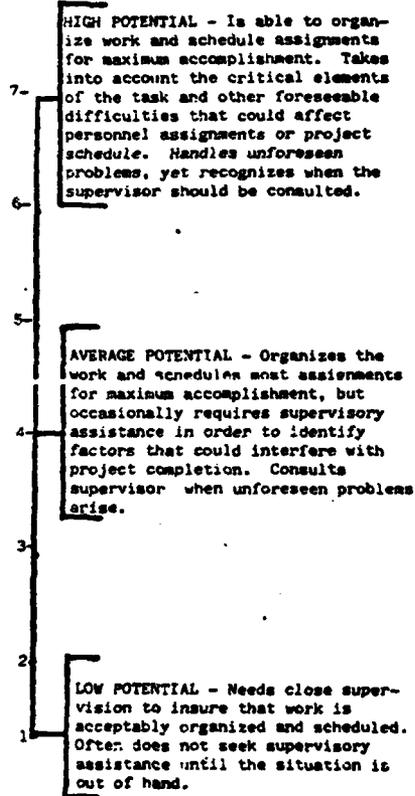
#### STEPS



**FACTOR 2 - WORK ADMINISTRATION**  
(Supervisors and other designated employees)\*

This factor evaluates the employee's potential for promotion based upon how well the employee organizes and schedules the work of others. Work Administration includes such areas as assigning duties and establishing goals for others; following progress and changing assignments accordingly; and assuming responsibility for the work of others.

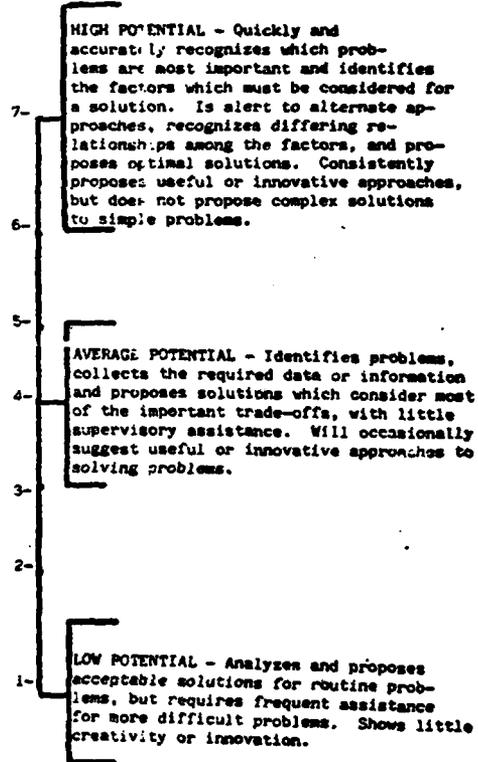
**STEPS**



**FACTOR 3 - PROBLEM ANALYSIS**

This factor evaluates the employee's potential for promotion based upon how well the employee identifies problems and proposes solutions, approaches, or interpretations to fit the situation. Problem Analysis includes such areas as identifying problems; collecting relevant data; and proposing solutions which consider the important trade-offs or conflicting requirements; and utilizing innovative approaches when necessary. (Deciding among alternative solutions is not included in this factor.)

**STEPS**

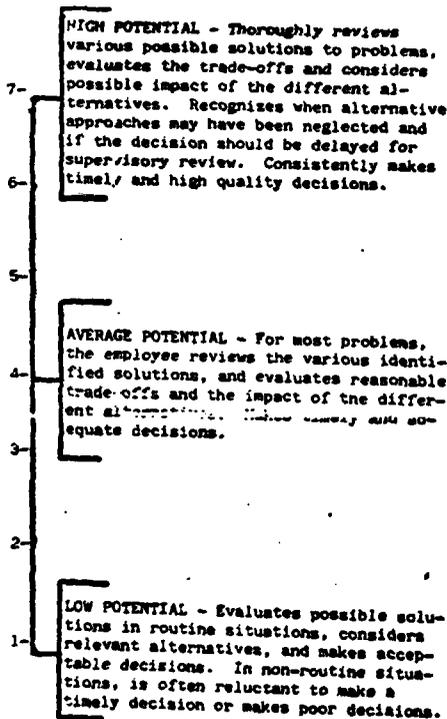


\*Employees designated by the rater and by the reviewing supervisor as having some form of responsibility for the work of others.

**FACTOR 4 - DECISION MAKING**  
(Supervisors and other designated employees)\*

This factor evaluates the employee's potential for promotion based upon how well the employee evaluates solutions (own or others') and makes decisions. Decision Making includes such areas as considering pertinent factors; recognizing significant effects of proposed solutions; recognizing when problem analysis and solution generation has been adequate; and making decisions in a timely manner.

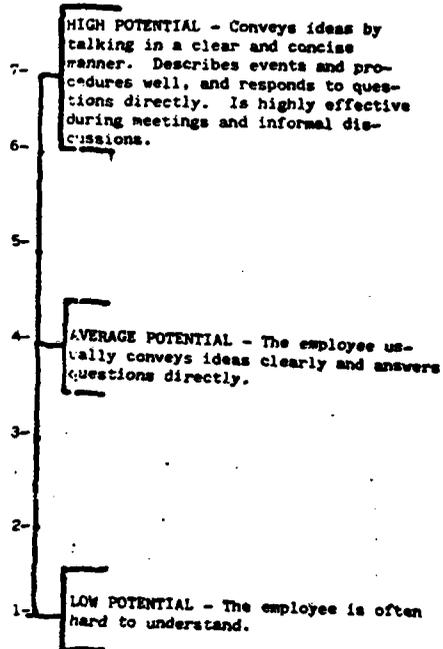
**STEPS**



**FACTOR 5 - SPEAKING ABILITY**

This factor evaluates the employee's potential for promotion based upon ability to communicate events and ideas when talking. Speaking ability includes such areas as being concise, clear, and well organized.

**STEPS**

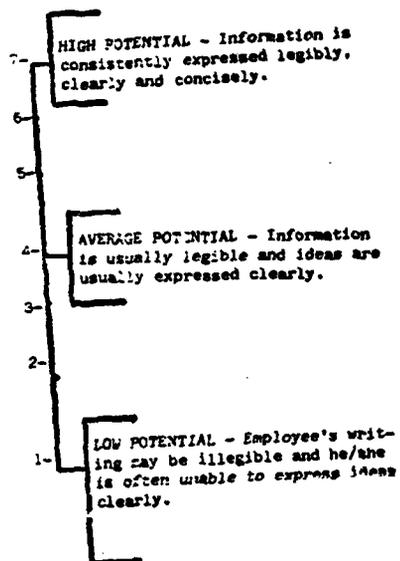


\*Employees designated by the rater and by the reviewing supervisor as having some form of decision making responsibility.

### FACTOR 6 - WRITING ABILITY

This factor evaluates the employee's potential for promotion based upon ability to express ideas in writing. Writing Ability includes such areas as being legible, concise, complete and well organized.

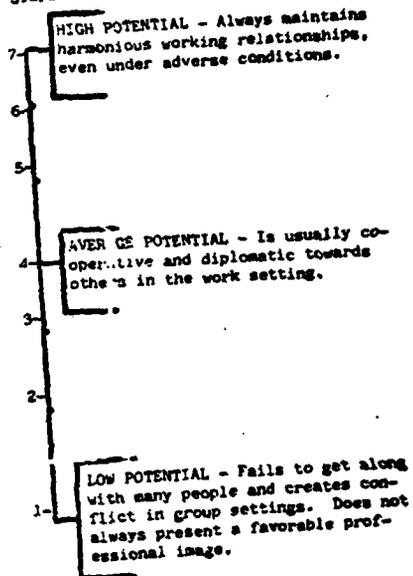
#### STEPS



### FACTOR 7 - WORKING RELATIONSHIPS

This factor evaluates the employee's potential for promotion based upon how well the employee works with other people, both individually and in groups. Working Relationships include such areas as working with supervisors, peers, subordinates, support and staff personnel, and others such as base and contractor personnel.

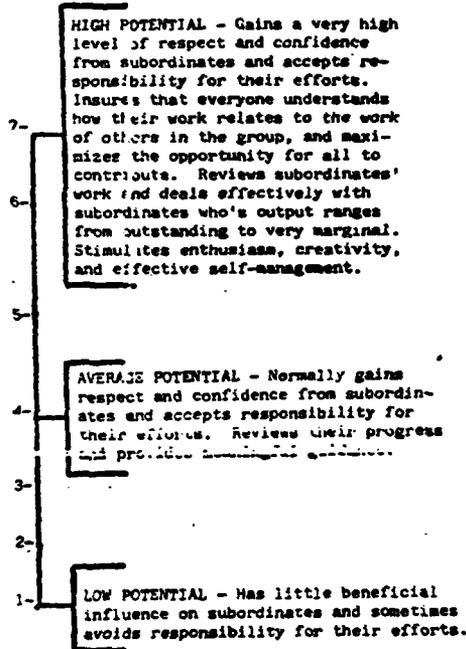
#### STEPS



**FACTOR 8 - WORK LEADERSHIP**  
(Supervisors and other designated employees)\*

This factor evaluates the employee's potential for promotion based upon how well the employee influences and motivates subordinates or other personnel to work effectively, both individually and in teams. Work Leadership includes such areas as monitoring the work of other employees; providing guidance to them; giving them understanding of goals; and providing opportunities for participation.

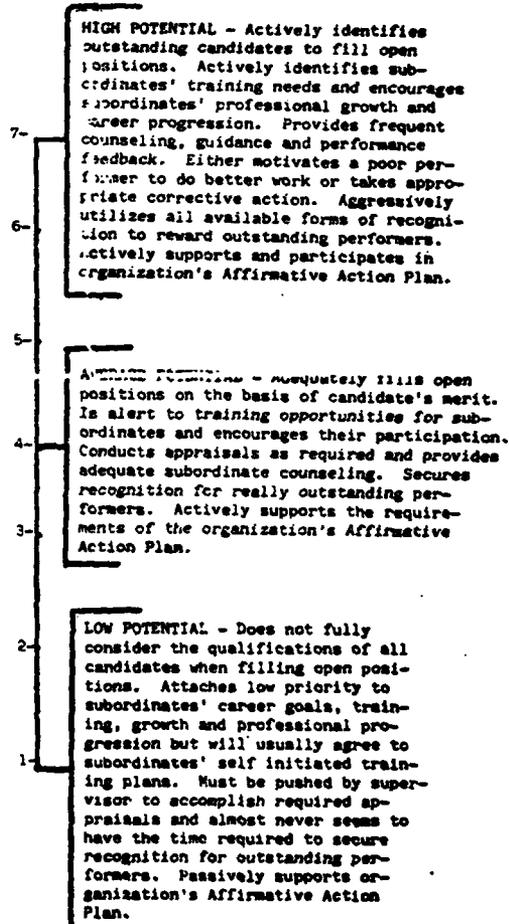
**STEPS**



**FACTOR 9 - PERSONNEL AND EEO COMMITMENT**  
(Supervisors only)

This factor evaluates the employee's potential for promotion based upon how well the employee carries out personnel management responsibilities. Personnel Management includes such areas as filling positions on the basis of merit; encouraging and assisting subordinates to set and pursue their career goals; giving realistic performance ratings and counseling; and initiating actions to secure recognition for deserving subordinates or taking corrective actions for inadequate performance. EEO and Affirmative Action are elements of all personnel management responsibilities.

**STEPS**

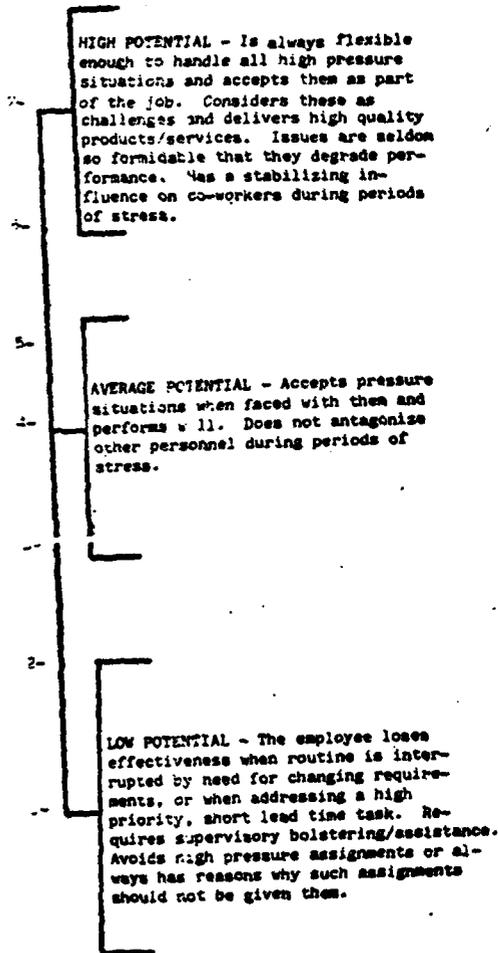


\*Employees designated by the rater and by the reviewing supervisor as having some form of responsibility for the work of others.

**FACTOR 10 - PERFORMANCE UNDER PRESSURE**

This factor evaluates the employee's potential for promotion based upon how well the employee's usual performance is maintained under pressure. Sources of pressure include time and/or resource constraints, and other adverse conditions.

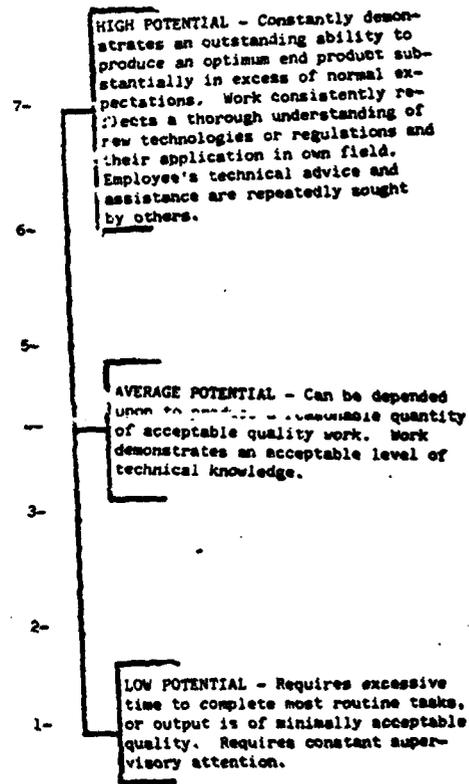
**STEPS**



**FACTOR 11 - WORK OUTPUT**

This factor evaluates the employee's potential for promotion based upon total work output. Work Output includes quality, quantity, and timeliness. It also includes compliance with relevant regulations, directives, policies, and instructions and deadlines from supervisor. Quality includes the extent to which the work demonstrates use of basic technical knowledge and new developments in the employee's field.

**STEPS**



APPENDIX C

MERIT PROMOTION APPRAISAL SYSTEM  
RATING FORM C (CLERICAL)

**MERIT PROMOTION APPRAISAL SYSTEM  
FORM C**

|                                      |                                    |
|--------------------------------------|------------------------------------|
| NAME (Last - First - Middle Initial) | DATE OF APPRAISAL                  |
| ORGANIZATION (To lowest level)       | PERIOD OF SUPERVISION              |
| POSITION (Title - Series - Grade)    | FROM                               |
|                                      | TO                                 |
|                                      | NAME/TITLE OF IMMEDIATE SUPERVISOR |
|                                      | NAME/TITLE OF REVIEWING SUPERVISOR |

**INSTRUCTIONS FOR COMPLETING SUPERVISORY APPRAISAL  
(RETURN TO ASD/DPCE)**

The Air Force Merit Promotion Program requires the immediate or first level supervisor to complete an appraisal on each employee supervised. This Supervisory Appraisal system has been designed to help the supervisor make and record the required merit promotion appraisal.

*Steps in completing the form:*

1. Supervisor enters the required data on the top of this page.
2. Supervisor reviews each factor and determines the proper rating as discussed in the next section. Circle the proper step in the box on page #2. Circle N/A if a rating factor is not applicable.
3. Have the appraisal reviewed by the next higher level supervisor; resolve differences; both supervisors sign and date the form in the space provided on page #2.
4. Show and discuss the appraisal with the employee, have the employee also sign on page #2.
5. If the employee does not already have a copy of ASD Form 389, please give them one.
6. Complete the card punch data required as noted in the instructions on page #2.
7. Tear off pages 1 and 2 and send to ASD/DPCE, unless given other instructions.

*Rating Employee Potential:*

Each of the eight Merit Promotion Appraisal Factors consists of three parts:

1. A basic factor definition found in the first sentence of the definition;
2. Subfactors in the remainder of the definition which represent activities related to the basic factor definition; and
3. A seven step rating scale.

As an example, consider Factor 1 - Self Management. This factor relates to how well the employee organizes, schedules, and accomplishes own work. Self Management includes such subfactors as setting priorities, making appropriate decisions, assuming responsibility, and development of filing systems. Some assignments may not allow the employee to display performance in all four of these subfactors. Some work assignments may involve performance related to Self Management, but not specifically covered by any of the subfactors. The supervisor must decide which aspects of the employee's performance are in the basic factor definition and should be included in the rating.

The supervisor's rating of the employee's potential must be based on his or her knowledge of the employee's current performance. In accordance with CSC regulations, the Merit Promotion Appraisal Factors have been carefully designed to focus on elements of the employee's job which are important for success in higher-level work.

When rating the employee's potential, the supervisor should give appropriate consideration to the complexity and diversity of the work required at the employee's grade level. For example, proficiency at work of a particular level of complexity and diversity might indicate high potential for a G.S. 7 Engineer. However, this same level of proficiency would indicate low potential for the job of a G.S. 13 Engineer.

The task of the supervisor, in using the Merit Promotion Appraisal Factors, is to rate on a scale of seven steps the employee's potential for success in higher level work. Scale steps One, Four and Seven provide examples of low, average and high levels of performance for some of the subfactors. Steps Two, Three, Five and Six represent intermediate degrees of potential.

Continued on page 3

| SUMMARY<br>OF THE MERIT PROMOTION APPRAISAL |     |     |     |     |     |     |     |     |     |
|---|-----|-----|-----|-----|-----|-----|-----|-----|-----|
| FACTOR NUMBER                               |     |     |     |     |     |     |     |     |     |
| 1   | 2   | 3   | 4   | 5   | 6   | 7   | 8   | 9   | 10  |
| N/A   | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |
| 7   | 7   | 7   | 7   | 7   | 7   | 7   | 7   | 7   | 7   |
| 6   | 6   | 6   | 6   | 6   | 6   | 6   | 6   | 6   | 6   |
| 5   | 5   | 5   | 5   | 5   | 5   | 5   | 5   | 5   | 5   |
| 4   | 4   | 4   | 4   | 4   | 4   | 4   | 4   | 4   | 4   |
| 3   | 3   | 3   | 3   | 3   | 3   | 3   | 3   | 3   | 3   |
| 2   | 2   | 2   | 2   | 2   | 2   | 2   | 2   | 2   | 2   |
| 1   | 1   | 1   | 1   | 1   | 1   | 1   | 1   | 1   | 1   |

| INSTRUCTIONS FOR COMPLETION OF APDS CARD DATA                                       |  |  |  |  |  |  |  |  |  |
|---|--|--|--|--|--|--|--|--|--|
| 1. Blocks 6-7 Include First Two Letters of Employee Last Name                       |  |  |  |  |  |  |  |  |  |
| 2. Blocks 8-16 Employee Social Security Account Number (SSAN)                       |  |  |  |  |  |  |  |  |  |
| 3. Blocks 22-27 The Date of Discussion of Rating with Employee - Year - Month - Day |  |  |  |  |  |  |  |  |  |
| 4. Blocks 44-54/56-66 Supervisors SSAN  |  |  |  |  |  |  |  |  |  |
| 5. Blocks 55-67 Identify Military (M) or Civilian (C)                               |  |  |  |  |  |  |  |  |  |

| LAST NAME | EMPLOYEE SSAN | FORM NO. | DATE OF DISCUSSION |    |     | SUPERVISORS SSAN | M/C |
|-----------|---------------|----------|--------------------|----|-----|------------------|-----|
|           |               |          | YEAR               | MO | DAY |                  |     |
| 1         | 2             | 3        | 4                  | 5  | 6   | 7                | 8   |
| 9         | 0             | 1        | 2                  | 3  | 4   | 5                | 6   |
| 7         | 8             | 9        | 0                  | 1  | 2   | 3                | 4   |
| 6         | 7             | 8        | 9                  | 0  | 1   | 2                | 3   |
| 5         | 6             | 7        | 8                  | 9  | 0   | 1                | 2   |
| 4         | 5             | 6        | 7                  | 8  | 9   | 0                | 1   |
| 3         | 4             | 5        | 6                  | 7  | 8   | 9                | 0   |
| 2         | 3             | 4        | 5                  | 6  | 7   | 8                | 9   |
| 1         | 2             | 3        | 4                  | 5  | 6   | 7                | 8   |
| 0         | 1             | 2        | 3                  | 4  | 5   | 6                | 7   |
| 9         | 0             | 1        | 2                  | 3  | 4   | 5                | 6   |
| 8         | 9             | 0        | 1                  | 2  | 3   | 4                | 5   |
| 7         | 8             | 9        | 0                  | 1  | 2   | 3                | 4   |
| 6         | 7             | 8        | 9                  | 0  | 1   | 2                | 3   |
| 5         | 6             | 7        | 8                  | 9  | 0   | 1                | 2   |
| 4         | 5             | 6        | 7                  | 8  | 9   | 0                | 1   |
| 3         | 4             | 5        | 6                  | 7  | 8   | 9                | 0   |
| 2         | 3             | 4        | 5                  | 6  | 7   | 8                | 9   |
| 1         | 2             | 3        | 4                  | 5  | 6   | 7                | 8   |
| 0         | 1             | 2        | 3                  | 4  | 5   | 6                | 7   |
| 9         | 0             | 1        | 2                  | 3  | 4   | 5                | 6   |
| 8         | 9             | 0        | 1                  | 2  | 3   | 4                | 5   |
| 7         | 8             | 9        | 0                  | 1  | 2   | 3                | 4   |
| 6         | 7             | 8        | 9                  | 0  | 1   | 2                | 3   |
| 5         | 6             | 7        | 8                  | 9  | 0   | 1                | 2   |
| 4         | 5             | 6        | 7                  | 8  | 9   | 0                | 1   |
| 3         | 4             | 5        | 6                  | 7  | 8   | 9                | 0   |
| 2         | 3             | 4        | 5                  | 6  | 7   | 8                | 9   |
| 1         | 2             | 3        | 4                  | 5  | 6   | 7                | 8   |
| 0         | 1             | 2        | 3                  | 4  | 5   | 6                | 7   |
| 9         | 0             | 1        | 2                  | 3  | 4   | 5                | 6   |
| 8         | 9             | 0        | 1                  | 2  | 3   | 4                | 5   |
| 7         | 8             | 9        | 0                  | 1  | 2   | 3                | 4   |
| 6         | 7             | 8        | 9                  | 0  | 1   | 2                | 3   |
| 5         | 6             | 7        | 8                  | 9  | 0   | 1                | 2   |
| 4         | 5             | 6        | 7                  | 8  | 9   | 0                | 1   |
| 3         | 4             | 5        | 6                  | 7  | 8   | 9                | 0   |
| 2         | 3             | 4        | 5                  | 6  | 7   | 8                | 9   |
| 1         | 2             | 3        | 4                  | 5  | 6   | 7                | 8   |
| 0         | 1             | 2        | 3                  | 4  | 5   | 6                | 7   |
| 9         | 0             | 1        | 2                  | 3  | 4   | 5                | 6   |
| 8         | 9             | 0        | 1                  | 2  | 3   | 4                | 5   |
| 7         | 8             | 9        | 0                  | 1  | 2   | 3                | 4   |
| 6         | 7             | 8        | 9                  | 0  | 1   | 2                | 3   |
| 5         | 6             | 7        | 8                  | 9  | 0   | 1                | 2   |
| 4         | 5             | 6        | 7                  | 8  | 9   | 0                | 1   |
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| 1         | 2             | 3        | 4                  | 5  | 6   | 7                | 8   |
| 0         | 1             | 2        | 3                  | 4  | 5   | 6                | 7   |
| 9         | 0             | 1        | 2                  | 3  | 4   | 5                | 6   |
| 8         | 9             | 0        | 1                  | 2  | 3   | 4                | 5   |
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| 2         | 3             | 4        | 5                  | 6  | 7   | 8                | 9   |
| 1         | 2             | 3        | 4                  | 5  | 6   | 7                | 8   |
| 0         | 1             | 2        | 3                  | 4  | 5   | 6                | 7   |
| 9         | 0             | 1        | 2                  | 3  | 4   | 5                | 6   |
| 8         | 9             | 0        | 1                  | 2  | 3   | 4                | 5   |
| 7         | 8             | 9        | 0                  | 1  | 2   | 3                | 4   |
| 6         | 7             | 8        | 9                  | 0  | 1   | 2                | 3   |
| 5         | 6             | 7        | 8                  | 9  | 0   | 1                | 2   |
| 4         | 5             | 6        | 7                  | 8  | 9   | 0                | 1   |
| 3         | 4             | 5        | 6                  | 7  | 8   | 9                | 0   |
| 2         | 3             | 4        | 5                  | 6  | 7   | 8                | 9   |
| 1         | 2             | 3        | 4                  | 5  | 6   | 7                | 8   |
| 0         | 1             | 2        | 3                  | 4  | 5   | 6                | 7   |
| 9         | 0             | 1        | 2                  | 3  | 4   | 5                | 6   |
| 8         | 9             | 0        | 1                  | 2  | 3   | 4                | 5   |
| 7         | 8             | 9        | 0                  | 1  | 2   | 3                | 4   |
| 6         | 7             | 8        | 9                  | 0  | 1   | 2                | 3   |
| 5         | 6             | 7        | 8                  | 9  | 0   | 1                | 2   |
| 4         | 5             | 6        | 7                  | 8  | 9   | 0                | 1   |
| 3         | 4             | 5        | 6                  | 7  | 8   | 9                | 0   |
| 2         | 3             | 4        | 5                  | 6  | 7   | 8                | 9   |
| 1         | 2             | 3        | 4                  | 5  | 6   | 7                | 8   |
| 0         | 1             | 2        | 3                  | 4  | 5   | 6                | 7   |
| 9         | 0             | 1        | 2                  | 3  | 4   | 5                | 6   |
| 8         | 9             | 0        | 1                  | 2  | 3   | 4                | 5   |
| 7         | 8             | 9        | 0                  | 1  | 2   | 3                | 4   |
| 6         | 7             | 8        | 9                  | 0  | 1   | 2                | 3   |
| 5         | 6             | 7        | 8                  | 9  | 0   | 1                | 2   |
| 4         | 5             | 6        | 7                  | 8  | 9   | 0                | 1   |
| 3         | 4             | 5        | 6                  | 7  | 8   | 9                | 0   |
| 2         | 3             | 4        | 5                  | 6  | 7   | 8                | 9   |
| 1         | 2             | 3        | 4                  | 5  | 6   | 7                | 8   |
| 0         | 1             | 2        | 3                  | 4  | 5   | 6                | 7   |
| 9         | 0             | 1        | 2                  | 3  | 4   | 5                | 6   |
| 8         | 9             | 0        | 1                  | 2  | 3   | 4                | 5   |
| 7         | 8             | 9        | 0                  | 1  | 2   | 3                | 4   |
| 6         | 7             | 8        | 9                  | 0  | 1   | 2                | 3   |
| 5         | 6             | 7        | 8                  | 9  | 0   | 1                | 2   |
| 4         | 5             | 6        | 7                  | 8  | 9   | 0                | 1   |
| 3         | 4             | 5        | 6                  | 7  | 8   | 9                | 0   |
| 2         | 3             | 4        | 5                  | 6  | 7   | 8                | 9   |
| 1         | 2             | 3        | 4                  | 5  | 6   | 7                | 8   |
| 0         | 1             | 2        | 3                  | 4  | 5   | 6                | 7   |
| 9         | 0             | 1        | 2                  | 3  | 4   | 5                | 6   |
| 8         | 9             | 0        | 1                  | 2  | 3   | 4                | 5   |
| 7         | 8             | 9        | 0                  | 1  | 2   | 3                | 4   |
| 6         | 7             | 8        | 9                  | 0  | 1   | 2                | 3   |
| 5         | 6             | 7        | 8                  | 9  | 0   | 1                | 2   |
| 4         | 5             | 6        | 7                  | 8  | 9   | 0                | 1   |
| 3         | 4             | 5        | 6                  | 7  | 8   | 9                | 0   |
| 2         | 3             | 4        | 5                  | 6  | 7   | 8                | 9   |
| 1         | 2             | 3        | 4                  | 5  | 6   | 7                | 8   |
| 0         | 1             | 2        | 3                  | 4  | 5   | 6                | 7   |
| 9         | 0             | 1        | 2                  | 3  | 4   | 5                | 6   |
| 8         | 9             | 0        | 1                  | 2  | 3   | 4                | 5   |
| 7         | 8             | 9        | 0                  | 1  | 2   | 3                | 4   |
| 6         | 7             | 8        | 9                  | 0  | 1   | 2                | 3   |
| 5         | 6             | 7        | 8                  | 9  | 0   | 1                | 2   |
| 4         | 5             | 6        | 7                  | 8  | 9   | 0                | 1   |
| 3         | 4             | 5        | 6                  | 7  | 8   | 9                | 0   |
| 2         | 3             | 4        | 5                  | 6  | 7   | 8                | 9   |
| 1         | 2             | 3        | 4                  | 5  | 6   | 7                | 8   |
| 0         | 1             | 2        | 3                  | 4  | 5   | 6                | 7   |
| 9         | 0             | 1        | 2                  | 3  | 4   | 5                | 6   |
| 8         | 9             | 0        | 1                  | 2  | 3   | 4                | 5   |
| 7         | 8             | 9        | 0                  | 1  | 2   | 3                | 4   |
| 6         | 7             | 8        | 9                  | 0  | 1   | 2                | 3   |
| 5         | 6             | 7        | 8                  | 9  | 0   | 1                | 2   |
| 4         | 5             | 6        | 7                  | 8  | 9   | 0                | 1   |
| 3         | 4             | 5        | 6                  | 7  | 8   | 9                | 0   |
| 2         | 3             | 4        | 5                  | 6  | 7   | 8                | 9   |
| 1         | 2             | 3        | 4                  | 5  | 6   | 7                | 8   |
| 0         | 1             | 2        | 3                  | 4  | 5   | 6                | 7   |
| 9         | 0             | 1        | 2                  | 3  | 4   | 5                | 6   |
| 8         | 9             | 0        | 1                  | 2  | 3   | 4                | 5   |
| 7         | 8             | 9        | 0                  | 1  | 2   | 3                | 4   |
| 6         | 7             | 8        | 9                  | 0  | 1   | 2                | 3   |
| 5         | 6             | 7        | 8                  | 9  | 0   | 1                | 2   |
| 4         | 5             | 6        | 7                  | 8  | 9   | 0                | 1   |
| 3         | 4             | 5        | 6                  | 7  | 8   | 9                | 0   |
| 2         | 3             | 4        | 5                  | 6  | 7   | 8                | 9   |
| 1         | 2             | 3        | 4                  | 5  | 6   | 7                | 8   |
| 0         | 1             | 2        | 3                  | 4  | 5   | 6                | 7   |
| 9         | 0             | 1        | 2                  | 3  | 4   | 5                | 6   |
| 8         | 9             | 0        | 1                  | 2  | 3   | 4                | 5   |
| 7         | 8             | 9        | 0                  | 1  | 2   | 3                | 4   |
| 6         | 7             | 8        | 9                  | 0  | 1   | 2                | 3   |
| 5         | 6             | 7        | 8                  | 9  | 0   | 1                | 2   |
| 4         | 5             | 6        | 7                  | 8  | 9   | 0                | 1   |
| 3         | 4             | 5        | 6                  | 7  | 8   | 9                | 0   |
| 2         | 3             | 4        | 5                  | 6  | 7   | 8                | 9   |
| 1         | 2             | 3        | 4                  | 5  | 6   | 7                | 8   |
| 0         | 1             | 2        | 3                  | 4  | 5   | 6                | 7   |
| 9         | 0             | 1        | 2                  | 3  | 4   | 5                | 6   |
| 8         | 9             | 0        | 1                  | 2  | 3   | 4                | 5   |
| 7         | 8             | 9        | 0                  | 1  | 2   | 3                | 4   |
| 6         | 7             | 8        | 9                  | 0  | 1   | 2                | 3   |
| 5         | 6             | 7        | 8                  | 9  | 0   | 1                | 2   |
| 4         | 5             | 6        | 7                  | 8  | 9   | 0                | 1   |
| 3         | 4             | 5        | 6                  | 7  | 8   | 9                | 0   |
| 2         | 3             | 4        | 5                  | 6  | 7   | 8                | 9   |
| 1         | 2             | 3        | 4                  | 5  | 6   | 7                | 8   |
| 0         | 1             | 2        | 3                  | 4  | 5   | 6                | 7   |
| 9         | 0             | 1        | 2                  | 3  | 4   | 5                | 6   |
| 8         | 9             | 0        | 1                  | 2  | 3   | 4                | 5   |
| 7         | 8             | 9        | 0                  | 1  | 2   | 3                | 4   |
| 6         | 7             | 8        | 9                  | 0  | 1   | 2                | 3   |
| 5         | 6             | 7        | 8                  | 9  | 0   | 1                | 2   |
| 4         | 5             | 6        | 7                  | 8  | 9   | 0                | 1   |
| 3         | 4             | 5        | 6                  | 7  | 8   | 9                | 0   |
| 2         | 3             | 4        | 5                  | 6  | 7   | 8                | 9   |
| 1         | 2             | 3        | 4                  | 5  | 6   | 7                | 8   |
| 0         | 1             | 2        | 3                  | 4  | 5   | 6                | 7   |
| 9         | 0             | 1        | 2                  | 3  | 4   | 5                | 6   |
| 8         | 9             | 0        | 1                  | 2  | 3   | 4                | 5   |
| 7         | 8             | 9        | 0                  | 1  | 2   | 3                | 4   |
| 6         | 7             | 8        | 9                  | 0  | 1   | 2                | 3   |
| 5         | 6             | 7        | 8                  | 9  | 0   | 1                | 2   |
| 4         | 5             | 6        | 7                  | 8  | 9   | 0                | 1   |
| 3         | 4             | 5        | 6                  | 7  | 8   | 9                | 0   |
| 2         | 3             |          |                    |    |     |                  |     |

Continuing with Factor 1 - Self Management, as an example:

- Step 1. Low Potential - Must be frequently reminded to work on the most appropriate task. Supervisory intervention is required to insure either completion of the effort or stopping the effort before the point of diminishing returns.
- Step 4. Average Potential - Sometimes requires supervisory assistance to determine if he or she should redirect attention to other work. Assures that the output meets both the quality and schedule requirements.
- Step 7. High Potential - Is always found working on the highest priority or most important task. When faced with a delay, for whatever reason, immediately redirects attention to other important work, or otherwise uses time constructively. Assumes full responsibility for all aspects of assigned tasks, yet recognizes when supervisory decisions are required. Assures that the output represents the best possible trade-off between quality and timeliness.

One of two approaches can be taken in rating an employee on a given factor. One approach is to consider the factor as a whole and rate the employee's performance relative to the basic factor definition based on your overall impression. Using this approach, you would decide between a rating at Step 2 and a rating at Step 3 by simply looking at Steps 1 and 4 and deciding whether the employee is closer to being just above Step 1 or just below Step 4.

A second approach is to rate the employee on each of the subfactors which apply and then average these ratings. Let us consider a very simplified example of how two employees might be rated on Self Management using this approach. The first employee is usually found working on the highest priority work, but has never produced a finished product without major supervisory intervention. The second employee has never needed a push to get the job finished, but often needs assistance in deciding which of several tasks deserves most of his or her attention. The two employees would be rated as follows:

**Employee I**

| Employee Behavior  | Scale Step    |
|--|---------------|
| Usually found working on the highest priority work                       | 4             |
| Never produced a finished product without major supervisory intervention | 1             |
| Average  | <u>2 or 3</u> |

**Employee II**

| Employee Behavior  | Scale Step |
|--|------------|
| Never needed a push to get the job finished  | 7          |
| Often needed assistance in deciding which of several tasks deserved most of his or her attention | 3          |
| Average  | <u>5</u>   |

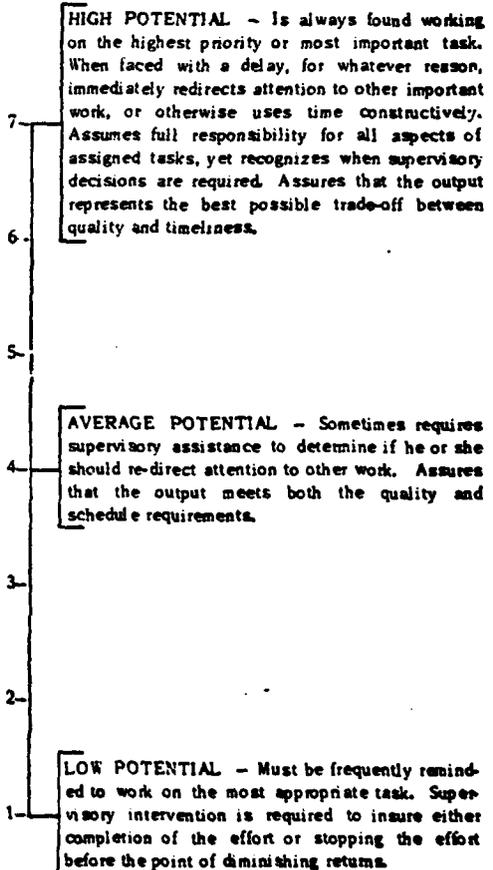
As noted earlier, the performance rated may include aspects related to the basic factor definition, but not specifically covered by any of the subfactors.

Whichever rating method is used, the supervisor must arrive at a single rating for each factor which represents his or her best judgement of the employee's potential for success in higher level work, relative to each basic factor definition. Furthermore, the supervisor must be prepared to explain to the employee, using specific examples of the employee's job performance, why the employee was rated as he/she was.

**FACTOR 1 - SELF MANAGEMENT**

This factor evaluates the employee's potential for promotion based upon how well the employee organizes, schedules, and accomplishes own work. Self Management includes such areas as setting work priorities; making appropriate decisions; assuming the responsibility and taking the initiative for completion of own work; and the development of filing, and control or tracking systems.

**STEPS**



**FACTOR 2 - WORK ADMINISTRATION**  
(Designated employees\*)

This factor evaluates the employee's potential for promotion based on how well the employee provides guidance to other personnel. Work Administration includes such areas as reviewing the work of other employees for conformance to applicable regulations and operating procedures, and for accuracy, clarity, grammar, and spelling; providing technical guidance and training on internal policies and procedures as required; and establishing and changing workload priorities to accommodate changing conditions and unforeseen events.

**STEPS**

- 7 - **HIGH POTENTIAL** - When indoctrinating, training, reviewing or introducing change, the employee provides explanations and examples at an appropriate pace to insure proper implementation. Assures new or unanticipated work is accomplished. Thoroughly reviews the work of other personnel and takes appropriate action. Encourages and guides other employees' career development in cooperation with supervisors responsible for these employees.
- 6 -
- 5 -
- 4 - **AVERAGE POTENTIAL** - Adequately indoctrinates and trains employees by showing them basic source material and answering questions. Informs other employees of changes in policies and procedures. Insures that routine work is accomplished, and that new or unanticipated work is completed with minimal disruptions. Reviews the work of other employees and usually takes appropriate action.
- 3 -
- 2 -
- 1 - **LOW POTENTIAL** - Must be pushed to indoctrinate or train other employees and avoids answering their questions. Provides minimal review of the work of other personnel.

**FACTOR 3 - PERSONAL ASSISTANCE ACTIVITIES**  
(FS-0318 Secretaries only)

This factor evaluates the employee's potential for promotion based upon participation in the management of the supervisor's program or immediate office as a personal assistant. The personal assistant role involves applying a thorough knowledge of the supervisor's views and policies in such areas as: composing routine correspondence and reports, scheduling and preparing for appointments and meetings; acting as a liaison between supervisor and those reporting to him/her, and between supervisor and other offices; routing correspondence to subordinate offices and reviewing correspondence prepared for supervisor's signature.

**STEPS**

- 7 - **HIGH POTENTIAL** - Participates in the management of the supervisor's program, thereby relieving the supervisor of handling time consuming, non-technical tasks. Is alert to and recognizes situations requiring immediate attention. Because of extensive knowledge of supervisor's views and policies, acts as supervisor's representative in dealings with high level personnel. Provides information and guidance to "acting" supervisors and other personnel in the absence of the supervisor.
- 6 -
- 5 -
- 4 - **AVERAGE POTENTIAL** - Participates in the management of the supervisor's immediate office, but requires some supervisory assistance in dealing with complex issues. Takes account of the importance of the subject matter in dealing with correspondence and requests for appointments. Prepares routine correspondence without guidance. Tracks progress and takes necessary actions to assure that due dates are met, including periodic requirements.
- 3 -
- 2 -
- 1 - **LOW POTENTIAL** - Requires supervisory guidance when dealing with all but routine issues. Is not consistently effective in carrying out personal assistant role because of marginal knowledge or mis-application of the supervisor's views and policies.

\*Employees designated by the rater and by the reviewing supervisor as having some form of responsibility for the work of others.

**FACTOR 4 - INFORMATION PROCESSING**

*(Clerk Specialists only)*

This factor evaluates the employee's potential for promotion based upon how well the employee processes information in a specialized field. The work may include collecting and compiling information; analyzing, interpreting, and summarizing information; making oral or written recommendations in light of pertinent regulations and policies; taking action and providing input for formal reports and briefings.

**STEPS**

- 7- **HIGH POTENTIAL** - Quickly and accurately identifies the factors which must be considered. Is alert to alternate approaches and recognizes novel relationships among factors. Frequently proposes useful or innovative approaches in consonance with applicable regulations and policies.
- 6-
- 5-
- 4- **AVERAGE POTENTIAL** - Identifies and clarifies factors, collects the required information and makes proposals or takes action with normal supervisory assistance. Regularly suggests useful or innovative approaches or actions.
- 3-
- 2-
- 1- **LOW POTENTIAL** - Analyzes information and makes adequate proposals or takes action for routine issues, but requires considerable assistance for more difficult areas. Occasionally suggests unanticipated or innovative approaches or actions.

**FACTOR 5 - COMMUNICATION**

This factor evaluates the employee's potential for promotion based upon ability to express ideas when speaking or writing, and based upon how well inquiries and sensitive information are handled. Communication ability includes such areas as conciseness, clarity, organization and grammatical accuracy.

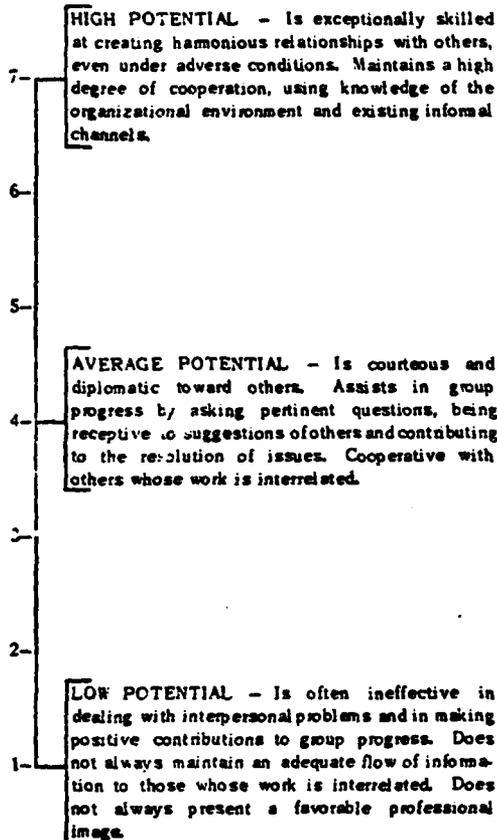
**STEPS**

- 7- **HIGH POTENTIAL** - Written and verbal communications are consistently of the highest quality. Telephone calls are handled courteously with prompt transfer of information or referral to appropriate office. Uses good judgement in responding to questions which involve organizational policies, individual privacy, and other sensitive information.
- 6-
- 5-
- 4- **AVERAGE POTENTIAL** - Written communications are usually clear, concise and complete. Telephone calls are handled courteously. Uses adequate judgement in responding to questions which involve organizational policies, individual privacy and other sensitive information.
- 3-
- 2-
- 1- **LOW POTENTIAL** - Sometimes had difficulty expressing ideas or relaying information in a clear and well organized manner. Telephone calls are sometimes handled improperly, such as leaving the caller on hold for long periods of time, not taking complete information, or not offering to take messages. Occasionally responds inappropriately to questions involving organizational policies, individual privacy, or other sensitive information.

#### FACTOR 6 - WORKING RELATIONSHIPS

This factor evaluates the employee's potential for promotion based upon how well the employee works with people, both individually and in groups. Working Relationships includes working with supervisors, other clerical or secretarial personnel, support and staff personnel, contractor representatives and other visitors.

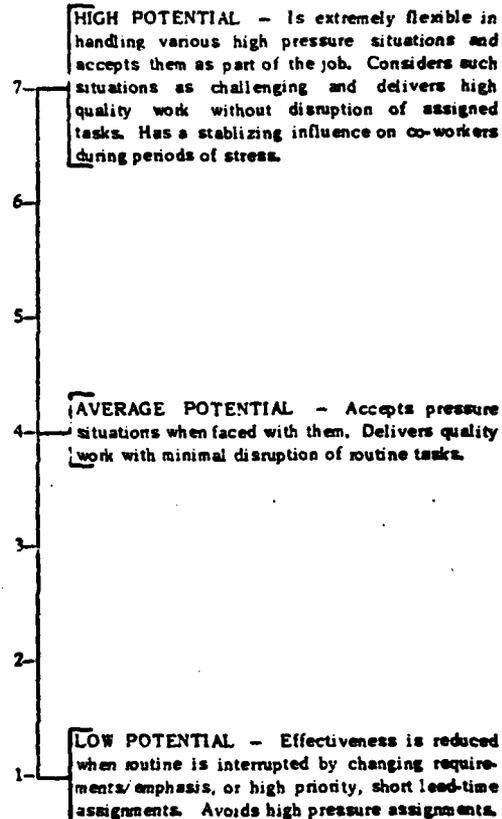
##### STEPS



#### FACTOR 7 - PERFORMANCE UNDER PRESSURE

This factor evaluates the employee's potential for promotion based upon how well the employee's usual performance is maintained under pressure. Sources of pressure may include changing conditions, time and resource constraints and other adverse conditions.

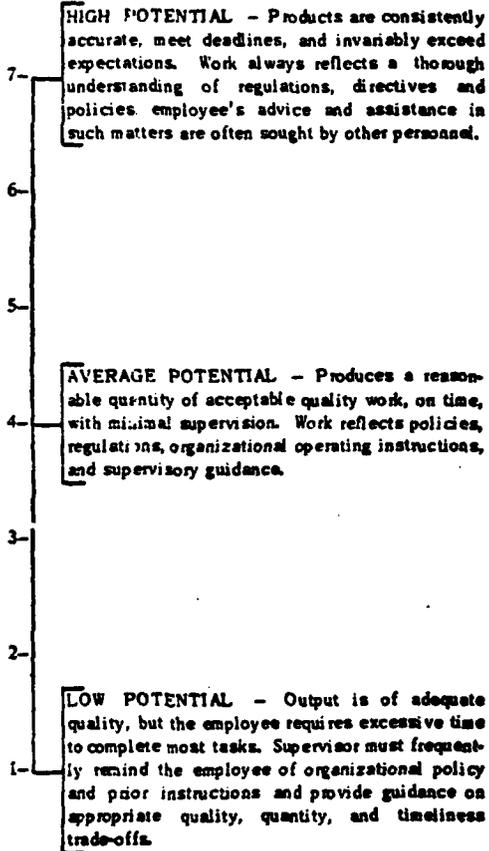
##### STEPS



**FACTOR 8 - WORK OUTPUT**

This factor evaluates the employee's potential for promotion based upon total work output. Work Output includes quality, quantity, timeliness and demonstration of requisite skills and knowledge. It also includes knowledge of and compliance with relevant regulations, directives and policies, as well as instructions and deadlines from supervisor.

**STEPS**



APPENDIX D

1979 FOLLOW-UP QUESTIONNAIRE, STUDY THIRTY,  
IMMEDIATE SUPERVISOR RATING METHOD

DEPARTMENT OF THE AIR FORCE  
HEADQUARTERS AERONAUTICAL SYSTEMS DIVISION (AFSC)  
WRIGHT-PATTERSON AIR FORCE BASE, OHIO 45433



REPLY TO  
ATTN OR DPC

15 JUN 1979

SUBJECT: Study of Merit Promotion Appraisals

TO: Study Participants (Supervisor)

1. The individual whose name appears on the top of the attached rating sheets has been randomly selected as part of a study of the Merit Promotion Appraisals.

2. The purpose of the study is to examine the effects that the viewpoint of the rater has on Merit Promotion Appraisals. For this study, please rate the employee based on his or her job activities only. We are asking for your view of the "precise" ratings based only on the wording of the scale steps. Do not assume, when you rate the employee, that you would have to feed back the ratings, or be concerned about the impact of the ratings on the employee's opportunity for promotion.

3. We would like you to fill out the questionnaire marked "Supervisor" and distribute the other three sets of questionnaires which are attached. Give the questionnaire marked "Self" to the named employee. Give the questionnaire marked "Alternate Supervisor" to another supervisor at your level or above who has some knowledge of the employee's work activity. Give the questionnaire marked "Co-worker" to another employee at about the same level as the named employee, who has an opportunity to observe the named employee's work. Retain the questionnaire marked "Supervisor" and complete it yourself.

4. We would like you to label each of the four questionnaires with the same six (6) digit record number so that the ratings can be linked together after we receive the completed questionnaires. You may use your birthday, part of your phone number, or any other six (6) digit number. Please do not use the date you received this letter or any other repeating number, such as 9 9 9 9 9 9, or a series like 1 2 3 4 5 6.

5. Enter the random number on each of the four questionnaires in the space for "record number".

6. We are also asking you to record on the attached "Supervisor" questionnaire, the ratings you actually reported for the employee. If you did not keep a copy of the ratings you reported, please call 83504 or 55654 and we will send you a copy.

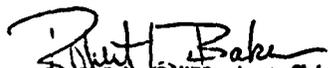
7. Do not use the name of the subordinate rated in this questionnaire. The ratings are anonymous.

8. Your cooperation in completing and promptly returning the questionnaire is appreciated and will help insure the quality of the system.

9. This questionnaire is self-addressed for return. Please fold as shown on the back page.

10. THIS STUDY IS COMPLETELY VOLUNTARY AND ANONYMOUS.

11. Please call Dr Norton or Dr Balloun at Ext. 33504 or 55654 if you have any questions about completing the questionnaire.

  
ROBERT L. BAKER, Asst Chief  
Civilian Personnel Division  
DCS/Personnel

4 Atch

1. "Supervisor" questionnaire
2. "Alternate Supervisor" questionnaire
3. "Self" questionnaire
4. "Co-worker" questionnaire

EMPLOYEE TO BE RATED \_\_\_\_\_

-----Cut or tear here-----

Please leave blank any questions which are not applicable or which you do not wish to answer.

SUPERVISOR

STUDY NO 3 0 (1)

CARD NO \_\_\_\_\_ (3)

1. Record number - the supervisor will randomly assign any six digit number to identify the employee. This number should already be written in to the right when you receive the questionnaire. RECORD NO \_\_\_\_\_ (4)

Several different kinds of raters will rate this employee and this record number is needed on all of their forms in order to allow linking of the different ratings for this employee.

2. The employee was rated on: \_\_\_\_\_ (10)

- 1 = Form A
- 2 = Form B
- 3 = Form C

3. Today's date: MONTH \_\_\_\_\_ (11)

DAY \_\_\_\_\_ (13)

YEAR \_\_\_\_\_ (15)

4. What is your organizational symbol?  
(Home Office for Collocates)

Fill in ASD 2-Ltr symbol ASD/\_\_\_\_ (17)

or check one of the options below: \_\_\_\_\_ (19)

- |         |       |       |       |          |       |
|---------|-------|-------|-------|----------|-------|
| ASD/ENA | _____ | AFWAL | _____ | AMRL     | _____ |
| ASD/ENE | _____ | AFAL  | _____ | AFHRL    | _____ |
| ASD/ENF | _____ | AFFDL | _____ | FTD      | _____ |
| ASD/ENO | _____ | AFML  | _____ | AFSC/PWQ | _____ |
| or ENS  | _____ | AFAPL | _____ | Other    | _____ |

The following question is optional

5. What is the sex of the employee to be rated? \_\_\_\_\_ (21)  
(1=Female; 2=Male)

6. If you are military, what is your rank? \_\_\_\_\_ (25)  
(NCO, 2LT, 1LT, CAP, MAJ, LTC, COL)

7. If you are civilian, what is your grade? \_\_\_\_\_ (28)

8. What is the grade of the employee to be rated? \_\_\_\_\_ (30)

8. Please record the reported and "precise" ratings in the spaces provided below.

Form A or B

Form C

|                                | Reported | Precise | Reported | Precise |
|--------------------------------|----------|---------|----------|---------|
| 1. Self Management             | —        | (33)    | —        | (32)    |
| 2. Work Administration         | —        | (35)    | —        | (35)    |
| 3. Problem Analysis            | —        | (37)    | —        | (37)    |
| 4. Decision Making             | —        | (39)    | —        | (39)    |
| 5. Speaking Ability            | —        | (41)    | —        | (41)    |
| 6. Writing Ability             | —        | (43)    | —        | (43)    |
| 7. Working Relationships       | —        | (45)    | —        | (45)    |
| 8. Work Leadership             | —        | (47)    | —        | (47)    |
| 9. Personnel Management        | —        | (49)    | —        | —       |
| 10. Performance under pressure | —        | (51)    | —        | —       |
| 11. Work Output                | —        | (53)    | —        | —       |

APPENDIX E

1979 FOLLOW-UP QUESTIONNAIRE, STUDY  
THIRTY-ONE, SELF RATING METHOD

DEPARTMENT OF THE AIR FORCE  
HEADQUARTERS AERONAUTICAL SYSTEMS DIVISION (AFSC)  
WRIGHT-PATTERSON AIR FORCE BASE, OHIO 45433



REPLY TO  
ATTN OF DPC

15 JUN 1979

SUBJECT: Study of Merit Promotion Appraisals

TO: Study Participants (Self-rating)

1. You have been randomly selected as part of a study of the Merit Promotion Appraisals. You are being asked to provide a rating of yourself from your viewpoint as an employee.
2. The purpose of the study is to examine the effect that the viewpoint of the rater has on Merit Promotion Appraisals. For this study, please rate yourself based on your job activities only. We are asking for your rating based only on the wording of the scale steps. Do not assume, when doing the rating, that you would have to feed back the ratings, or be concerned about the impact of the ratings on your opportunity for promotion.
3. The rating sheet which you return has been coded by your supervisor with a randomly selected number. You should tear or cut your name off the top of the rating sheet.
4. Please complete the appraisal within five days of receipt. The rating sheet is self-addressed for return. Please fold as shown on the back page.
5. Your cooperation in completing the appraisal is appreciated and will help insure the quality of the Merit Promotion Appraisal System.
6. THIS STUDY IS COMPLETELY VOLUNTARY AND ANONYMOUS.
7. Please call Dr Norton or Dr Balloun at Ext. 53504 or 55654 if you have any questions.

  
ROBERT L. BAKER, Asst Chief  
Civilian Personnel Division  
DCS/Personnel

1 Atch  
Questionnaire

EMPLOYEE TO BE RATED \_\_\_\_\_

-----Cut or tear here-----

Please leave blank any questions which are not applicable or which you do not wish to answer.

SELF

STUDY NO 3 1 (1)

CARD NO \_\_\_\_\_ (3)

RECORD NO \_\_\_\_\_ (4)

1. Record number - the supervisor will randomly assign any six digit number to identify you. This number should already be written in to the right when you receive the questionnaire.

Several different kinds of raters will rate you and this record number is needed on all of their forms in order to allow linking of the different ratings for you.

2. You were rated on: \_\_\_\_\_ (10)

- 1 = Form A
- 2 = Form B
- 3 = Form C

3. Today's date: MONTH \_\_\_\_\_ (11)

DAY \_\_\_\_\_ (13)

YEAR \_\_\_\_\_ (15)

4. What is your organizational symbol?  
(Home Office for Collocates)

Fill in ASD 2-ltr symbol ASD/ \_\_\_\_\_ (17)

or check one of the options below: \_\_\_\_\_ (19)

|         |       |       |       |          |       |
|---------|-------|-------|-------|----------|-------|
| ASD/ENA | _____ | AFWAL | _____ | AMRL     | _____ |
| ASD/ENE | _____ | AFAL  | _____ | AFHRL    | _____ |
| ASD/ENF | _____ | AFFDL | _____ | FTD      | _____ |
| ASD/ENO | _____ | AFML  | _____ | AFSC/PMQ | _____ |
| or ENS  | _____ | AFAPL | _____ | Other    | _____ |

The following question is optional

5. What is your sex? (1 = Female; 2 = Male) \_\_\_\_\_ (21)

6. What is your grade? \_\_\_\_\_ (25)

6. Please record your "precise" in the spaces provided below.

| <u>Form A or B</u>             |        | <u>Form C</u>                 |        |
|--------------------------------|--------|-------------------------------|--------|
| 1. Self Management             | — (33) | 1. Self Management            | — (33) |
| 2. Work Administration         | — (35) | 2. Work Administration        | — (35) |
| 3. Problem Analysis            | — (37) | 3. Personal Assistance        | — (37) |
| 4. Decision Making             | — (39) | 4. Information Processing     | — (39) |
| 5. Speaking Ability            | — (41) | 5. Communication              | — (41) |
| 6. Writing Ability             | — (43) | 6. Working Relationships      | — (45) |
| 7. Working Relationships       | — (45) | 7. Performance under Pressure | — (45) |
| 8. Work Leadership             | — (47) | 8. Work Output                | — (47) |
| 9. Personnel Management        | — (49) |                               |        |
| 10. Performance under Pressure | — (51) |                               |        |
| 11. Work Output                | — (53) |                               |        |

APPENDIX F

1979 FOLLOW-UP QUESTIONNAIRE, STUDY  
THIRTY-TWO, PEER RATING METHOD

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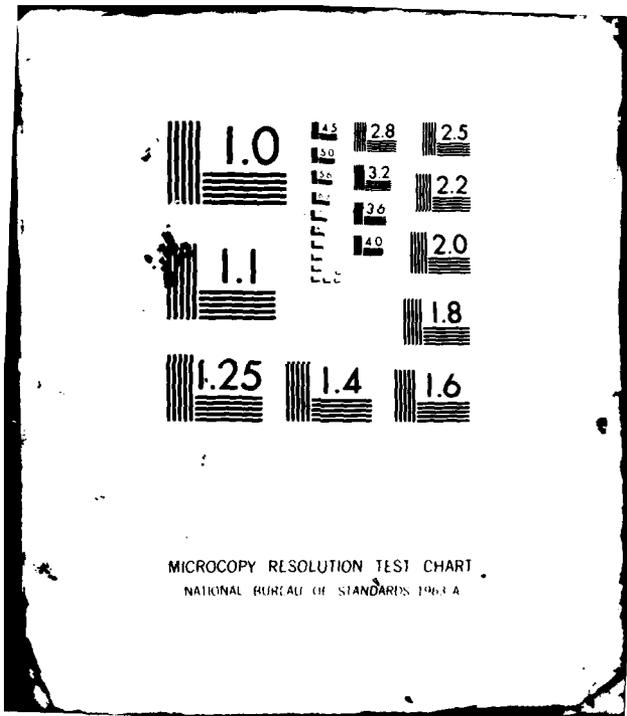
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DEPARTMENT OF THE AIR FORCE  
HEADQUARTERS AERONAUTICAL SYSTEMS DIVISION (AFSC)  
WRIGHT-PATTERSON AIR FORCE BASE, OHIO 45433



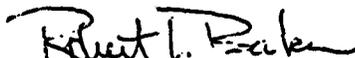
15 JUN 1979

REPLY TO  
ATTN OF: DPC

SUBJECT: Study of Merit Promotion Appraisals

TO: Study Participants (Co-worker)

1. The individual whose name appears on the top of the next page has been randomly selected as part of a study of the Merit Promotion Appraisals. You are being asked to provide a rating of this individual from your viewpoint as a fellow employee.
2. The purpose of the study is to examine the effect that the viewpoint of the rater has on Merit Promotion Appraisals. For this study, please rate the employee based on his or her job activities only. We are asking for your rating based only on the wording of the scale steps. Do not assume, when you rate the employee, that you would have to feed back the ratings, or be concerned about the impact of the ratings on the employee's opportunity for promotion.
3. The rating sheet which you return has been coded by the employee's supervisor with a randomly selected number. You should tear or cut the employee's name off the top of the rating sheet.
4. Please complete the appraisal within five days of receipt. The rating sheet is self-addressed for return. Please fold as shown on the back page.
5. Your cooperation in completing the appraisal is appreciated and will help insure the quality of the Merit Promotion Appraisal System.
6. THIS STUDY IS COMPLETELY VOLUNTARY AND ANONYMOUS.
7. Please call Dr Norton or Dr Balloun at Ext. 53504 or 55654 if you have any questions.

  
ROBERT L. BAKER, Asst Chief  
Civilian Personnel Division  
DCS/Personnel

1 Atch  
Questionnaire

EMPLOYEE TO BE RATED \_\_\_\_\_

-----Cut or tear here-----

Please leave blank any questions which are not applicable or which you do not wish to answer.

CO-WORKER RATING

STUDY NO 32 (1)

CARD NO \_\_\_\_\_ (3)

RECORD NO \_\_\_\_\_ (4)

1. Record number - the supervisor will randomly assign any six digit number to identify the employee. This number should already be written into the right when you receive the questionnaire.

Several different kinds of raters will rate this employee and this record number is needed on all of their forms in order to allow linking of the different ratings for this employee.

2. The employee was rated on: \_\_\_\_\_ (10)

- 1 = Form A
- 2 = Form B
- 3 = Form C

3. Today's date: MON \_\_\_\_\_ (11)

DAY \_\_\_\_\_ (13)

YEAR \_\_\_\_\_ (15)

4. What is your organizational symbol?  
(Home Office for Collocates)

FILL in ASD 2-itr symbol ASD/ \_\_\_\_\_ (17)

or check one of the options below: \_\_\_\_\_ (19)

- |               |             |                |
|---------------|-------------|----------------|
| ASD/ENA _____ | AFWAL _____ | AMRL _____     |
| ASD/ENE _____ | AFAL _____  | AFHRL _____    |
| ASD/ENF _____ | AFFDL _____ | FTD _____      |
| ASD/ENO _____ | AFML _____  | AFSC/PMO _____ |
| or ENS _____  | AFAPL _____ | Other _____    |

The following question is optional

5. What is the sex of the employee to be rated?  
(1 = Female; 2 = Male) \_\_\_\_\_ (21)

6. If you are military, what is your rank?  
(NCO, 2LT, 1LT, CAP, MAJ, LTC, COL) \_\_\_\_\_ (26)

7. If you are civilian, what is your grade? \_\_\_\_\_ (28)

8. What is the grade of the employee to be rated? \_\_\_\_\_ (30)

8. Please record your "precise" ratings in the spaces provided below.

| <u>FORM A OR B</u>             |        | <u>FORM C</u>                 |        |
|--------------------------------|--------|-------------------------------|--------|
| 1. Self Management             | — (33) | 1. Self Management            | — (33) |
| 2. Work Administration         | — (35) | 2. Work Administration        | — (35) |
| 3. Problem Analysis            | — (37) | 3. Personal Assistance        | — (37) |
| 4. Decision Making             | — (39) | 4. Information Processing     | — (39) |
| 5. Speaking Ability            | — (41) | 5. Communication              | — (41) |
| 6. Writing Ability             | — (43) | 6. Working Relationships      | — (43) |
| 7. Working Relationships       | — (45) | 7. Performance under Pressure | — (45) |
| 8. Work Leadership             | — (47) | 8. Work Output                | — (47) |
| 9. Personnel Management        | — (49) |                               |        |
| 10. Performance under Pressure | — (51) |                               |        |
| 11. Work Output                | — (53) |                               |        |

APPENDIX G

1979 FOLLOW-UP QUESTIONNAIRE, STUDY THIRTY-  
FOUR, ALTERNATE SUPERVISOR RATING METHOD

DEPARTMENT OF THE AIR FORCE  
HEADQUARTERS AERONAUTICAL SYSTEMS DIVISION (AFSC)  
WRIGHT-PATTERSON AIR FORCE BASE, OHIO 45433



REPLY TO  
ATTN OF: DPC

15 JUN 1979

SUBJECT: Study of Merit Promotion Appraisals

TO: Study Participants (Alternate Supervisor)

1. The individual whose name appears on the top of the next page has been randomly selected as part of a study of the Merit Promotion Appraisals. Although you do not supervise this employee, you are being asked to provide a rating from your viewpoint as a supervisor who is familiar with his or her work.
2. The purpose of the study is to examine the effect that the viewpoint of the rater has on Merit Promotion Appraisals. For this study, please rate the employee based on his or her job activities only. We are asking for your rating based only on the wording of the scale steps. Do not assume, when you rate the employee, that you would have to feed back the ratings, or be concerned about the impact of the ratings on the employee's opportunity for promotion.
3. The rating sheet which you return has been coded by the employee's supervisor with a randomly selected number. You should tear or cut the employee's name off the top of the rating sheet.
4. Please complete the appraisal within five days of receipt. The rating sheet is self-addressed for return. Please fold as shown on the back page.
5. Your cooperation in completing the appraisal is appreciated and will help insure the quality of the Merit Promotion Appraisal System.
6. THIS STUDY IS COMPLETELY VOLUNTARY AND ANONYMOUS.
7. Please call Dr Norton or Dr Balloun at Ext. 53504 or 55654 if you have any questions.

  
ROBERT L. BAKER, Asst Chief  
Civilian Personnel Division  
DCS/Personnel

1 Atch  
Questionnaire

EMPLOYEES TO BE RATED \_\_\_\_\_

-----Cut or tear here-----

Please leave blank any questions which are not applicable or which you do not wish to answer.

ALTERNATE SUPERVISOR

STUDY NO 3 4 (1)

CARD NO \_\_\_\_\_ (3)

RECORD NO \_\_\_\_\_ (4)

1. Record number - the supervisor will randomly assign any six digit number to identify the employee. This number should already be written in to the right when you receive the questionnaire.

Several different kinds of raters will rate this employee and this record number is needed on all of their forms in order to allow linking of the different forms for this employee.

2. The employee was rated on: \_\_\_\_\_

- 1 = Form A
- 2 = Form B
- 3 = Form C

3. Today's date: MONTH \_\_\_\_\_ (11)

DAY \_\_\_\_\_ (13)

YEAR \_\_\_\_\_ (15)

4. What is your organizational symbol?  
(Home office for collocates)

Fill in ASD 2-ltr symbol ASD/ \_\_\_\_\_ (17)

or check one of the options below:

|               |             |                |      |
|---------------|-------------|----------------|------|
| ASD/ENA _____ | AFWAL _____ | AMRL _____     | (19) |
| ASD/ENE _____ | AFAL _____  | AFHRL _____    |      |
| ASD/ENF _____ | AFFDL _____ | FTD _____      |      |
| ASD/ENO _____ | AFML _____  | AFSC/PWQ _____ |      |
| or ENS _____  | AFAPL _____ | Other _____    |      |

The following question is optional

5. What is the sex of the employee to be rated? \_\_\_\_\_ (21)  
(1 = Female; 2 = Male)

6. If you are military, what is your rank? \_\_\_\_\_ (25)  
(NCO, 2LT, 1LT, CAP, LTC, COL)

7. If you are civilian, what is your grade? \_\_\_\_\_ (28)

8. What is the grade of the employee to be rated? \_\_\_\_\_ (30)

8. Please record your "precise" ratings in the spaces provided below.

Form A or B

Form C

|                                |         |                               |         |
|--------------------------------|---------|-------------------------------|---------|
| 1. Self Management             | __ (33) | 1. Self Management            | __ (33) |
| 2. Work Administration         | __ (35) | 2. Work Administration        | __ (35) |
| 3. Problem Analysis            | __ (37) | 3. Personal Assistance        | __ (37) |
| 4. Decision Making             | __ (39) | 4. Information Processing     | __ (39) |
| 5. Speaking Ability            | __ (41) | 5. Communication              | __ (41) |
| 6. Writing Ability             | __ (43) | 6. Working Relationships      | __ (43) |
| 7. Working Relationships       | __ (45) | 7. Performance under Pressure | __ (45) |
| 8. Work Leadership             | __ (47) | 8. Work Output                | __ (47) |
| 9. Personnel Management        | __ (49) |                               |         |
| 10. Performance under Pressure | __ (51) |                               |         |
| 11. Work Output                | __ (53) |                               |         |

APPENDIX H  
DATA BASE FOR VALIDITY ANALYSIS

### Layout of Data For Validity Analysis

| <u>Column</u> | <u>Description of Data</u>           |
|---------------|--------------------------------------|
| 1-2           | Study Number                         |
| 3             | Card Number                          |
| 4-9           | Record Number                        |
| 10            | Form                                 |
| 11-12         | Month                                |
| 13-14         | Day                                  |
| 15-16         | Year                                 |
| 17-18         | ASD Two-letter Symbols               |
| 19-20         | Other Symbols                        |
| 21            | Sex                                  |
| 22-24         | Blank                                |
| 25-27         | Military Rank if Military            |
| 28-29         | Civilian Grade                       |
| 30-31         | Grade of Target Employee             |
| 32            | Blank                                |
| 33            | Study Rating for Factor 1            |
| 34            | Actual Rating for Factor 1 or Blank  |
| 35            | Study Rating for Factor 2            |
| 36            | Actual Rating for Factor 2 or Blank  |
| 37            | Study Rating for Factor 3            |
| 38            | Actual Rating for Factor 3 or Blank  |
| 39            | Study Rating for Factor 4            |
| 40            | Actual Rating for Factor 4 or Blank  |
| 41            | Study Rating for Factor 5            |
| 42            | Actual Rating for Factor 5 or Blank  |
| 43            | Study Rating for Factor 6            |
| 44            | Actual Rating for Factor 6 or Blank  |
| 45            | Study Rating for Factor 7            |
| 46            | Actual Rating for Factor 7 or Blank  |
| 47            | Study Rating for Factor 8            |
| 48            | Actual Rating for Factor 8 or Blank  |
| 49            | Study Rating for Factor 9            |
| 50            | Actual Rating for Factor 9 or Blank  |
| 51            | Study Rating for Factor 10           |
| 52            | Actual Rating for Factor 10 or Blank |
| 53            | Study Rating for Factor 11           |
| 54            | Actual Rating for Factor 11 or Blank |

Note: For target employees rated on Form C, only the first eight factors are filled out. The actual rating data is available on the Study Thirty data cards only. The actual rating data columns are left blank on the other study cards.

|                    |     |     |      |                        |      |
|--------------------|-----|-----|------|------------------------|------|
| 30100077930705790I | 1   | CAP | 04   | 7666667576757577       |      |
| 311300779          |     |     |      |                        |      |
| 32130077930705790I | 1   |     | 1204 | 7 7 7 7 7 7 7          |      |
| 34130077930705790I | 1   | LTC | 04   | 6 7 5 7 3 4 6 7        |      |
| 3013008401071379AC | 2   | LTC | 12   | 67 6666736674          | 7777 |
| 3113008401071379AC | 2   | 12  |      | 5 5 5 4 5 5 4          | 5 6  |
| 3213008401071979AC | 2   |     | 1112 | 5 4 3 3 5 6 5 4        | 4 5  |
| 3413008401071179AC | 2   |     | 1412 | 6 5 5 5 4 5 6 5        | 4 5  |
| 3013055253071279   | 061 |     | 0905 | 7576 7675647575        |      |
| 3113055253071079   | 061 | 05  |      | 7 7 7 7 7 7 7          |      |
| 3213055253071079   | 061 |     | 0505 | 4 6 6 5 4 5 4          |      |
| 3413055253071279   | 061 | LTC | 05   | 5 6 6 5 5 5 5          |      |
| 3013122072070979   | 102 | LTC | 14   | 66 66 557755           | 6677 |
| 311312207 070979   | 102 |     |      | 6 7 6 4 6 4            | 6 4  |
| 3213122072070979   | 102 |     | 1414 | 6 7 5 7 6 5            | 6 6  |
| 3413122072070979   | 142 |     | 1514 | 7 7 7 7 6              | 6 6  |
| 3013163683072079   | 021 | LTC | 05   |                        |      |
| 311316368          |     |     |      |                        |      |
| 321316368 072079EN | 1   |     | 0505 | 7 7 7 7 7 7 7 7 7 7    |      |
| 3413163683072079   | 021 |     | 1505 | 7 6 7 6 7 6 7          |      |
| 3013397303072379   | 031 |     | 1504 | 67 777776777           |      |
| 311339730          |     |     |      |                        |      |
| 321339730          |     |     |      |                        |      |
| 3413397303071979   | 031 |     | 14   | 7 6 6 7 6 6            |      |
| 3013415362071279AC | 2   | LTC | 12   | 777777655767776767777  |      |
| 3113415361072079   | 142 | 12  |      | 7 7 7 7 5 6 7 6 7 7 7  |      |
| 3213415361071279YZ | 2   | CAP | 12   | 7 7 7 7 4 6 7 7 7 7 7  |      |
| 341341536 072779AC | 2   |     | 1412 | 7 7 7 7 7 7 7 7 7 7    |      |
| 3013715293070679   | 091 |     | 14   | 4 7766 66667677        |      |
| 311371529          |     |     |      |                        |      |
| 3213715293072579   | 091 |     | 0504 | 5 6 6 7 6 7            |      |
| 341371529          |     |     |      |                        |      |
| 3013718121070979AE | 1   | MAJ | 09   | 77 66 777766           | 7777 |
| 311371812          |     |     |      |                        |      |
| 3213718121070979AE | 1   |     | 1209 | 7 7 7 6 7 6 6 6 7 6 7  |      |
| 3413718121070979AE | 1   | LTC | 09   | 7 6 7 6 7 6 7 6 7 6 7  |      |
| 3013840301070679   | 012 |     | 1413 | 6676656666667766766666 |      |
| 3113840301071279   | 012 | 13  |      | 6 6 6 7 6 6 7 7 7 7 7  |      |
| 321384030 071179   | 012 |     | 1313 | 6 7 6 6 6 6 7 6 7 6 6  |      |
| 3413840301071079   | 012 |     | 1313 | 7 7 6 7 5 6 7 7 7 7 6  |      |
| 3014032383071079   | 041 |     | 1405 | 666666 66777766        |      |
| 3114032383071079   | 041 | 05  |      | 6 6 7 6 7 7 6 7        |      |
| 3214032383071079   | 041 |     | 0505 | 6 6 6 5 6 6 6 6        |      |
| 341403238          |     |     |      |                        |      |
| 3014035441071779   | 022 |     | 1412 | 6554556555665555555467 |      |
| 3114035441071779   | 022 | 12  |      | 6 6 5 5 6 7            | 5 6  |
| 3214035441071379EN | 2   |     | 1412 | 6 5 6 5 5 6 7 6 5 7 6  |      |
| 3414035441071379EN | 2   |     | 1412 | 6 5 6 5 5 6 7 6 5 7 6  |      |
| 3014267071         |     |     |      |                        |      |
| 3114267071071379EN | 2   | 11  |      |                        |      |

321426707  
 341426707  
 3014279321071079 072 1412 5 6 5 5 6 5 6  
 3114279321070979 072 12 5 4 6 6 5 5 7 6 6 5  
 3214279321070979 072 1212 5 6 5 6 6 6 4 5 5 4 5  
 3414279321070979 072 1312 6 5 7 6 5 6 6 5 5 6  
 3014321682  
 311432168  
 321432168  
 3414321682071179 062 1409 5 4 4 4 4 5 5 5 6  
 3014561231  
 311456123  
 3214561231070979AC 1 0906 4 4 4 3 5 4 5 4  
 341456123 070979AC 1 12 4 4 4 4 4 4 4 4 4 4  
 3014730343070579 1 03 66 55666677  
 3114730343070579 061 03 6 5 6 5 7 7 7 7  
 3214730343080579 061 0403 7 7 7 7 7 7 7 7  
 341473034  
 3014930793  
 311493079  
 321493079  
 3414930793071679 141 0703 4 4 6 5 4  
 3015231741070979 092 LTC 14 7777676777676766777767  
 3115131741070979 092 14 6 6 6 7 6 7 6 6 7 6 6  
 3215131741071179 092 1414 7 6 6 6 6 6 5 7 7 6 6  
 341523174  
 3015296543072079AE 1 07 777676 75657677  
 3115296543071279AE 1 07 7 7 7 7 6 7 7  
 3215296543071079AE 1 0607 7 5 6 5 5 7  
 3415296543072379AE 1 COL 07 6 5 6 4 3 6 4  
 3015434643071079SD 1 MAJ 06 77 7777777777  
 3115434643071079SD 1 06 7 7 7 7 7 7  
 321543464  
 3415434643071079SD 1 1206 7 7 7 7 7 7  
 3015528301 SP 2 MAJ 09 77 665565556666 6677  
 3115528301071379SP 2 09 7 7 7 7 6 7 6 7 7  
 3215528301071679SP 2 0909 5 4 4 4 4 3 3 5 4 4 5  
 3415528301071379SP 2 1109 6 5 5 5 5 5 5 5 5 5 5  
 3015528471  
 311552847  
 3215528471070679EN 2 1212 6 7 7 7 6 5 7 6 6 6 3  
 3415528471070679EN 2 1412 6 6 5 5 6 6 7 6 5 6 6  
 3015534331  
 3115534331071779EN 2 12 7 6 7 7 6 6 6 7 6 7 7  
 3215534331071179 032 1312 6 6 7 6 6 5 6 6 6 7 7  
 341553433 071279EN 2 1412 7 7 6 6 6 6 7 6 6 6  
 3015539751071379EN 77777677777777777777  
 311553975  
 3215539751071179 032 1313 6 5 7 5 6 5 6 6 6 7 7  
 3415539751071179EN 2 1413 6 6 7 7 6 5 7 7 6 7 7



|                    |          |     |      |        |          |      |      |      |    |    |   |   |   |   |   |
|--------------------|----------|-----|------|--------|----------|------|------|------|----|----|---|---|---|---|---|
| 3217342413070979   | 141      |     | 0505 | 4      | 2        | 4    | 4    | 3    | 4  |    |   |   |   |   |   |
| 3417342413071179   | 141      | LTC | 05   | 6      | 5        | 7    | 7    | 6    | 6  |    |   |   |   |   |   |
| 3017351122071179   | 062      |     | 1414 | 5555   | 4444     | 6666 | 5555 | 5555 |    |    |   |   |   |   |   |
| 3117351122070579   | 062      | 14  |      | 6      | 5        | 5    | 6    | 7    | 7  | 5  | 5 | 6 | 6 |   |   |
| 3217351121071179   | 062      |     | 1314 | 4      | 4        | 3    | 4    | 5    | 5  | 4  | 4 | 4 | 3 |   |   |
| 341735112          |          |     |      |        |          |      |      |      |    |    |   |   |   |   |   |
| 3017419293070579PM | 1        |     | 1506 | 6666   | 76       | 6677 | 7676 |      |    |    |   |   |   |   |   |
| 311741929          | 070579PM | 1   | 06   | 6      | 6        | 6    | 7    | 7    | 7  |    |   |   |   |   |   |
| 3217419293070579PM | 1        |     | 0606 | 6      | 6        | 7    | 6    | 6    | 6  | 7  |   |   |   |   |   |
| 3417419193070579PM | 2        | MAJ | 06   | 7      | 7        | 6    | 6    | 7    | 7  |    |   |   |   |   |   |
| 3017771213071679YX | 01       | MAJ | 04   | 7      |          | 7    | 7    | 7    | 7  |    |   |   |   |   |   |
| 311777121          |          |     |      |        |          |      |      |      |    |    |   |   |   |   |   |
| 321777121          |          |     |      |        |          |      |      |      |    |    |   |   |   |   |   |
| 341777121          |          |     |      |        |          |      |      |      |    |    |   |   |   |   |   |
| 3017854891072379   | 032      |     | 1514 | 6555   | 7666     | 6666 | 6655 | 5566 |    |    |   |   |   |   |   |
| 311785489          |          |     |      |        |          |      |      |      |    |    |   |   |   |   |   |
| 3217854891072079   | 032      |     | 1414 | 3      | 5        | 5    | 5    | 5    | 5  | 6  | 5 | 4 | 4 |   |   |
| 34                 | 785489   |     |      |        |          |      |      |      |    |    |   |   |   |   |   |
| 3018137993080879AE | 1        |     | 1505 | 67     | 66       | 66   | 77   | 66   | 67 |    |   |   |   |   |   |
| 311813799          |          |     |      |        |          |      |      |      |    |    |   |   |   |   |   |
| 3218137993080979AE | 1        | COL | 05   | 6      | 6        | 6    | 7    | 6    | 7  |    |   |   |   |   |   |
| 3418137993080879AE | 1        |     | 1505 | 67     | 66       | 66   | 77   | 66   | 67 |    |   |   |   |   |   |
| 3018210003072579   | 041      |     | 1505 | 677777 | 77777777 |      |      |      |    |    |   |   |   |   |   |
| 311821000          |          |     |      |        |          |      |      |      |    |    |   |   |   |   |   |
| 321821000          |          |     |      |        |          |      |      |      |    |    |   |   |   |   |   |
| 341821000          |          |     |      |        |          |      |      |      |    |    |   |   |   |   |   |
| 3018336751062679   | 092      |     | 1514 | 77     | 66       | 55   | 577  | 6666 |    |    |   |   |   |   |   |
| 3118336751072679   | 092      | 14  |      | 6      | 6        | 5    | 5    | 4    | 4  | 5  | 5 | 6 | 6 |   |   |
| 3218336751072679   | 092      | CAP | 24   | 7      | 6        | 6    | 6    | 7    | 7  | 6  | 6 | 7 | 7 |   |   |
| 3418336751072679   | 092      |     | 1514 | 6      | 5        | 7    | 5    | 4    | 5  | 6  | 5 | 4 | 6 | 5 |   |
| 3018646203070679YP | 1        |     | 1305 | 6      | 6        | 5    | 5    | 6    | 7  |    |   |   |   |   |   |
| 3118646203070679YP | 1        | 05  |      | 6      | 5        | 5    | 5    | 6    | 6  | 6  |   |   |   |   |   |
| 321864620          |          |     |      |        |          |      |      |      |    |    |   |   |   |   |   |
| 341864620          |          |     |      |        |          |      |      |      |    |    |   |   |   |   |   |
| 3019131362072079   | 092      |     | 1305 | 77     | 66       | 66   | 66   | 55   | 66 | 67 |   |   |   |   |   |
| 3119131362071179   | 092      | 05  |      | 7      | 7        | 7    | 7    | 7    | 6  | 7  | 7 | 7 | 7 |   |   |
| 3219131362072079   | 092      |     | 0805 | 6      | 6        | 6    | 5    | 7    | 6  | 6  |   |   |   |   |   |
| 3419131362070679   | 051      |     | 13   | 5      | 6        | 6    | 6    | 6    | 5  | 6  | 6 | 5 | 5 | 6 |   |
| 3019249251         |          |     |      |        |          |      |      |      |    |    |   |   |   |   |   |
| 311924925          | 071579EN | 2   | 14   |        | 7        | 7    | 6    | 6    | 6  | 6  | 7 | 6 | 6 | 6 | 7 |
| 3219249251071379EN | 2        |     | 1314 | 6      | 7        | 6    | 6    | 7    | 7  | 7  | 7 | 6 | 6 | 7 |   |
| 3419249251071379EN | 2        |     | 1314 | 6      | 7        | 6    | 6    | 7    | 7  | 7  | 7 | 6 | 6 | 7 |   |
| 3019812763071079AC | 1        | CAP | 03   | 66     | 66       | 77   | 66   | 55   | 66 |    |   |   |   |   |   |
| 311981276          |          |     |      |        |          |      |      |      |    |    |   |   |   |   |   |
| 3219812763071079AC | 1        |     | 0503 | 7      | 0        | 0    | 7    | 6    | 7  | 7  | 7 |   |   |   |   |
| 341981276          | 070679AC | 1   | 1103 | 7      | 7        | 6    | 7    | 6    | 7  |    |   |   |   |   |   |
| 3019886543072079PM | 1        |     | 1405 | 4555   | 46       | 5656 | 4545 |      |    |    |   |   |   |   |   |
| 3119886543073079PM | 1        | 05  |      | 6      | 6        | 6    | 6    | 6    | 6  | 7  | 7 |   |   |   |   |
| 3219886543072079PM | 1        |     | 1205 | 5      | 5        | 5    | 4    | 6    | 6  | 5  | 5 |   |   |   |   |
| 341988654          |          |     |      |        |          |      |      |      |    |    |   |   |   |   |   |

|                    |     |      |      |    |    |    |    |    |
|--------------------|-----|------|------|----|----|----|----|----|
| 3012234563         |     |      |      |    |    |    |    |    |
| 3112234563071779   | 062 | 06   | 7    | 7  | 6  | 6  | 7  | 7  |
| 3212234563071779   | 062 | 0606 | 6    | 6  | 5  | 5  | 6  | 6  |
| 341223456          |     |      |      |    |    |    |    |    |
| 3012239563071779   | 062 | NCO  | 06   | 77 | 77 | 66 | 66 | 66 |
| 3112239563071779   | 062 | 06   | 7    | 7  | 6  | 6  | 7  | 7  |
| 3212239563071779   | 062 | 0606 | 6    | 6  | 5  | 5  | 6  | 6  |
| 341223956          |     |      |      |    |    |    |    |    |
| 3012427251070979   | 032 |      | 1512 | 55 | 44 | 55 | 53 | 44 |
| 3112427251070979   | 032 | 12   |      | 5  | 4  | 5  | 4  | 4  |
| 3212427251070979   | 032 |      | 1212 | 5  | 5  | 7  | 6  | 4  |
| 3412427251070979   | 032 |      | 1312 | 5  | 4  | 6  | 5  | 3  |
| 3012504401072579   | 012 | MAJ  | 12   | 56 | 56 | 56 | 66 | 56 |
| 311250440          |     |      |      |    |    |    |    |    |
| 3212504401071379   | 012 |      | 1213 | 6  | 6  | 6  | 5  | 5  |
| 341250440          |     |      |      |    |    |    |    |    |
| 3012539511071979   | 032 |      | 1412 | 66 | 77 | 76 | 66 | 77 |
| 311253951          |     |      |      |    |    |    |    |    |
| 3212539511072379   | 032 |      | 1512 | 7  | 6  | 7  | 7  | 6  |
| 341253951          |     |      |      |    |    |    |    |    |
| 3012332381         |     |      |      |    |    |    |    |    |
| 311233238          |     |      |      |    |    |    |    |    |
| 321233238 071079   | 021 |      | 05   |    |    |    |    |    |
| 341233238          |     |      |      |    |    |    |    |    |
| 3012543762071079   | 052 |      | 1312 | 77 | 67 | 65 | 55 | 46 |
| 3112543762070979   | 072 | 12   |      | 6  | 5  | 6  | 7  | 4  |
| 3212543762070979   | 072 |      | 1212 | 7  | 7  | 6  | 4  | 4  |
| 341254376          |     |      |      |    |    |    |    |    |
| 3012624631072079   | 061 |      | 1409 |    | 7  | 7  | 6  | 7  |
| 311262463 072079   | 062 | 09   |      | 5  | 4  | 4  | 6  | 4  |
| 3212624631072079   | 061 |      | 1209 | 5  | 6  | 5  | 5  | 6  |
| 3412624631072079   | 062 |      | 1509 | 7  | 6  | 5  | 6  | 7  |
| 3012641321         |     |      |      |    |    |    |    |    |
| 311264132 070679SD | 2   | 09   |      | 4  | 5  | 4  | 5  | 4  |
| 321264132          |     |      |      |    |    |    |    |    |
| 3412641321070979SD | 2   |      | 1409 | 5  | 5  | 5  | 4  | 2  |
| 3012624671         |     |      |      |    |    |    |    |    |
| 311262467          |     |      |      |    |    |    |    |    |
| 321262467          |     |      |      |    |    |    |    |    |
| 3412624671072079   | 062 |      | 1509 | 7  | 6  | 5  | 6  | 7  |
| 3012754101071379   | 071 |      | 1313 | 6  | 5  | 5  | 5  | 6  |
| 3112754101071679   | 071 | 13   |      | 5  | 5  | 5  | 5  | 6  |
| 3212754101071879   | 071 |      | 1213 | 5  | 4  | 4  | 5  | 4  |
| 341275410          |     |      |      |    |    |    |    |    |
| 3012943233070679XR | 1   | LTC  | 06   |    |    |    |    |    |
| 3112943233071079AC | 1   | 06   |      | 5  | 7  | 7  | 7  | 7  |
| 3212943233070979XR | 1   |      | 1106 | 4  | 4  | 2  | 3  | 4  |
| 3412943233071179AC | 1   | MAJ  | 06   | 4  | 3  | 4  | 4  | 3  |

|                    |     |     |       |                        |      |
|--------------------|-----|-----|-------|------------------------|------|
| 3010405381070679   | 072 |     | 1412  | 7667777743667766       | 5465 |
| 3110405381070679   | 072 | 12  |       | 5 5 4 6 6 5            | 5 5  |
| 3210405381070679   | 012 |     | 1212  | 7 5 5 5 6 5            | 6 6  |
| 3410405381071079   | 072 |     | 1312  | 6 5 6 4 6 6            | 6 5  |
| 3010543363070979PM | 1   | MAJ | 05 55 | 66665566               |      |
| 311054336          |     |     |       |                        |      |
| 321054336          |     |     |       |                        |      |
| 3410543363071079SD | 1   | MAJ | 05 5  | 6 7 6 6                |      |
| 3010603471071979   | 022 |     | 1413  | 7766666644556677776677 |      |
| 3110603471071079PM | 2   | 13  |       | 7 6 7 7 5 5 7 7 6 6 7  |      |
| 3210603471071679   | 022 |     | 1313  | 6 6 6 5 5 5 5 6 5 4 5  |      |
| 3410603471071679   | 022 |     | 1313  | 6 6 6 5 5 5 5 6 5 4 5  |      |
| 3010629321         |     |     |       |                        |      |
| 3110629321071879   | 042 | 14  |       | 6 6 6 7 6 6 7 6 6 6 6  |      |
| 3210629322071779   | 042 |     | 1414  | 6 6 5 5 5 6 5 5        | 5 6  |
| 341062932          |     |     |       |                        |      |
| 3010730541070979YZ | 2   |     | 1513  | 766677766676777767777  |      |
| 311073054          |     |     |       |                        |      |
| 3210730541071679YZ | 2   | LTC | 13    | 7 6 7 7 7 6 7 7 6 6 7  |      |
| 341073054 070679   | 032 |     | 1513  | 7 6 7 7 7 7 6 7        | 7 7  |
| 3010910661071279   | 072 |     | 1413  | 7766776666667777       | 7777 |
| 311091066          |     |     |       |                        |      |
| 3210910661071679   | 072 |     | 1313  | 6 6 6 6 6 5 6 6        | 6 7  |
| 341091066          |     |     |       |                        |      |
| 3011107423071779   | 071 |     | 1304  | 66 66776677            |      |
| 3111107423071779   | 071 | 04  |       | 6 7 7 6 5              |      |
| 3211107423071379   | 071 |     | 1104  | 5 6 6 5 5              |      |
| 3411107423071379   | 071 | CAP | 04 6  | 7 6 7 6                |      |
| 3011111411070979EN | 2   |     | 1413  | 665566665566555445555  |      |
| 3111111411071379   | 2   | 13  |       | 5 5 6 6 5 5 6 5 5 6 6  |      |
| 3211111411070979   | 032 |     | 1213  | 6 5 6 5 5 5 6 6 7 4 6  |      |
| 341111141          |     |     |       |                        |      |
| 3011201451070679   | 072 |     | 1312  | 65 6565656554          | 6555 |
| 311120145          |     |     |       |                        |      |
| 3211201452070979   | 072 |     | 1212  | 5 5 7 5 6 4 4 4        | 4 7  |
| 3411201451070979   | 072 |     | 1412  | 6 5 5 5 5              | 5 6  |
| 3011229321071379   | 012 |     | 1413  | 777777777777677        | 7777 |
| 311122932          |     |     |       |                        |      |
| 3211229321071379   | 012 |     | 1313  | 7 6 7 7 7 6 6 7        | 7 7  |
| 3411219211071379   | 042 |     | 1413  | 5 5 6 6 6 5 6 6 5 6 6  |      |
| 3011233211070579DE | 2   |     | 1412  | 77 77 666666           | 6666 |
| 3111233211070579DE | 2   | 12  |       | 6 6 5 6 6              | 6 6  |
| 3211233211070579DE | 2   |     | 1312  | 7 7 6 7 7              | 7 7  |
| 3411233211070579DE | 2   |     | 1412  | 5 5 5 6 6              | 6 7  |
| 3011234561         |     |     |       |                        |      |
| 311123456          |     |     |       |                        |      |
| 321123456          |     |     |       |                        |      |
| 3411234561072679SD | 2   |     | 1613  | 7 7 6 6 6 6 6 6 6 6 6  |      |
| 3011290121         |     |     |       |                        |      |
| 311129012          |     |     |       |                        |      |

321129012  
341129012 071079DE 2 1512  
3011234591  
3111234591073079DP 1 12 7 7 6 7 7 6 7 7  
3211234591073079DP 1 1212 7 7 7 7 6 7 7  
341123459  
3011257903071079PM 2 1405 5 4 4 4 5  
311125790  
3211357903071279PM 1 0505 2 2 2 3 5 4 4  
3411357903071279SD 1 1305 1 1 1 1 1 1  
3011407141070979 022 1414 7666777766767675757676  
311140714  
3211407141071079YP 2 MAJ 14 7 7 7 7 6 7 7 7 6 7 7  
341140714  
3011514011071679 042 1514 5666555555665566 65555  
311151401 071879 042 14 7 7 6 7 7 6 7 7 7 7 6  
3211514011081879XB 2 1314 6 2 4 4 5 1 1 4 1  
341151401  
3011543761071779 072 1313 77 57767555565 6 6677  
3111543761071779 072 13  
3211543761071779 072 13 6 6 6 6 4 4 6 6 6 6 6  
341154376  
3011709503071379 091 CAP 04 7 7 7 7 7 7 7  
3111709503070979 091 04 7 7 7 7 7 6 7  
321170950  
3411709503070979 091 1104 6 7 7 7 6 7  
3011751753070679 061 1304 65 76657665  
311175175  
321175175  
3411751753072679 061 CAP 03 5 5 5 4 4  
3011929741070579PM 6666766676557666666666  
3111929741070579PM 2 14 6 5 6 6 6 6 6 5 6 6  
3211929741070579PM 2 1414 6 5 6 6 7 6 6 6 6 6  
3411929741070579PM 2 MAJ 14 6 5 7 6 7 6 6 5 6 6  
3011942791070579 012 1414 66666666666665556655  
311194279 6 5 6 6 5 6 6 6 6 6  
321194279 070579 012 1314 7 6 6 7 6 7 7 7 6 6 6  
341194279  
3012027851  
311202785  
3212027851070979 012 1213 5 6 5 5 5 7 1 6 6  
3412027851071279 2 1413 5 5 5 4 3 4 5 5  
3012222321  
311222232 070979 032 12 7 5 6 6 5 6 6 6 7 5 6  
3212222321071379 032 1313 6 5 7 6 5 5 6 6 6 6 6  
341222232  
3012356001  
311235600  
321235600  
341235600

3019861131

311986113

3219861131070979 032 1LT 13 5 4 4 5 5 5 4 3 4 4 5

3419861131070979 032 1413 6 5 5 5 5 6 5 5 5 6 6

APPENDIX I

1979 FOLLOW-UP QUESTIONNAIRE FOR MANAGERS  
RATING EMPLOYEES, STUDY TWENTY-FOUR

DEPARTMENT OF THE AIR FORCE  
MEMORANDUM FOR THE AIR FORCE  
PERSONNEL DIVISION



ASD/DHC 30 March 1979

Follow-Up Questionnaire for Managers Rating Employees on Merit Promotion Appraisal System

Managers Rating Employees on the New Merit Appraisal Form  
1. Now that the 1978 implementation of the Merit Appraisal form is complete, the attached questionnaire is being distributed to assess the reaction of those involved.

2. This questionnaire is voluntary. Your answers will be anonymous and will be averaged in with those of other managers.

3. Your cooperation in completing and promptly returning the questionnaire is appreciated and will help insure a high quality system.

4. This questionnaire is self-addressed for return. Please fold as shown on back page.

5. Please call Dr Morton or Dr Balloun at Ext 53504 or 55654 if you have any questions.

*W. Clayton*  
1 Atch  
William Personnel Division  
DCS/Personnel  
Follow-Up Questionnaire  
for Managers

MERIT PROMOTION APPRAISAL SYSTEM

FOLLOW-UP QUESTIONNAIRE FOR MANAGERS RATING EMPLOYEES ON ASD FORMS 387, 388 & 389

THIS QUESTIONNAIRE IS VOLUNTARY AND ANONYMOUS

As part of the implementation process we would like to get your reaction to the new merit appraisal forms. The responses which you give should be based on your experience in using the new forms to conduct promotion

appraisals. This questionnaire should be completed only by those supervisors who have used the new forms to conduct promotion appraisals on their own subordinates.

Your input will play an important part in determining whether changes should be made to improve the merit promotion appraisal system. We would appreciate getting your frank responses to the questions as well as any additional comments you might have.

The questionnaire should be filled out anonymously. Please answer the questions as honestly as possible. If you have difficulty answering a question with the alternatives given, choose the one that comes closest to your own opinion. If you do not know the answer to a question, or if it is inapplicable, please leave it blank. However, please try to answer all the items.

Answer each question in the space provided to its right. (The numbers in parenthesis refer to column numbers on IBM cards for the use of the keypunchers).

The completed questionnaires should be mailed to Dr Steven Morton, ASD/DPCB within five days of receipt. Thank you very much for your cooperation.

|                           |           |     |      |          |   |   |      |
|---------------------------|-----------|-----|------|----------|---|---|------|
| 1. Today's date (e.g. 01) | MONTH     | DAY | YEAR | STUDY NO | 2 | 4 | (1)  |
| (Leave Blank)             | RECORD NO |     |      | CARD NO  | 1 |   | (3)  |
|                           |           |     |      |          |   |   | (4)  |
|                           |           |     |      |          |   |   | (8)  |
|                           |           |     |      |          |   |   | (10) |
|                           |           |     |      |          |   |   | (12) |
|                           |           |     |      |          |   |   | (14) |

2. What is your organizational symbol?  
(e.g.  $\frac{S}{N} \frac{C}{O} \frac{I}{A} \frac{F}{A} \frac{L}{A} \frac{L}{A} \frac{L}{A} \frac{L}{A}$ )

3. If you are military, what is your rank? (NCO, 2LT, 1LT, CAP, MAJ, LTC, COL)  
10% 26% 40% 16%

4. If you are civilian, what is your grade? Median= 13/14

8. What level supervisor are you? (27)
- 1 = Branch Chief or other first level supervisor 57%
- 2 = Division Chief or other second level supervisor 29%
- 3 = Third level supervisor, or higher 10%
- 4 = Other Supervisory position: 2%
9. How long have you been a supervisor in government service or elsewhere? (28)
- (e.g. 1 year = 01) Median= 09 MONTHS (30)
10. How long have you worked as a formal supervisor at Wright-Patterson? Median= 05 YEARS MONTHS (32) (34)
11. For how many immediate subordinates do you have a direct formal supervisory responsibility? Median= 06 (36)
12. Did you attend a Merit Promotion Appraisal training session in the fall of 1977? (1 = Yes; 2 = No) Yes= 47% (38)
13. Did you attend a Merit Promotion Appraisal training session in the fall of 1978? (1 = Yes; 2 = No) Yes= 86% (39)
14. How much information do you have regarding?
- 1 = No information
- 2 = Some information
- 3 = Fair amount of information
- 4 = A great deal of information
15. Where the completed appraisal forms go
- a. How the appraisal information is stored
- b. What appraisal information is stored
- c. How long appraisal information is stored
- d. How the appraisal information can be retrieved by a manager
- e. How the appraisal information is used in merit promotion
- f. What is involved in the total merit promotion process
16. winter of 1978 for Laboratory organizations

|    | 1  | 2  | 3  | 4  |
|----|----|----|----|----|
| a. | 6  | 34 | 39 | 24 |
| b. | 27 | 39 | 26 | 9  |
| c. | 37 | 16 | 38 | 9  |
| d. | 37 | 19 | 14 | 8  |
| e. | 33 | 36 | 24 | 6  |
| f. | 6  | 37 | 39 | 16 |
| g. | 6  | 39 | 39 | 15 |

12. How much more information would you like to have on the merit promotion process? (47)
- 22% 1 = No more
- 27% 2 = Somewhat more
- 3 = More 36%
- 4 = A great deal more 14%
13. Are ASD commanders sent out a letter to all of the ASD serviced organizations. This letter described his concern with the quality and equity of the promotability appraisals to be done this year. It also described his charge to the Chiefs/Directors/Commanders to be responsible for quality control over the rating process. (48)
- Which of the following best describes what you knew of the letter when you completed the appraisals for your subordinates?
- 1 = I hadn't heard of it 10%
- 2 = I had heard of it but I was not aware of its specific content 20%
- 3 = I had seen a copy of the letter 69%
14. Do you have the impression that ASD Management is serious about enforcing the quality control provisions? (1 = Yes; 55% 2 = No; 3 = Don't know) 19% 26% (49)
15. Do you think that quality control of the appraisals will be effective if enforced? (1 = Yes; 2 = No; 3 = Don't know) 45% 30% 25% (50)
16. Do you think that the quality control procedures this year are an improvement over last year? (1 = Yes; 2 = No; 3 = Don't know) 33% 30% 36% (81)
17. Do you think or expect that the ratings given by supervisors outside of your own two letter organization can be fairly compared to the ratings given in your organization? (1 = Yes; 2 = No; 3 = Don't know) 12% 44% 44% (82)

See Laboratory or FTP

18. Do you think that the quality control procedures this year improved the extent to which the different organization's ratings could be fairly compared? (1 = Yes; 2 = No; 3 = Don't know) 22% 35% 44%

19. Did your boss tell you that the promotion ratings you gave were:  
 1 = Too high 9%  
 2 = About right 63%  
 3 = Too low 8%  
 4 = Don't know or wasn't told 19%

20. Were you asked to provide examples or other evidence to support the ratings which you gave? (1 = Yes; 2 = No) Yes= 32%

21. Did your boss tell you how good a job you did in appraising your subordinates? (1 = Yes; 2 = No) Yes= 33%

22. Did your boss tell you that your performance in doing the ratings was:  
 1 = Poor 0%  
 2 = Fair 3%  
 3 = Good 28%  
 4 = Excellent 9%  
 5 = Didn't know or wasn't told 61%

23. Several of the two letter Commanders/Directors/Chiefs issued instructions to their supervisors before the ratings were conducted. These instructions were to emphasize the importance of the appraisals and in some instances to specify the steps which should be followed in completing and reporting these appraisals. Which of the following best describes what you had heard of any such statement or letter from your own two letter Commander/Director/Chief when you had completed the appraisals for your subordinates?  
 1 = I hadn't heard of it 23%  
 2 = I had heard of it, but I was not aware of any specific details 19%  
 3 = I know the specific content of the message 57%

24. Were you instructed to review the appraisals of your subordinates with your supervisor before discussing them with your subordinates? (1 = Yes; 2 = No) Yes= 90% (53)

25. Did anyone tell you what would constitute a "good job" of appraising your subordinates before you did the appraisal? (1 = Yes; 2 = No) Yes= 42% (54)

26. The following statements describe different approaches to rating a subordinate. Please indicate whether each statement below describes what you did. (1 = Yes; 2 = No) % Yes

a. Did you rate according to your own interpretation of the factors and not worry about the scale step definitions? 20 (51)

b. Did you rate according to the match between what the subordinate did and the factor definitions and factor step definitions? 91 (52)

c. Did you rate so that only a certain percentage of the rates were at or above some particular numerical score? 33 (53)

d. Did you rate so that the average of your rates was about the same as that of other supervisors in your organization? 27 (54)

e. Did you try not to rate too high? 69 (55)

f. Did you rate so that there was an approximately "Normal" (Bell Shaped) distribution of ratings? 26 (56)

g. Did you rate the employee against others in the same job series? 56 (57)

h. Did you rate the employee against others in the same job series at the same GS level? 61 (58)

i. Did you rate the employee against what you would normally expect from the job description for an employee at that GS level in that job series? 90 (59)

j. Did you rank order the employees; then assign numerical ratings to fit their rank order? 23 (70)

k. Other (Please describe) \_\_\_\_\_ (12)

27. Do you know of any instances in your two-letters organization where a supervisor was asked by his supervisor or by higher authority to revise his or her ratings before discussing them with the subordinate? (1 = Yes; 2 = No) Yes = 4%

28. Do you know of any instances in your two-letters organization where one organizational unit was asked by your Chief/Director/Commander to revise their ratings? (1 = Yes; 2 = No) Yes = 25%

STUDY NO 2 4 (1)  
CARD NO 2 (3)  
RECORD NO (Leave Blank) (4)

29. Have you heard of any cases in which a rating was influenced by one of the factors below? (1 = Yes; 2 = No)

- a. Opportunity to demonstrate potential was limited by the job itself
- b. The supervisor could not observe the employee
- c. The supervisor lacked the technical knowledge to judge employee
- d. The supervisor was influenced by the employee's race, religion, sex or age

See Laboratory or FTD

e. Higher ratings were given to other employees because the employee was not likely to be considered for competitive promotion (for example, because of technical specialty, time in grade, etc.) 23 (12)

f. Other (Please describe) \_\_\_\_\_

30. In the feedback sessions, which two factors did the employees seem to find most meaningful? (Mark "1" after each of the two most meaningful factors. Leave the others blank).

- a. Self Management .1%
- b. Work Administration 6.1%
- c. Problem Analysis 5.6%
- d. Decision Making 7.9%
- e. Personal Assistance .92%
- f. Information Processing .76%
- g. Speaking Ability 1.4%
- h. Writing Ability 2.4%
- i. Communication Ability 4.9%
- j. Working Relationships 10.4%
- k. Work Leadership 4.0%
- l. Personnel Management & EEO Commitment .76%
- m. Performance Under Pressure 7.5%
- n. Work Output 15.7%
- o. Don't Know 10.5%

31. How well do you think the factor definitions fit the jobs of the subordinates whom you rated? (28)

1% 1 = Not at all 3 = Well 82%  
13% 2 = Poorly 4 = Almost perfectly 4%

32. How useful did you find the scale step definitions? (29)

2% 1 = Of no use 4 = Very useful 69%  
25% 2 = Little use 5 = I did not try to use the scale step definitions 1%  
4% 3 = Useful

33. Did the merit appraisal training which you received help you to better understand how to perform the merit promotion appraisal ratings?

4% 1 - The training was of no use  
 13% 2 - The training was of little use  
 31% 3 - The training was of some use  
 49% 4 - The training was useful  
 2% 5 - I did not attend the training

(30)

34. Do you think that most managers performed the merit appraisal ratings with conscientious use of factor definitions and rating steps in the new form?

5% 1 - Definitely not  
 22% 2 - Probably not  
 53% 3 - Probably yes  
 5% 4 - Definitely yes  
 14% 5 - Don't know

(31)

35. How well do you think the new set of forms (Forms A, B, and C) with their definitions and lists of jobs to be appraised under each form, fit the jobs of your particular subordinates?

1 - Much worse than it was under the old system  
 2 - Somewhat worse  
 3 - No difference  
 4 - Somewhat better  
 5 - Much better

|           | A   | B   | C   |
|-----------|-----|-----|-----|
| a. Form A | 2%  | 3%  | 2%  |
| b. Form B | 5%  | 5%  | 6%  |
| c. Form C | 20% | 22% | 21% |
|           | 61% | 59% | 57% |
|           | 12% | 11% | 14% |

36. For how many of each of the following groups of subordinates did you complete a merit promotion appraisal using one of the new forms?

| Group   | Form A | Form B | Form C | Median |
|---|--------|--------|--------|--------|
| a. Form A (e.g. scientists, engineers, accountants) | 3      | ---    | ---    | 3      |
| b. Form B (e.g. technicians, clerical supervisors)  | ---    | ---    | ---    | 0      |

(32)

(33)

(34)

(35)

(37)

c. Form C (e.g. clerk/typists, clerk specialists, secretaries)

(39)

37. How much impact do you think numerical ratings given on the appraisal forms (A, B, and C) have on whether an employee is promoted?

| Rating           | Form A | Form B | Form C | Median |
|------------------|--------|--------|--------|--------|
| 1 - Very little  | 25%    | 13%    | 34%    | 1      |
| 2 - Little       | 15%    | 14%    | 38%    | 2      |
| 3 - Some         | 26%    | 39%    | 36%    | 3      |
| 4 - A great deal | ---    | ---    | ---    | 4      |

(40)

(41)

(42)

38. Did you have a feedback session with each employee you supervise?

(43)

39. How many minutes, on the average, did you spend rating each employee and preparing for the feedback session?

(44)

(47)

(49)

(81)

40. How many minutes, on the average, did you spend giving feedback to each employee? (0 = 0 min, 1 = 10 min, 2 = 20 min, 3 = 30 min, 4 = 40 min, etc.)

(47)

(49)

(81)

41. Did you have adequate time to carry out the appraisal and feedback process? (1 = Yes; 2 = No)

(47)

(49)

(81)

42. How well do you think you handled your feedback interviews with your subordinates?

(47)

(49)

(81)

| Rating          | Form A | Form B | Form C | Median |
|-----------------|--------|--------|--------|--------|
| 1 - Very poorly | 1%     | 1%     | 3%     | 1      |
| 2 - Poorly      | 3%     | 2%     | 10%    | 2      |
| 3 - Adequately  | ---    | ---    | ---    | 3      |

|   | 1  | 2   | 3  | 4  | 5  | 6       |
|---|----|-----|----|----|----|---------|
| e. Do you have a better understanding of your direct subordinates as people?              | .8 | -   | 86 | 14 | 3  | 1 (58)  |
| d. Do you find it easier to talk with your direct subordinates about job problems?        | .3 | .8  | 76 | 19 | 2  | .8 (57) |
| e. Do your subordinates initiate more discussions of their job problems with you?         | .3 | 1   | 86 | 9  | 2  | .6 (56) |
| f. Do you have a better understanding of your own supervisor's expectations of you?       | .3 | 2   | 80 | 10 | 1  | 6 (59)  |
| g. Do you find it easier to lead your subordinates in following a given course of action? | .6 | 86  | 12 | .6 |    | .6 (60) |
| h. Will you observe your subordinates' progress more closely?                             | .6 | .3  | 67 | 26 | 4  | .6 (61) |
| i. Will you record your subordinates' job activities more carefully?                      | .6 | .68 | 26 | 3  | .8 | (62)    |

|  | 1 | 2 | 3 | 4 | 5 | 6    |
|--|---|---|---|---|---|------|
| 43. How would you compare the feedback interview you had with your supervisor to the interviews that you had with your subordinates? |   |   |   |   |   | (52) |
| 4% 1 - My interview with my supervisor was better.   |   |   |   |   |   |      |
| 37% 2 - There was no particular difference   |   |   |   |   |   |      |
| 23% 3 - My interviews with my subordinates were better   |   |   |   |   |   |      |
| 40% 4 - I did not have a feedback interview with my supervisor   |   |   |   |   |   |      |
| 44. How suitable is your office for private discussions such as feedback interviews with subordinates?                               |   |   |   |   |   | (53) |
| 50% 1 - Completely enclosed private office   |   |   |   |   |   |      |
| 15% 2 - Partitions providing adequate privacy  |   |   |   |   |   |      |
| 22% 3 - Inadequate privacy, but easy access to a private office  |   |   |   |   |   |      |
| 21% 4 - Inadequate privacy, and no easy access to a private office   |   |   |   |   |   |      |

|  | 1 | 2 | 3 | 4 | 5 | 6 |
|--|---|---|---|---|---|---|
| 45. As a result of the new merit promotion form: |   |   |   |   |   |   |
| 1 - Much less than before                        |   |   |   |   |   |   |
| 2 - Less than before                             |   |   |   |   |   |   |
| 3 - The same as before                           |   |   |   |   |   |   |
| 4 - More than before                             |   |   |   |   |   |   |
| 5 - Much more than before                        |   |   |   |   |   |   |
| 6 - Don't know                                   |   |   |   |   |   |   |

|  | 1  | 2  | 3  | 4 | 5 | 6    |
|--|----|----|----|---|---|------|
| a. Do you have a better understanding of the way in which the people you directly supervise perform their jobs?  | .3 | 81 | 15 | 2 | 1 | (54) |
| b. Do you find it easier to appraise the potential for success in higher level work of your direct subordinates? | 3  | 62 | 29 | 3 | 2 | (55) |

46. In talking to your subordinates about their training and development plans, did the new Merit Promotion Appraisal System: (1 = True; 2 = False)

a. Provide you with a new impetus to establish training and development plans for them True= 25% (63)

b. Cause you to update or modify their training and development plans True= 22% (64)

c. Provide you with an impetus to review their training and development plans True= 36% (65)

d. Help you to explain the importance of having an individual training and development plan to the employees True= 30% (66)

e. The system had no impact on training and development plans True= 53% (67)

f. The system had no adverse impact on training and development plans True= 85%

g. I do not discuss training and development plans with my subordinates True= 6%

47. If your immediate supervisor asked you to change your ratings of your subordinates (prior to the feedback interviews) did you tell the subordinates? (1 = Yes; 2 = No; 3 = I was not asked to change ratings)

Yes= 16%  
No= 31%  
Not asked to change ratings= 52%

STUDY NO  
CARD NO  
RECORD NO

48. Which two factors did you find most difficult to rate: (Mark "1" after the two most difficult to rate factors. Leave the others blank).

- a. Self Management 13%
- b. Work Administration 8%
- c. Problem Analysis 10%
- d. Decision Making 10%
- e. Personal Assistance 2%
- f. Information Processing 3%
- g. Speaking Ability 3%
- h. Writing Ability 3%
- i. Communication Ability 3%
- j. Working Relationships 4%
- k. Work Leadership 6%
- l. Personnel Management & EEO Commitment 15%
- m. Performance Under Pressure 8%
- n. Work Output 6%
- o. Don't Know 7%

49. Which two factors did you find most difficult to give feedback on? (Mark "1" after the two factors for which you found it most difficult to give feedback. Leave the others blank.)

- a. Self Management 14%
- b. Work Administration 5%
- c. Problem Analysis 8%
- d. Decision Making 9%
- e. Personal Assistance 4%
- f. Information Processing 2%
- g. Speaking Ability 3%
- h. Writing Ability 3%
- i. Communication Ability 3%
- j. Working Relationships 3%
- k. Work Leadership 3%
- l. Personnel Management & EEO Commitment 9%
- m. Performance Under Pressure 8%
- n. Work Output 6%
- o. Don't know 11%

50. Are there any additional factors that you feel should be included in the form? (1 = Yes; 2 = No)  
Yes= 8%

Please Indicate

51. Do you rate any collocated employees? (1 = Yes; 2 = No) Yes= 14%

If no, please proceed to question number 61.  
If yes, please answer the following questions about ratings given to collocated employees.

(68) \_\_\_\_\_

(69) \_\_\_\_\_

(70) \_\_\_\_\_

(1) 2 4

(3) 3

(4) (Leave Blank)

(8) \_\_\_\_\_

(9) \_\_\_\_\_

(10) \_\_\_\_\_

(11) \_\_\_\_\_

(12) \_\_\_\_\_

(13) \_\_\_\_\_

(14) \_\_\_\_\_

(15) \_\_\_\_\_

(16) \_\_\_\_\_

(17) \_\_\_\_\_

(18) \_\_\_\_\_

(19) \_\_\_\_\_

(20) \_\_\_\_\_

(21) \_\_\_\_\_

(22) \_\_\_\_\_

(23) \_\_\_\_\_

(24) \_\_\_\_\_

(25) \_\_\_\_\_

(26) \_\_\_\_\_

(27) \_\_\_\_\_

(28) \_\_\_\_\_

(29) \_\_\_\_\_

(30) \_\_\_\_\_

(31) \_\_\_\_\_

(32) \_\_\_\_\_

(33) \_\_\_\_\_

(34) \_\_\_\_\_

(35) \_\_\_\_\_

(36) \_\_\_\_\_

(37) \_\_\_\_\_

(38) \_\_\_\_\_

52. In rating your subordinates who are collocated in their SPO, how did the SPO managers' ratings compare to the ratings you gave?

- 5% 1 - The SPO managers generally gave higher ratings
- 11% 2 - The SPO managers generally gave about the same ratings
- 4% 3 - The SPO managers generally gave lower ratings
- 80% 4 - Don't know or Doesn't apply

53. In rating your subordinates who are collocated from other organizations, how did the Home Office manager's ratings compare to the ratings you gave?

- 4% 1 - The Home Office managers generally gave higher ratings
- 6% 2 - The Home Office managers generally gave about the same ratings
- 4% 3 - The Home Office managers generally gave lower ratings
- 86% 4 - Don't know or Doesn't apply

54. If there were differences in ratings between SPO raters and Home Office raters, were they due to:

- 20% a. Lack of ability to compare rates with other employees in the same specialty (on the part of SPO raters).
- 3% b. Differences in the frame of reference.
- 4% c. Lack of knowledge of the ratee's daily job activities (on the part of the Home Office raters).
- 4% d. Differences were due to the fact that individuals were rated in respect to others in their respective Home Office rather than relative to each other within the SPO.

19% e. Don't know or doesn't apply

f. Other (please describe)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

QUESTIONS 55-60 ARE INTENDED FOR SECOND LEVEL SUPERVISORS (Usually Division Chiefs in ASD; or Branch Chiefs in labs) OR ABOVE.

- 1 = Much less than before
- 2 = Less than before
- 3 = The same as before
- 4 = More than before
- 5 = Much more than before

|   | 1 | 2  | 3  | 4  | 5    |
|---|---|----|----|----|------|
| 55. Do you have a better understanding of the way in which your subordinates' employees (i.e. those reporting to your subordinates) perform their jobs? | 1 | 28 | 20 | -- | (47) |
| 56. Do you find it easier to review your subordinate's appraisal of their employees?  | 3 | 63 | 32 | 1  | (48) |
| 57. Do you have a better understanding of your subordinates' employees as people?   | 1 | 73 | 25 | -- | (49) |
| 58. Do you find it easier to talk to your subordinates about their people's job problems?   | 3 | 71 | 25 | 1  | (50) |
| 59. Do their subordinates seem to initiate more discussion about their job problems?  | 3 | 81 | 15 | -- | (51) |

60. How many minutes, on the average did you spend reviewing the appraisal for each employee rated by your subordinates? (e.g. 010 min., 020 min., 030 min., etc.)

Median = 10 min.



Most Frequent Comments, 1979 Managers Long Form Follow-up Questionnaire

1077 employees total  
162 comments total

| <u>Comment</u>   | <u>% of all comments</u> |
|--|--------------------------|
| 8. Favorable toward new form; give new form a chance to work   | 11.1                     |
| 19. Merit promotion is a justification system for management playing favorites                                       | 4.94                     |
| 24. Appraisals have little or no effect on promotions; new system no better than old because politics destroy equity | 4.94                     |
| 29. Covert quota system is in use and should be eliminated   | 4.94                     |
| 32. Ratings inflation is the biggest problem   | 12.35                    |
| 40. Quota system should be used  | 4.94                     |
| Comments with less than 5% endorsement   | <u>56.79</u>             |
| Total  | 100.00                   |

APPENDIX J

1979 FOLLOW-UP QUESTIONNAIRE FOR  
EMPLOYEES RATED ON MPAS FORMS,  
STUDY TWENTY-SIX

Long Form of Follow-up Questionnaire on Merit Promotion Appraisal  
MERIT PROMOTION APPRAISAL SYSTEM

N=1077

FOLLOW-UP QUESTIONNAIRE FOR EMPLOYEES RATED ON ASD FORMS 387, 388, and 389

THIS QUESTIONNAIRE IS VOLUNTARY AND ANONYMOUS

As part of the implementation process we would like to get your reaction to the new Merit Appraisal form. This questionnaire should be completed only by those employees appraised under one of the new forms ASD 387 (Form A), 388 (Form B), or 389 (Form C).

Your input will play an important part in determining if changes need to be made so that we can have an improved merit appraisal system. We would appreciate getting your frank responses to the questions, as well as any additional comments you might have.

The questionnaire should be filled out anonymously. Please answer the questions as honestly as possible. If you have difficulty answering a question with the alternatives given, choose the one that comes closest to your own opinion. If you do not know the answer to a question, or if it is inapplicable, please leave it blank. However, please try to answer all items.

Answer each question in the space provided to it's right. The numbers in parentheses refer to column numbers on IBM cards for the use of the keypunchers.

The completed questionnaires should be mailed to Dr Steven Norton, ASD/DPCIH within five days of receipt. Thank you very much for your cooperation.

|   |           |                      |      |
|---|-----------|----------------------|------|
|   | STUDY NO  | <u>26</u>            | (1)  |
|   | CARD NO   | —                    | (3)  |
|   | RECORD NO | <u>(Leave Blank)</u> | (4)  |
| 1. Today's date:  | MONTH     | —                    | (8)  |
|   | DAY       | —                    | (10) |
|   | YEAR      | —                    | (12) |
|   |           |                      | (14) |
| 2. What is your organizational symbol?  |           |                      |      |
| (e.g. <u>A F A L</u> ; <u>E N O</u> ;   |           |                      |      |
| <u>A F S C / P M Q</u> )  |           |                      |      |
| 3. What is your G.S. Grade? (e.g. 09) Median= 11                                |           |                      | (22) |
| 4. On which form were you rated? (A = Form A; 49%                               |           |                      |      |
| B = Form B; C = Form C)   |           |                      | (24) |
| 15% 33%   |           |                      |      |
| 5. How long have you worked at AHS?   | YEARS     | —                    | (25) |
| (Round off to nearest year; less than six months = 00 years; Median = 11 years. |           |                      |      |

| 6. How long have you served in your present position (at the current or lower grades)? Median: 4 years YEARS: _____                               | (27)  |    |    |    |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
|---|---|----|----|----|------|---|--|---|----|----|----|---|------|--|----|----|----|----|------|---|----|----|----|---|------|---|----|----|----|---|------|--|----|----|----|---|------|---|----|----|----|---|------|--|----|----|----|---|------|
| 7. For how many immediate subordinates do you have a direct formal supervisory responsibility? (If none, enter "00") 82% none _____               | (29)  |    |    |    |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| 8. Did your supervisor have a feedback interview with you on the merit promotion appraisal ratings? (1=Yes; 2=No) 80% Yes _____                   | (31)  |    |    |    |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| 9. If yes, about how many minutes did the interview last? (e.g. 30 minutes = 030) Median= 15 minutes _____  | (32)  |    |    |    |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| 10. During the interview, did your supervisor discuss each appraisal factor and explain his or her rating of you? (1 = Yes; 2 = No) 67% Yes _____ | (35)  |    |    |    |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| 11. How well did your supervisor handle the feedback interview: _____   | (36)  |    |    |    |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| 1 = Very poorly 7%      4 = Well 25%  |   |    |    |    |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| 2 = Poorly 8%          5 = Very well 19%  |   |    |    |    |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| 3 = Adequately 41%  |   |    |    |    |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| 12. How much information do you have regarding:   |   |    |    |    |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| 1 = No information  |   |    |    |    |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| 2 = Some information  |   |    |    |    |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| 3 = Fair amount of information  |   |    |    |    |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| 4 = A great deal of information   |   |    |    |    |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| a. Where the completed appraisal forms go   | <table border="1"> <thead> <tr> <th></th> <th>1</th> <th>2</th> <th>3</th> <th>4</th> <th></th> </tr> </thead> <tbody> <tr> <td>a. Where the completed appraisal forms go</td> <td>40</td> <td>30</td> <td>30</td> <td>—</td> <td>(38)</td> </tr> <tr> <td>b. How the appraisal information is stored</td> <td>24</td> <td>41</td> <td>24</td> <td>10</td> <td>(39)</td> </tr> <tr> <td>c. What appraisal information is stored</td> <td>43</td> <td>35</td> <td>15</td> <td>5</td> <td>(40)</td> </tr> <tr> <td>d. How long appraisal information is stored</td> <td>47</td> <td>32</td> <td>14</td> <td>6</td> <td>(41)</td> </tr> <tr> <td>e. How the appraisal information can be retrieved by a manager</td> <td>56</td> <td>28</td> <td>10</td> <td>5</td> <td>(42)</td> </tr> <tr> <td>f. How the appraisal information is used in merit promotion</td> <td>61</td> <td>24</td> <td>10</td> <td>4</td> <td>(43)</td> </tr> <tr> <td>g. What is involved in the total merit promotion process</td> <td>33</td> <td>42</td> <td>15</td> <td>8</td> <td>(44)</td> </tr> </tbody> </table> |    | 1  | 2  | 3    | 4 |  | a. Where the completed appraisal forms go | 40 | 30 | 30 | — | (38) | b. How the appraisal information is stored | 24 | 41 | 24 | 10 | (39) | c. What appraisal information is stored | 43 | 35 | 15 | 5 | (40) | d. How long appraisal information is stored | 47 | 32 | 14 | 6 | (41) | e. How the appraisal information can be retrieved by a manager | 56 | 28 | 10 | 5 | (42) | f. How the appraisal information is used in merit promotion | 61 | 24 | 10 | 4 | (43) | g. What is involved in the total merit promotion process | 33 | 42 | 15 | 8 | (44) |
|   | 1   | 2  | 3  | 4  |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| a. Where the completed appraisal forms go   | 40  | 30 | 30 | —  | (38) |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| b. How the appraisal information is stored  | 24  | 41 | 24 | 10 | (39) |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| c. What appraisal information is stored   | 43  | 35 | 15 | 5  | (40) |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| d. How long appraisal information is stored   | 47  | 32 | 14 | 6  | (41) |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| e. How the appraisal information can be retrieved by a manager  | 56  | 28 | 10 | 5  | (42) |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| f. How the appraisal information is used in merit promotion   | 61  | 24 | 10 | 4  | (43) |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| g. What is involved in the total merit promotion process  | 33  | 42 | 15 | 8  | (44) |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| b. How the appraisal information is stored  | 24 41 24 10 (39)  |    |    |    |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| c. What appraisal information is stored   | 43 35 15 5 (40)   |    |    |    |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| d. How long appraisal information is stored   | 47 32 14 6 (41)   |    |    |    |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| e. How the appraisal information can be retrieved by a manager  | 56 28 10 5 (42)   |    |    |    |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| f. How the appraisal information is used in merit promotion   | 61 24 10 4 (43)   |    |    |    |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |
| g. What is involved in the total merit promotion process  | 33 42 15 8 (44)   |    |    |    |      |   |  |   |    |    |    |   |      |  |    |    |    |    |      |   |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |   |    |    |    |   |      |  |    |    |    |   |      |

13. How much more information would you like to have on the merit promotion process?

12% 1 = No more                      3 = More 28%  
 18% 2 = Somewhat more            4 = A great deal more 4.0%                      (45)

14. Which two factors did you find most difficult to understand, in terms of why you received a given rating? (Mark a "1" after each of the two most difficult factors to understand. Leave the others blank).

- a. Self Management 8.5% \*                      (46)
- b. Work Administration 7.6%                      (47)
- c. Problem Analysis 6.5%                      (48)
- d. Decision Making 5.6%                      (49)
- e. Personal Assistance 7.3%                      (50)
- f. Information Processing 8.5%                      (51)
- g. Speaking Ability 4.9%                      (52)
- h. Writing Ability 4.9%                      (53)
- i. Communication Ability 5.3%                      (54)
- j. Working Relationships 6.5%                      (55)
- k. Work Leadership 5.0%                      (56)
- l. Personnel Management & EEO Commitment 13.2%                      (57)
- m. Performance Under Pressure 9.4%                      (58)
- n. Work Output 6.7%                      (59)

15. Which of the two factors did you find most meaningful in terms of providing you with greater self-insight? (Mark a "1" after each of the two most meaningful factors. Leave the others blank).

- a. Self Management 18.7% \*                      (60)
- b. Work Administration 6.0%                      (61)
- c. Problem Analysis 8.0%                      (62)
- d. Decision Making 13.5%                      (63)

3            \* % of number of times any factor was selected as important.

Question 15 Con't.

|   |           |               |
|---|-----------|---------------|
| e. Personal Assistance 1.7%                   | ---       | (64)          |
| f. Information Processing 2.3%                | ---       | (65)          |
| g. Speaking Ability 3.7%                      | ---       | (66)          |
| h. Writing Ability 3.7%                       | ---       | (67)          |
| i. Communication Ability 8.0%                 | ---       | (68)          |
| j. Working Relationships 9.8%                 | ---       | (69)          |
| k. Work Leadership 3.5%                       | ---       | (70)          |
| l. Personnel Management & EEO Commitment .29% | ---       | (71)          |
| m. Performance Under Pressure 10.0%           | ---       | (72)          |
| n. Work Output 10.9%                          | ---       | (73)          |
|   | STUDY NO  | ---           |
|   | CARD NO   | ---           |
|   | RECORD NO | ---           |
|   |           | (Leave blank) |

16. As a result of the new merit appraisal system did your supervisor:

- 1 = Much less than before
- 2 = Less than before
- 3 = The same as before
- 4 = More than before
- 5 = Much more than before

|   | 1 | 2 | 3   | 4   | 5  |      |
|---|---|---|-----|-----|----|------|
| a. Have a better understanding of your potential for higher level work? | 3 | 3 | 75% | 16% | 1% | (8)  |
| b. Have a better understanding of how you perform your job?             | 3 | 3 | 78  | 13  | 3  | (9)  |
| c. Have a better understanding of you as an individual?                 | 4 | 4 | 69  | 19  | 3  | (10) |
| d. Better indicate recognition of your good work?                       | 1 | 1 | 6   | 23  | 4  | (11) |

4



24. How much opportunity does your job offer for displaying your ability in respect to the appraisal factors? (22)

14% 1 = Very little      3 = Some 42%  
9% 2 = Little            4 = A great deal 34%

25. In your experience, do you think the merit appraisal ratings were performed with conscientious use of the factor definitions and rating steps in the new form? (23)

10% 1 = Definitely not      3 = Probably yes 56%  
20% 2 = Probably not        4 = Definitely yes 13%

26. Based on the wording of the scale steps do you think the ratings you received on the new merit appraisal form should have been: (24)

.4% 1 = Much lower than they were      4 = Higher 33%  
5% 2 = Lower                              5 = Much higher than they were 6%  
55% 3 = The same as they were

27. Compared to what you think other peoples' ratings may have been, do you think the ratings you received on the new merit appraisal form should have been: (25)

0% 1 = Much lower than they were      4 = Higher 44%  
.89% 2 = Lower                              5 = Much higher than they were 8%  
47% 3 = The same as they were

28. Was the rating your immediate supervisor wanted to give you changed by the reviewing supervisor before you signed the rating? (1=Yes; 2=No; 3=Don't know) (26)

10%      40%      49%

29. In your opinion, have your promotion ratings been affected by the visibility of your project to higher management? (27)

- 1 = The project's visibility has helped support high ratings 22%
- 2 = The project's degree of visibility has had no effect on my ratings 50%
- 3 = The project's lack of visibility has made it more difficult for me to receive high ratings. 27%

30. The introduction of the new Appraisal Forms involved much more intensive training than has been provided in the past. What impact has the new form had on your confidence in the Merit Promotion process as a source of viable promotion opportunities? (28)

- 1 = The new form has decreased my confidence 11%
- 2 = The new form has had no effect on my confidence 76%
- 3 = The new form has increased my confidence 13%

31. How well did the form on which you were appraised fit your own job? That is, were the factors on which you were appraised relevant to your job? (29)

- 1 = Much worse than it was under the old system 1%
- 2 = Somewhat worse than it was under the old system 5%
- 3 = No difference 42%
- 4 = Somewhat better 44%
- 5 = Much better 8%

32. Taken on the whole, what is your reaction to the new merit promotion appraisal form? (30)

- 1 = I dislike the new form 4%
- 2 = I have a somewhat negative reaction to the new form 11%
- 3 = I feel neutral about the new form 52%
- 4 = I have a somewhat positive reaction to the new form 28%
- 5 = I am very positively impressed by the new form 4%

33. Do you think the ratings given by supervisors in your two-letter organization can be fairly compared to the ratings given by supervisors in other organizations? (1=Yes; 2=No) 47% = Yes (31)

34. Do you think that most managers performed the merit appraisal ratings with conscientious use of factor definitions and rating steps in the new form? (32)

- 1 = Definitely not 10%
- 2 = Probably not 28%
- 3 = Probably yes 47%
- 4 = Definitely yes 5%
- 5 = Don't know 10%

35. Do you think it would be desirable to have written performance standards for your job? (1 = Yes; 2 = No; 3 = Don't know) 24% 53% 23% (33)

36. Do you know what the performance standards are for your job? (1 = Yes; 2 = No; 3 = Don't know) 52% 32% 15% (34)

|  |     |      |
|--|-----|------|
| 37. Are the performance standards for your job written? (1=Yes; 2=No) 32%= Yes   | --- | (35) |
| 38. Did you participate in creating or setting the performance standards for your job? (1=Yes; 2=No; 3=Don't know) 14% 77% 9%  | --- | (36) |
| 39. Have you received feedback on how your performance compares to the performance standards for your job? (1=Yes; 2=No) 31%= Yes  | --- | (37) |
| 40. Do you know of any specific cases in which a rating may have been influenced by one of the following factors outside of the employee's potential for promotion? (1=Yes; 2=No)  |     |      |
| a. Opportunity to demonstrate potential limited by job itself 37%= Yes   | --- | (38) |
| b. Supervisor could not observe employee 22%= Yes  | --- | (39) |
| c. Supervisor lacked technical knowledge to judge employee 25%= Yes  | --- | (40) |
| d. Supervisor was influenced by employee's race, religion, sex, or age 20%= Yes  | --- | (41) |
| e. Higher ratings were given to other employees because the employee was not likely to be considered for competitive promotion (for example, because of technical specialty, time in grade, etc.) 43%= Yes   | --- | (42) |
| f. Other (Please describe) _____   | --- | (43) |
| 41. Do you have any comments on the implementation of the Appraisal Form in your organization, or comments about the Merit Promotion System itself? Specifically, what factors will determine the degree of success of this year's implementation of the new appraisal form? What changes, if any, do you think should be made? (Please use a separate sheet if necessary. Return questionnaire to ASD/DPCN (Norton)). |     |      |
|  | --- | (44) |

Most Frequent Comments, 1979 Long Form, Employees Follow-up Questionnaire

1077 employees total  
132 comments total

| <u>Comment</u>   | <u>% of all comments</u> |
|--|--------------------------|
| 8. Favorable toward new form   | 5.30                     |
| 19. Merit promotion is a justification system for management playing favorites                                       | 9.09                     |
| 20. Promotions are practically non-existent for professional-level people  | 5.30                     |
| 24. Appraisals have little or no effect on promotions; new system no better than old because politics destroy equity | 11.36                    |
| 26. Supervisors need to learn how to rate  | 5.30                     |
| 29. Covert quota system is in use and should be eliminated   | 9.09                     |
| 33. Miscellaneous comments on administration of ratings (mostly negative)  | 31.82                    |
| Comments with less than 5% endorsement   | <u>22.74</u>             |
| Total  | 100.00                   |

APPENDIX K

1978-80 HISTOGRAMS OF RATING DISTRIBUTION  
FOR MAJOR ORGANIZATIONS USING THE MPAS

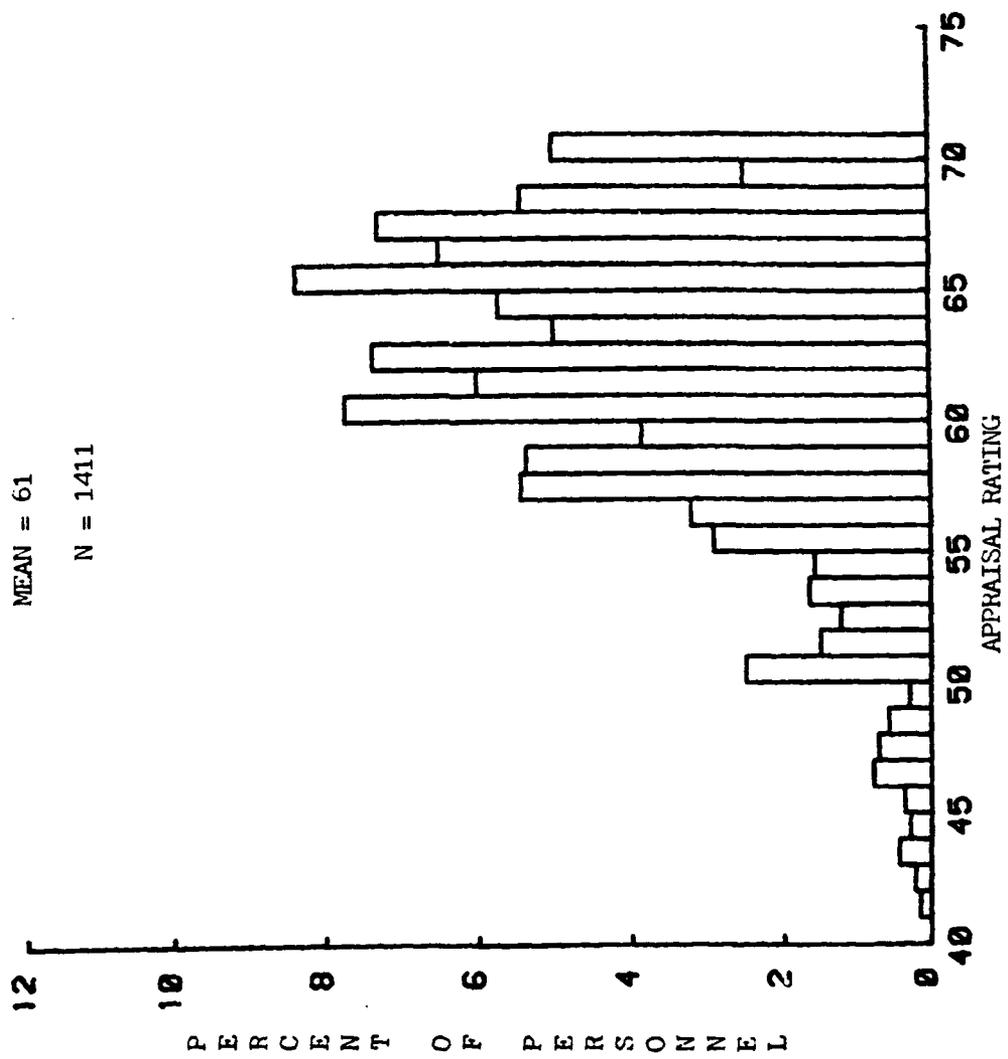


Fig. K.1 Aeronautical Systems Division—Professional  
1978 Ratings

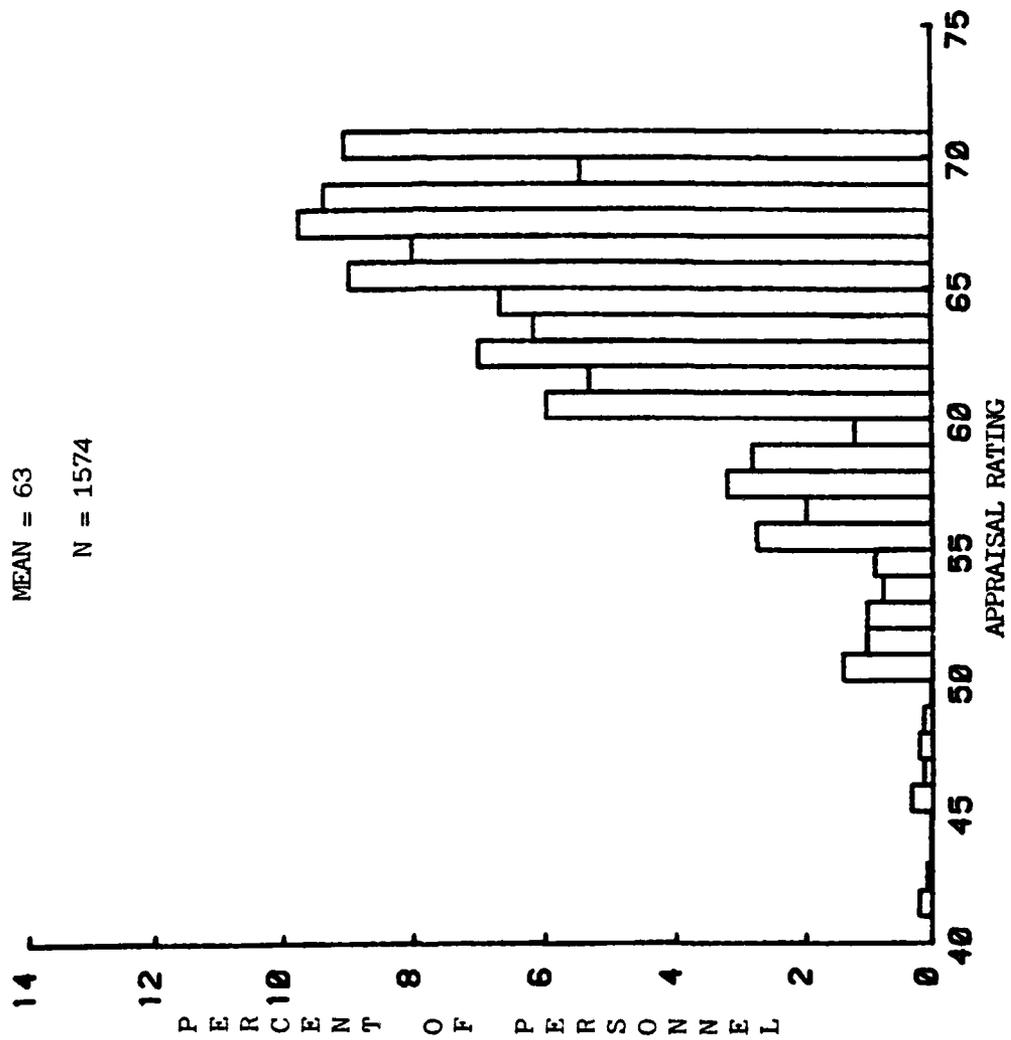


Fig. K.2 Aeronautical Systems Division—Professional  
1979 Ratings

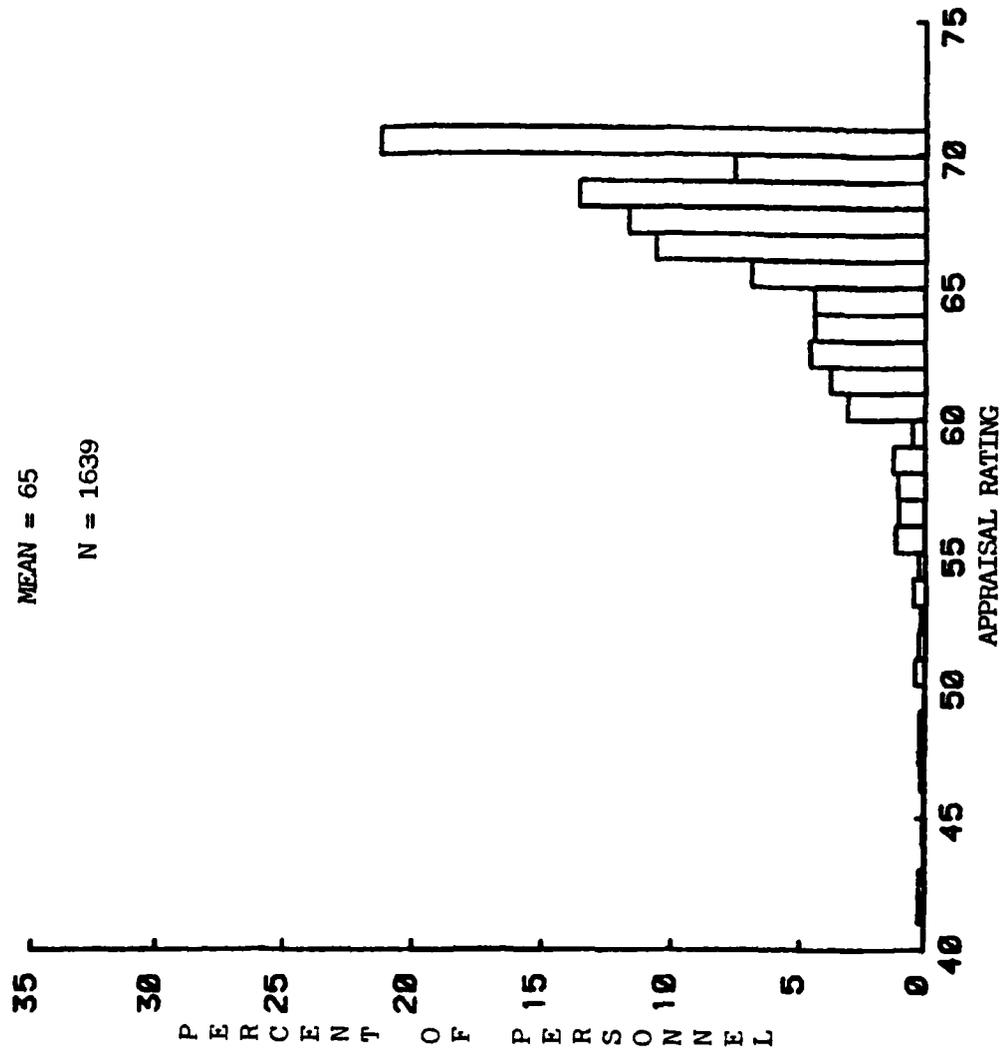


Fig. K.3 Aeronautical Systems Division—Professional  
1980 Ratings

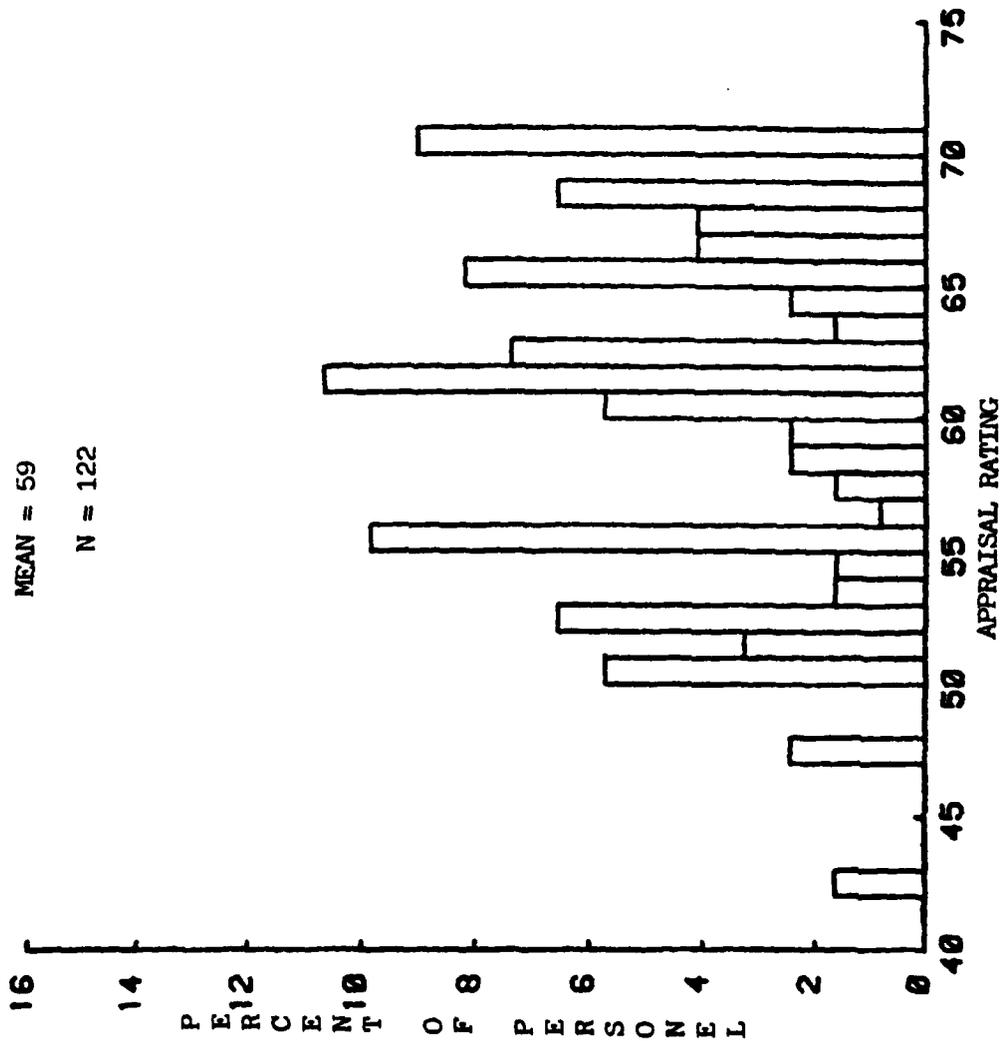


Fig. K.4 Aeronautical Systems Division—Technical  
1978 Ratings

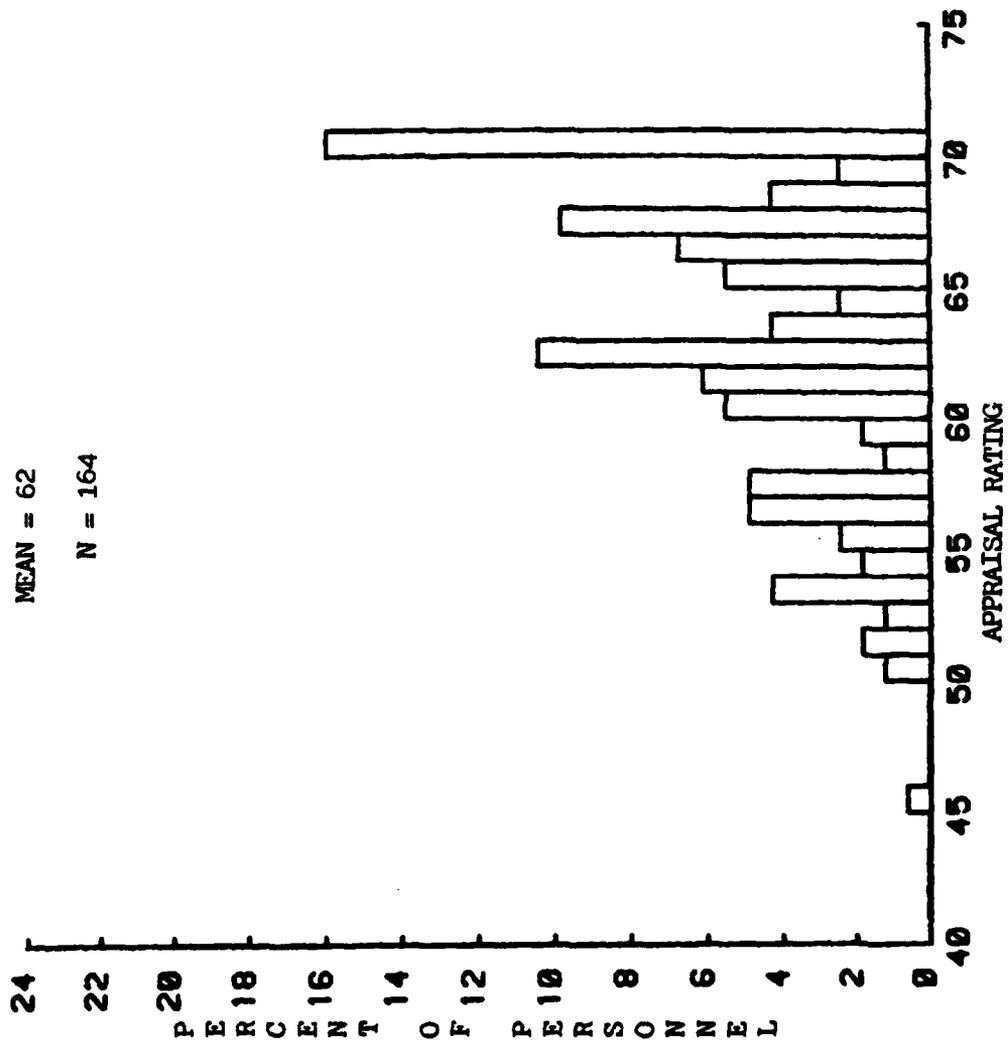


Fig. K.5 Aeronautical Systems Division—Technical  
1979 Ratings

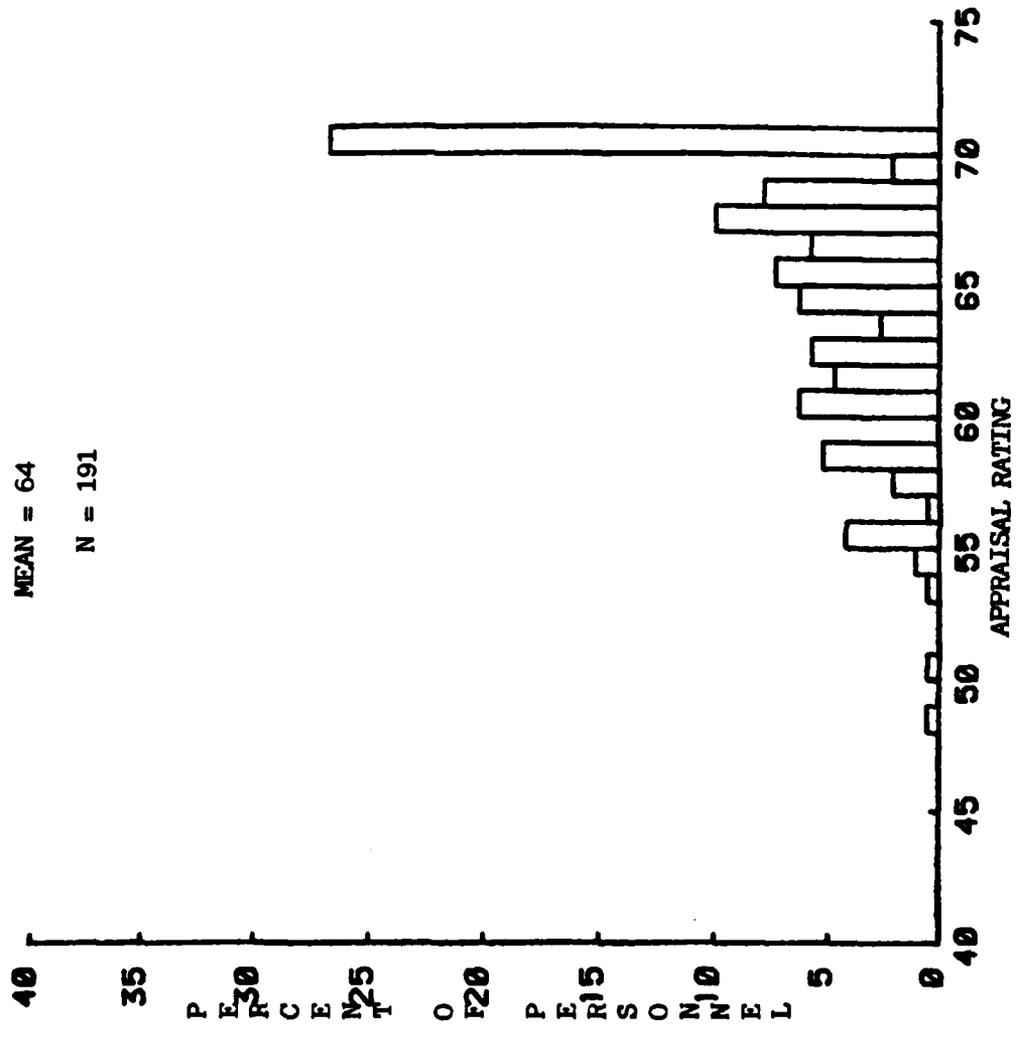


Fig. K.6 Aeronautical Systems Division—Technical  
1980 Ratings

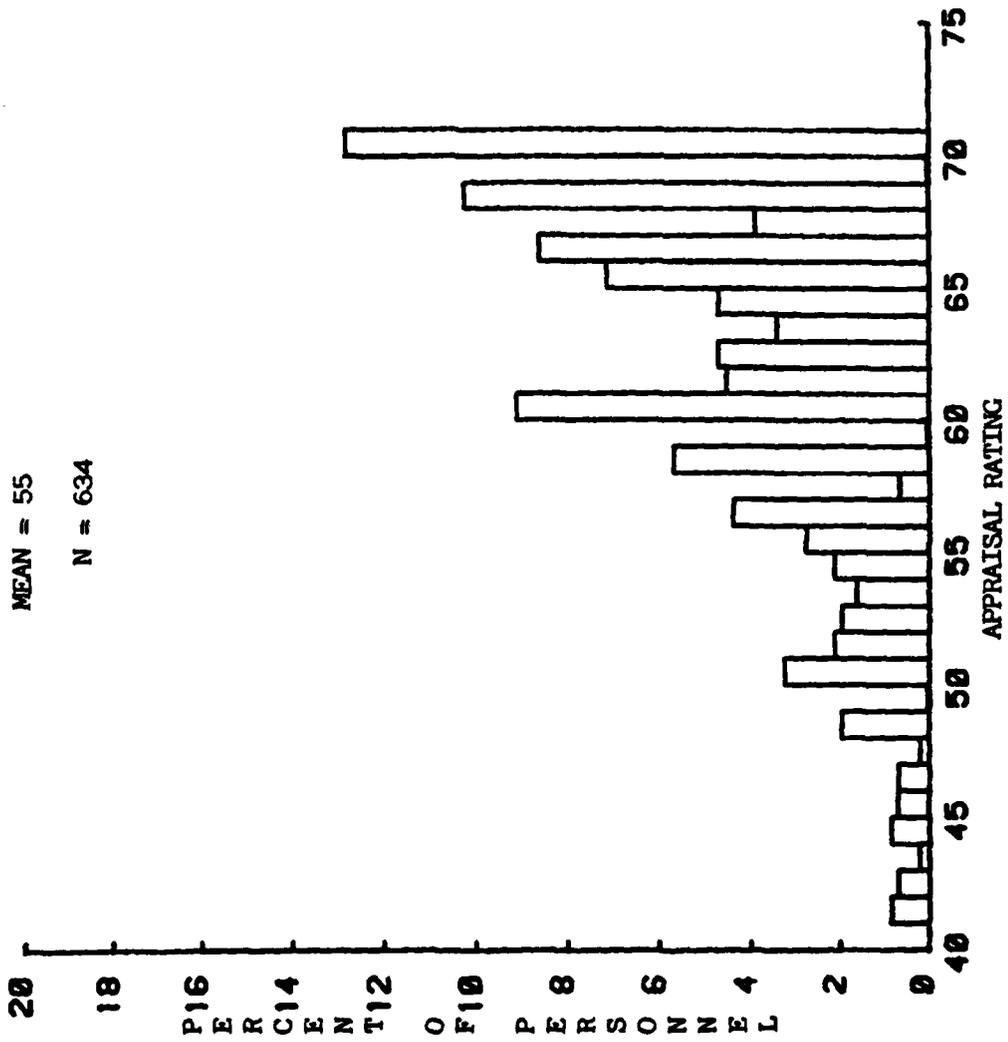


Fig. K.7 Aeronautical Systems Division—Clerical  
1978 Ratings

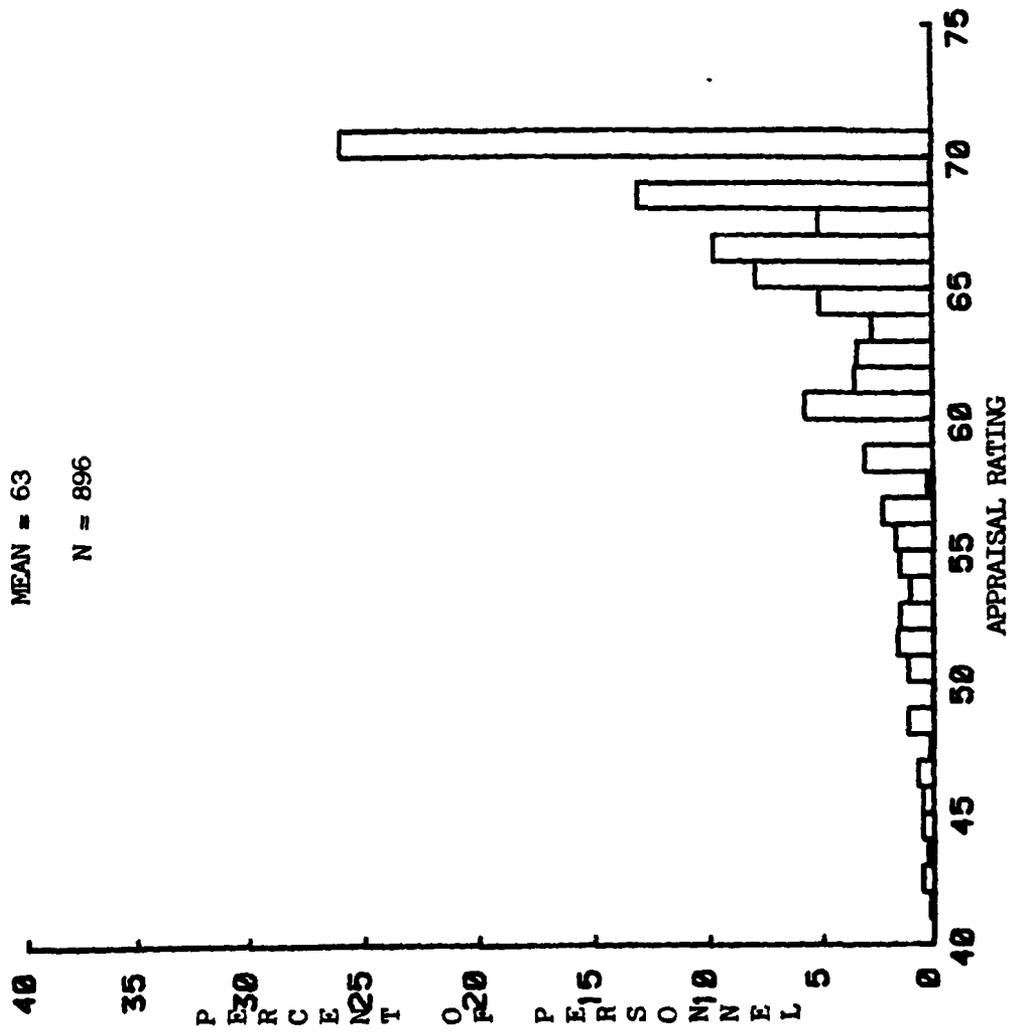


Fig. K.8 Aeronautical Systems Division—Clerical  
1979 Ratings

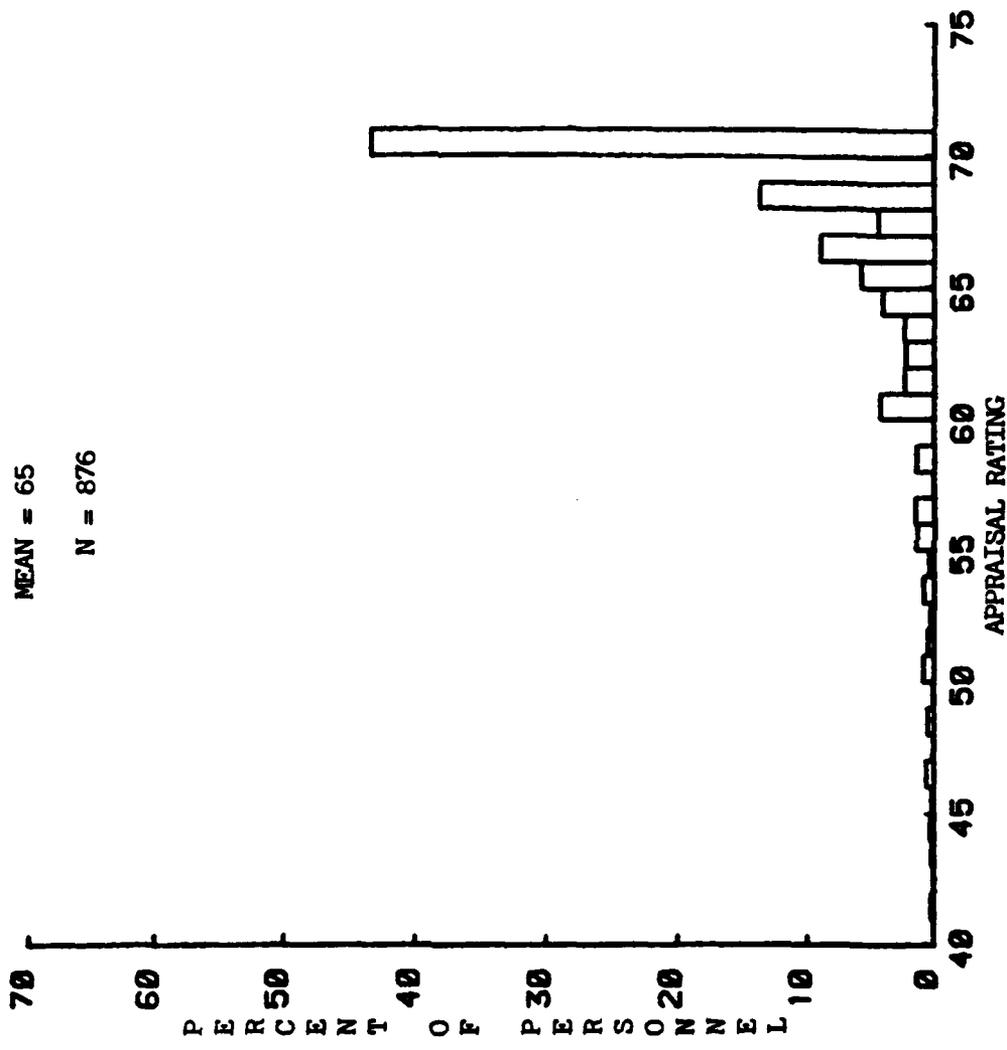


Fig. K.9 Aeronautical Systems Division—Clerical  
1980 Ratings

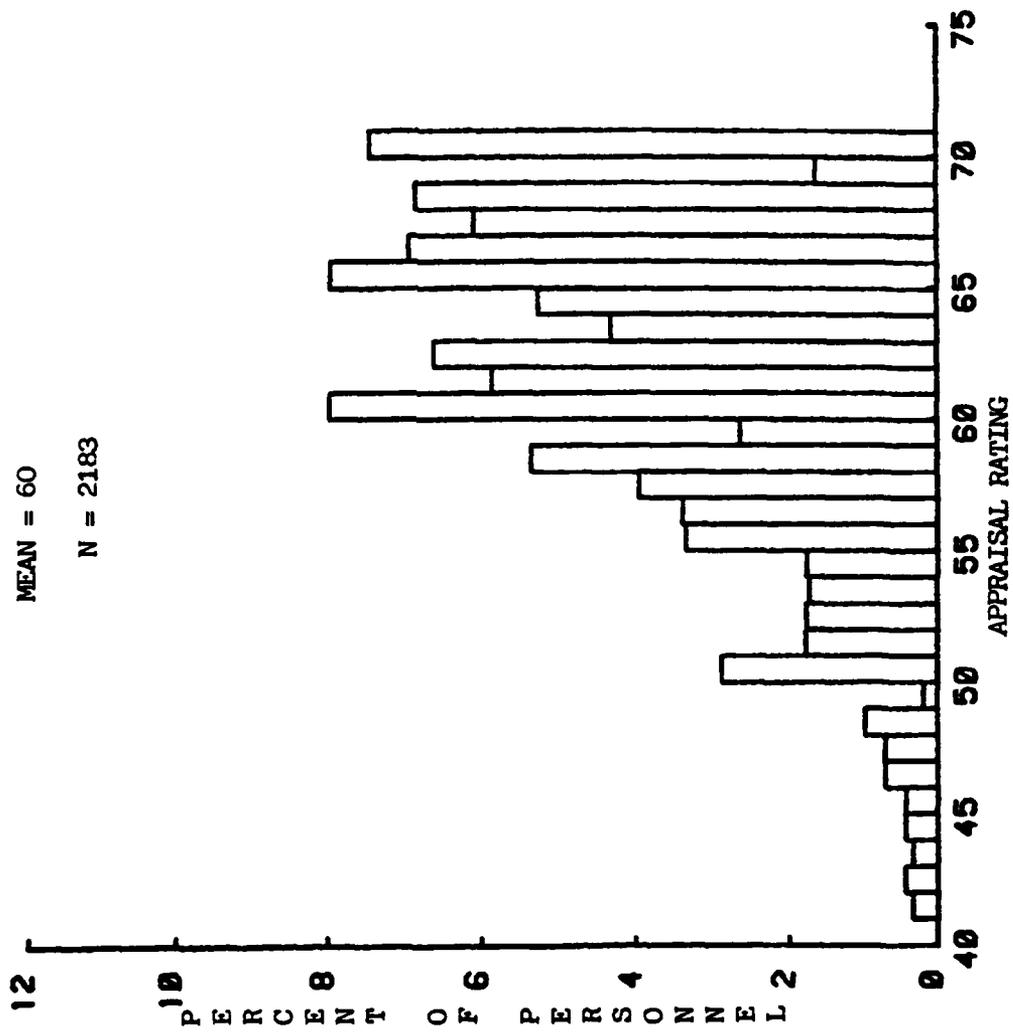


Fig. K.10 Aeronautical Systems Division—All  
1978 Ratings

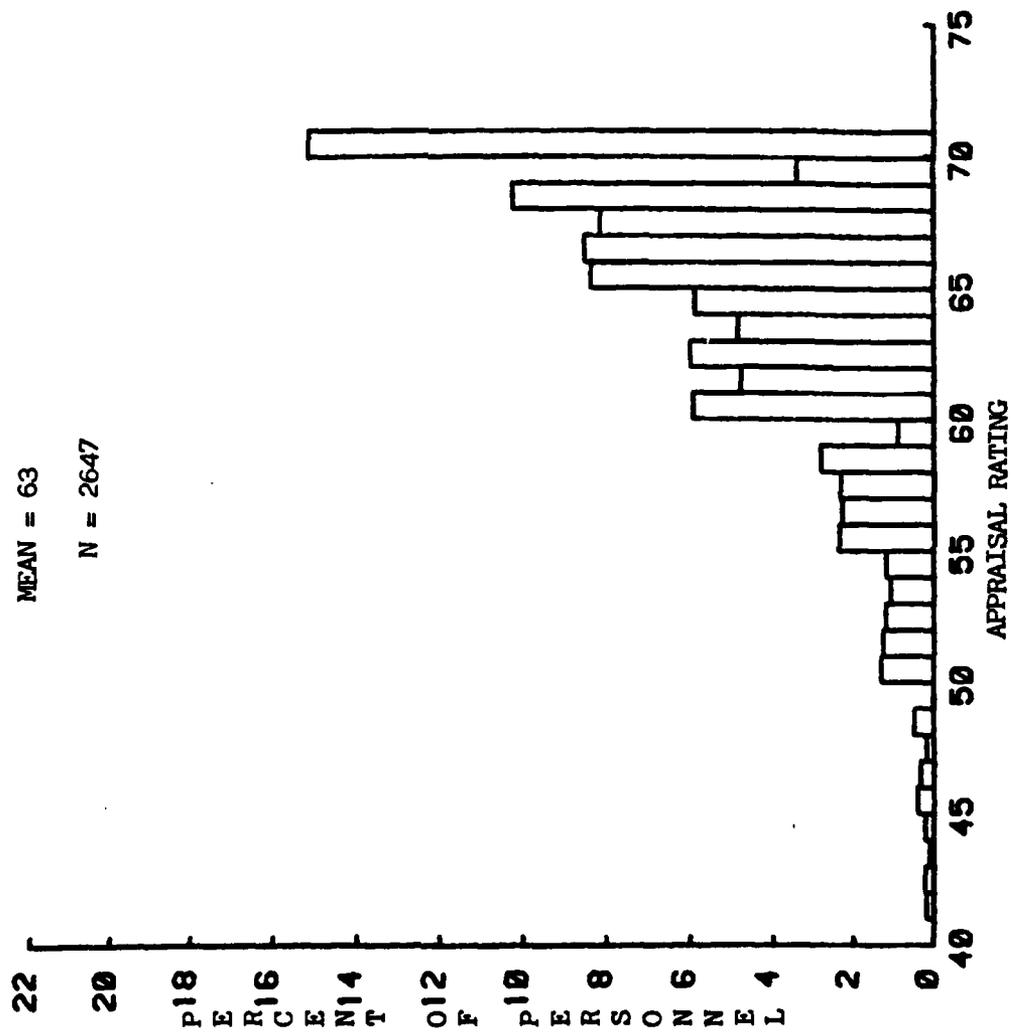


Fig. K.11 Aeronautical Systems Division—All  
1979 Ratings

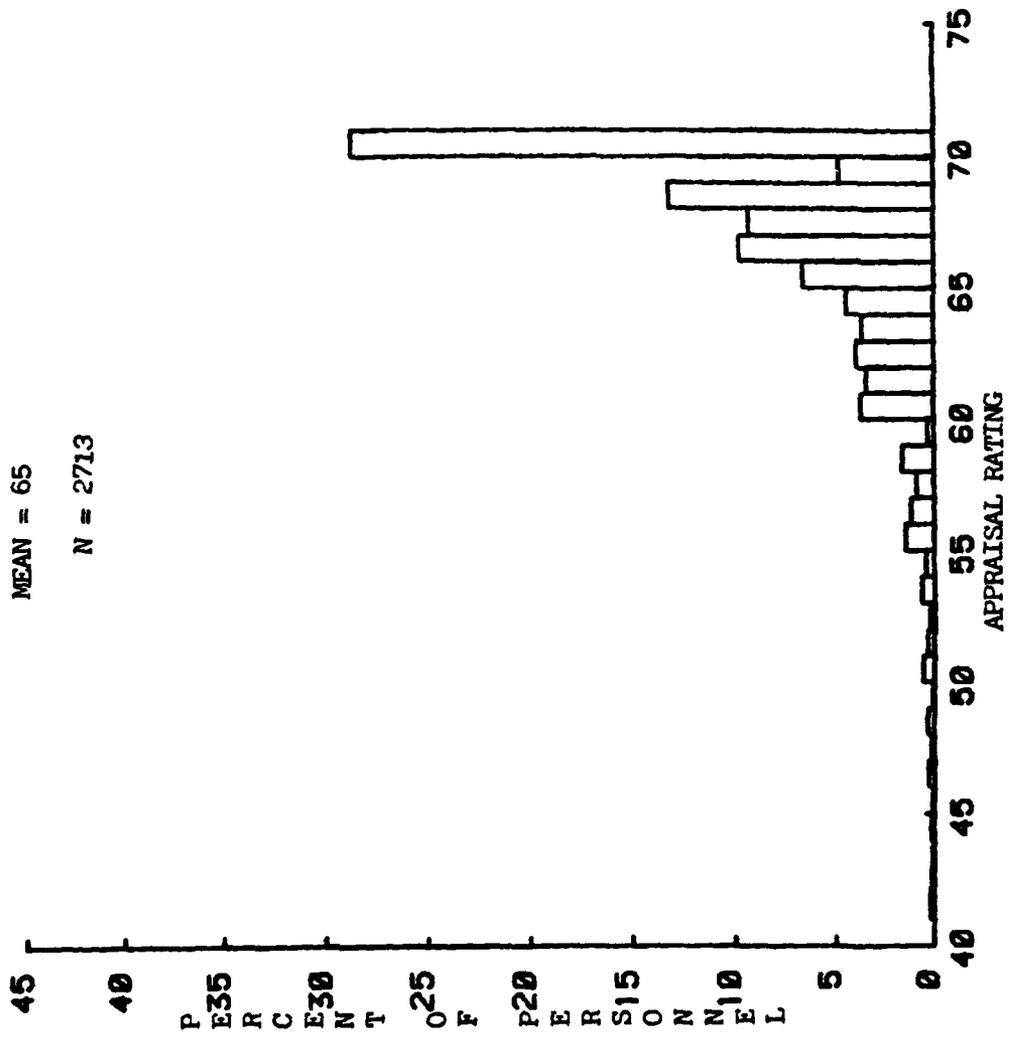


Fig. K.12 Aeronautical Systems Division--All  
1980 Ratings

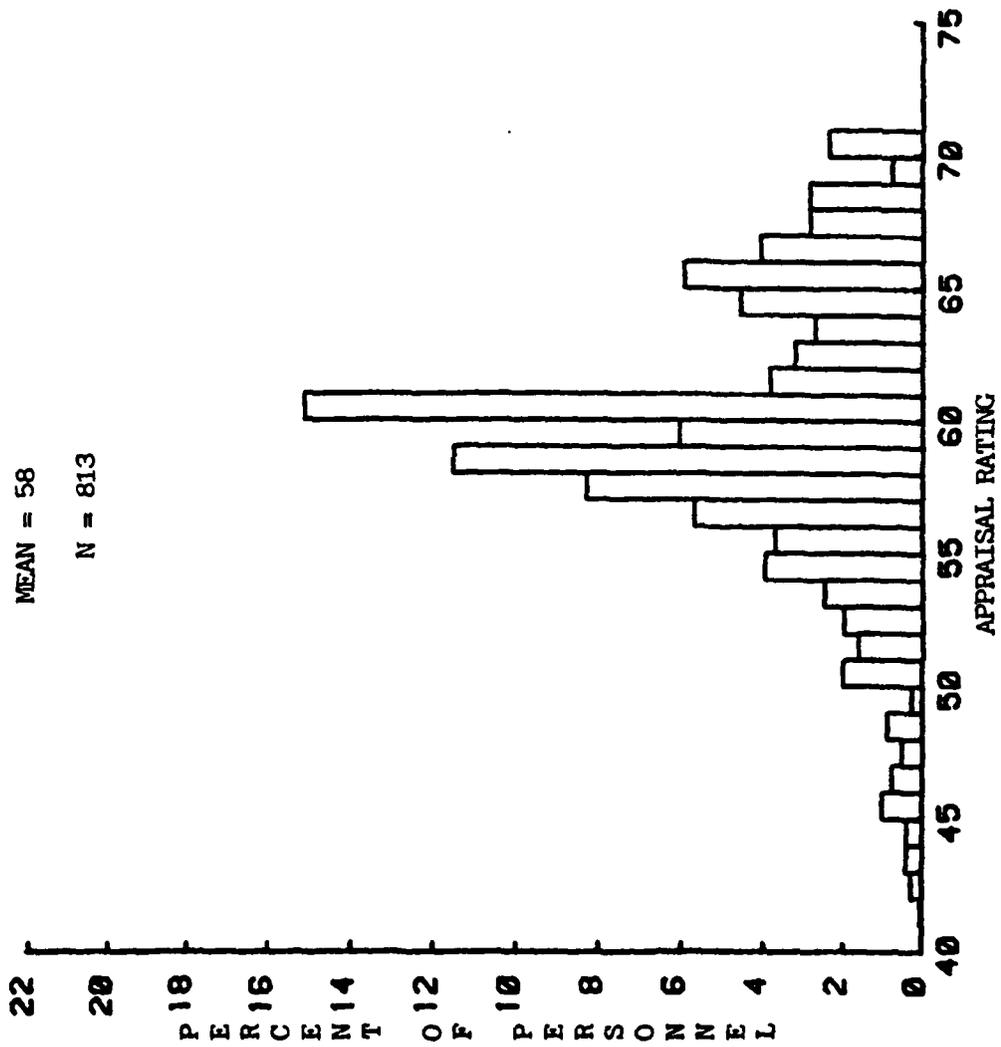


Fig. K.1 4950th Test Wing  
1978 Ratings

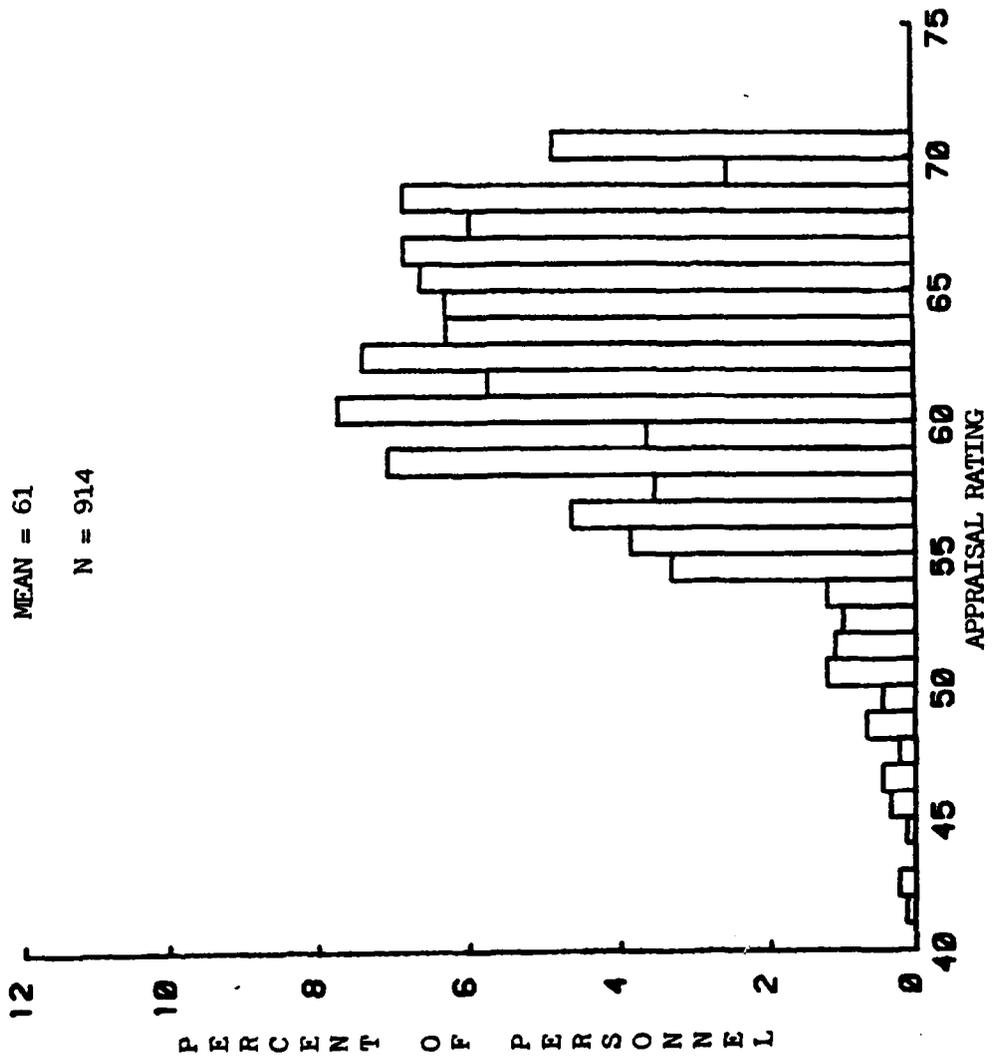


Fig. K.14 4950th Test Wing  
1979 Ratings

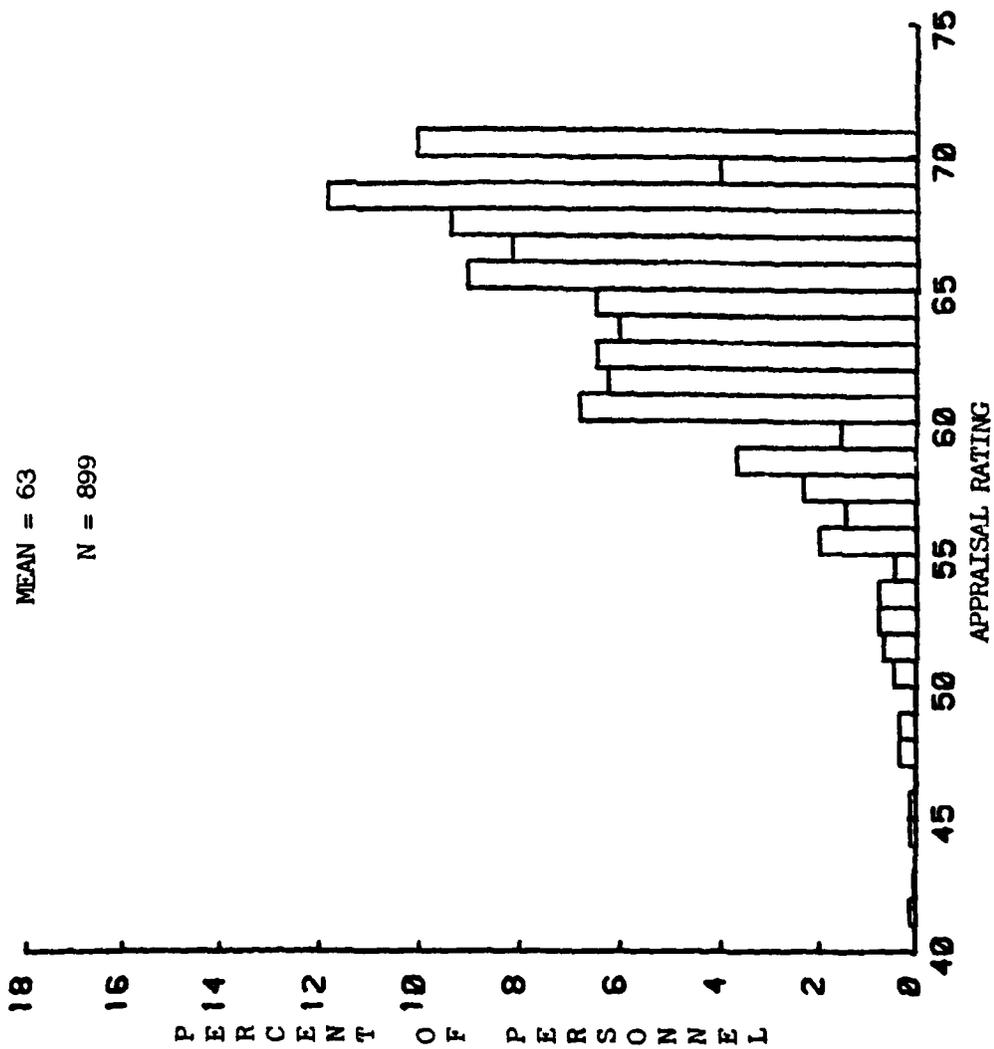


Fig. K.15 4950th Test Wing  
1980 Ratings

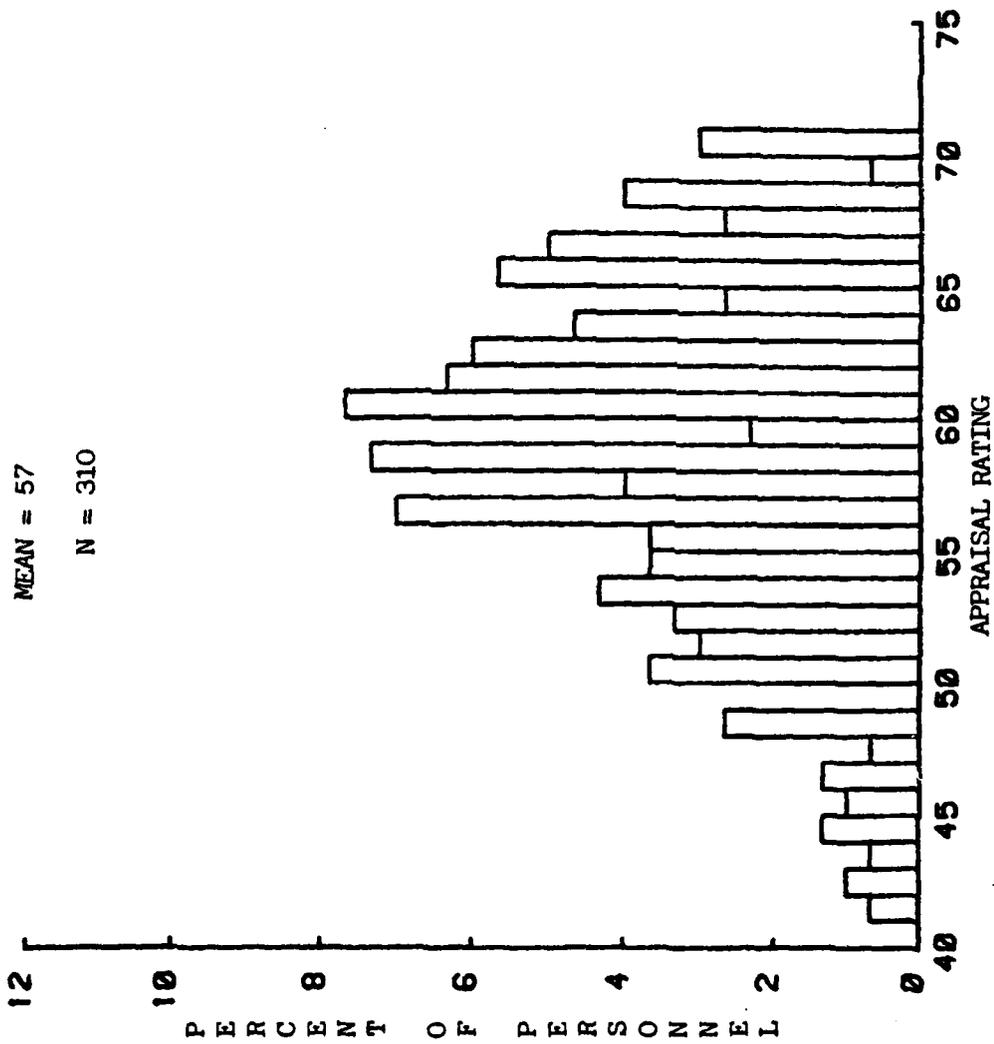


Fig. K.16 Foreign Technology Division (FTD)  
1978 Ratings

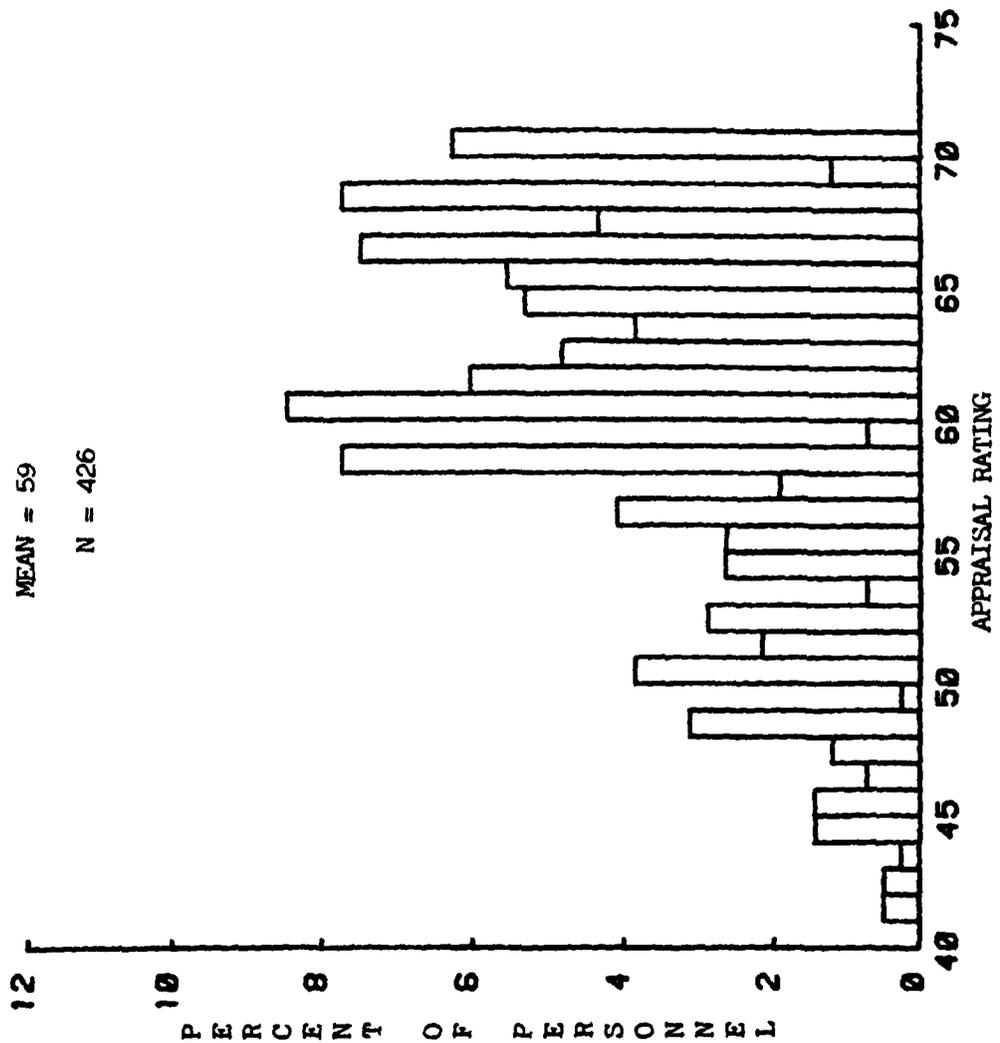


Fig. K.17 Foreign Technology Division (FTD)  
1979 Ratings

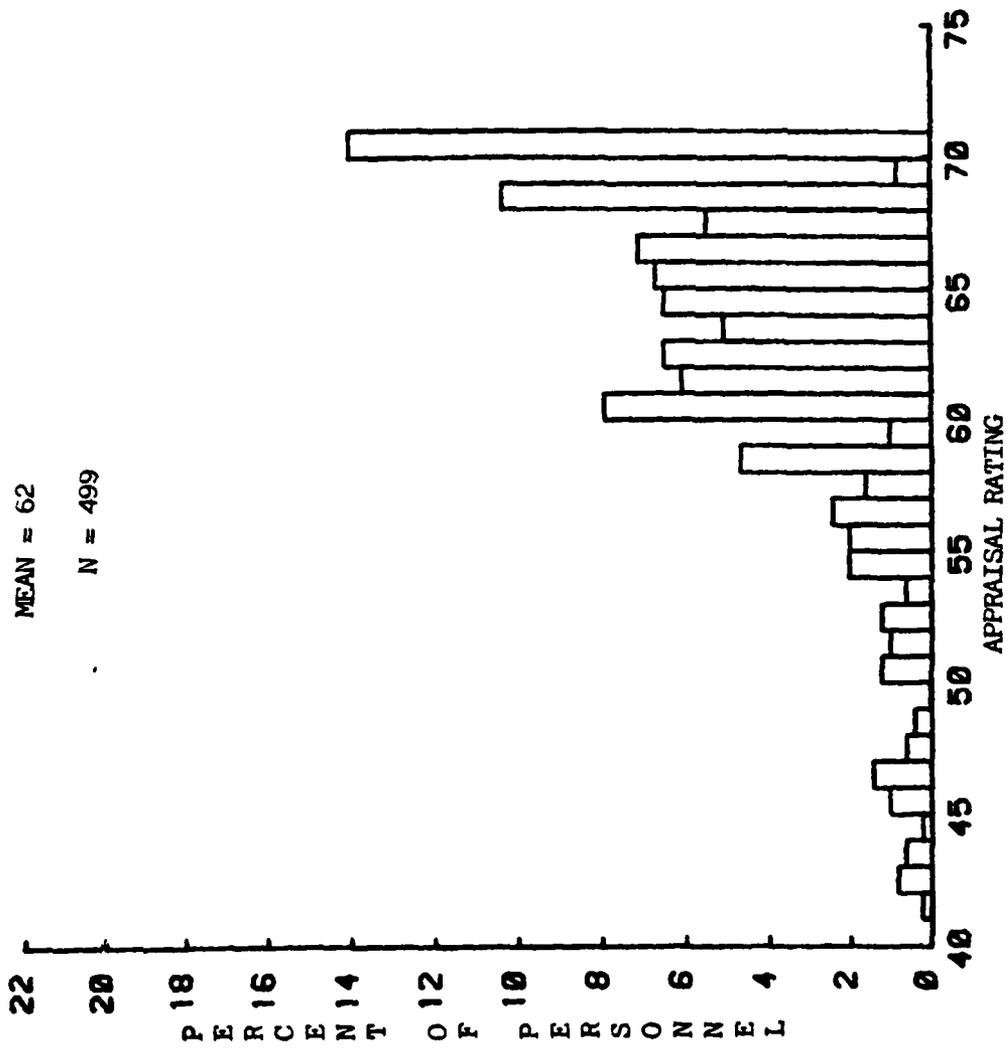


Fig. K.18 Foreign Technology Division (FTD)

1980 Ratings

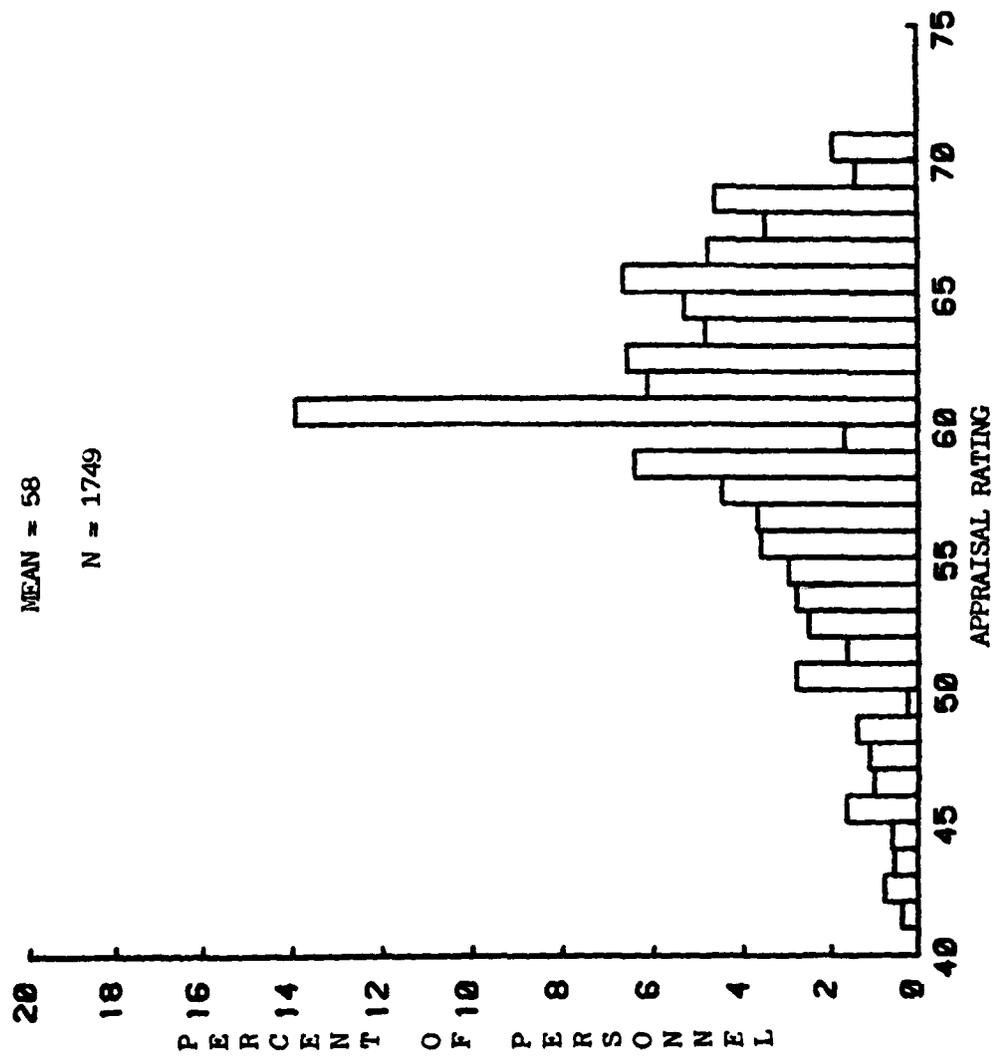


Fig. K.19 Air Force Wright Aeronautical Laboratory (AFAL)  
1978 Ratings

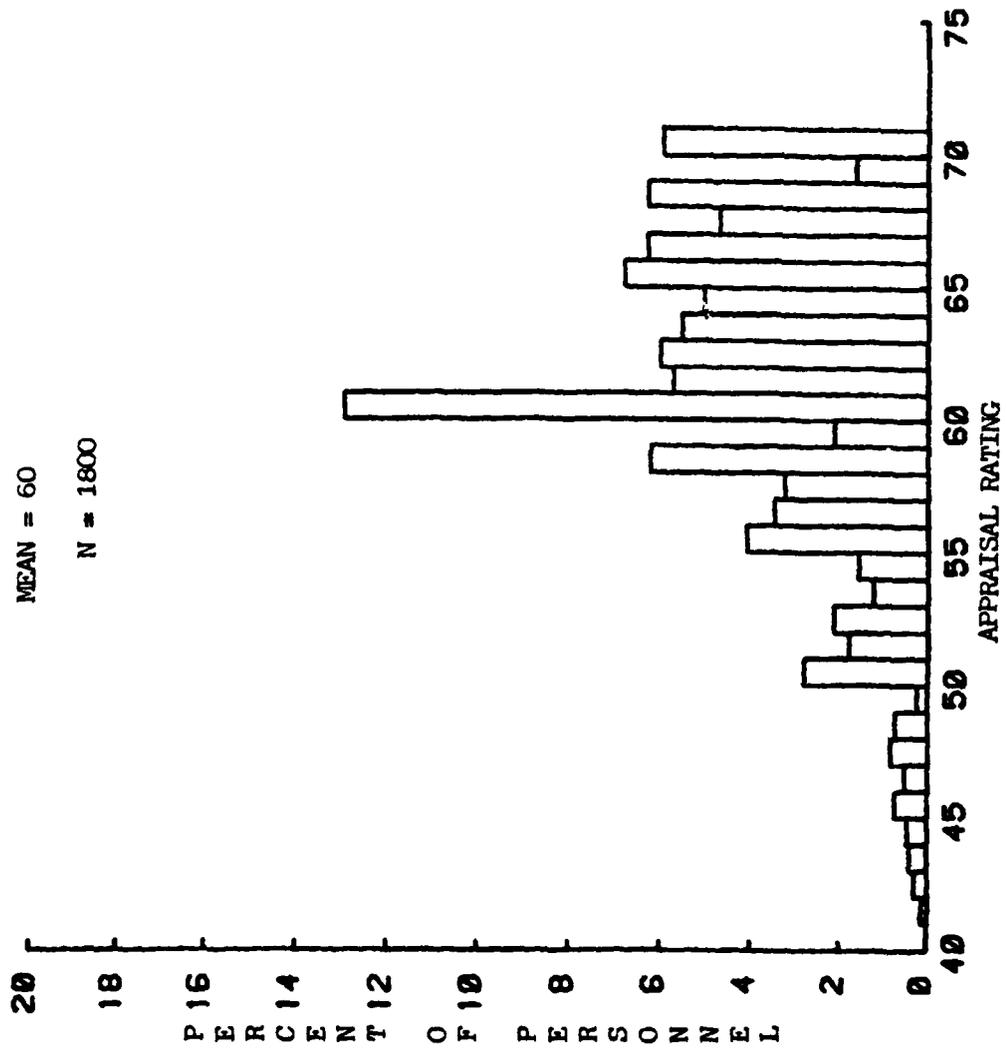


Fig. K.20 Air Force Wright Aeronautical Laboratory (AFWAL)

1979 Ratings

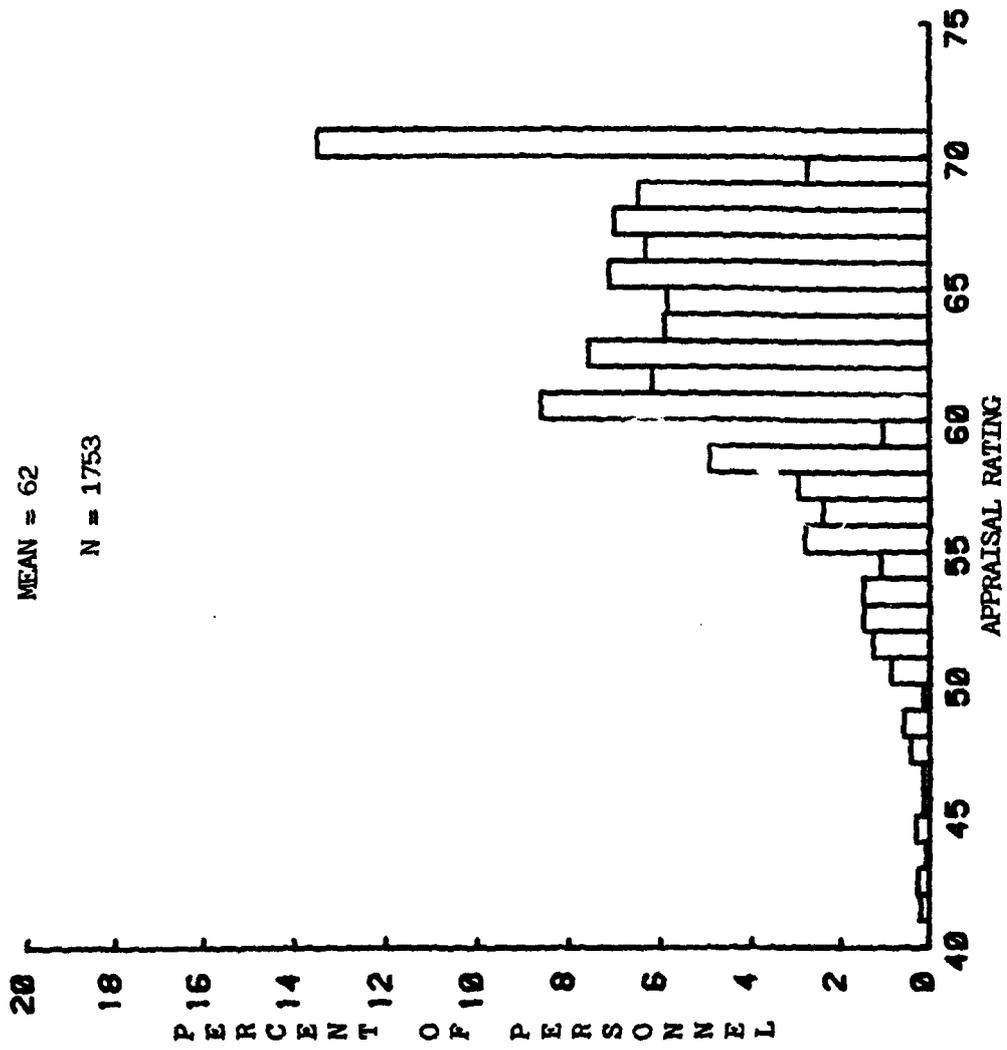


Fig. K.21 Air Force Wright Aeronautical Laboratory (AFWL)  
1980 Ratings

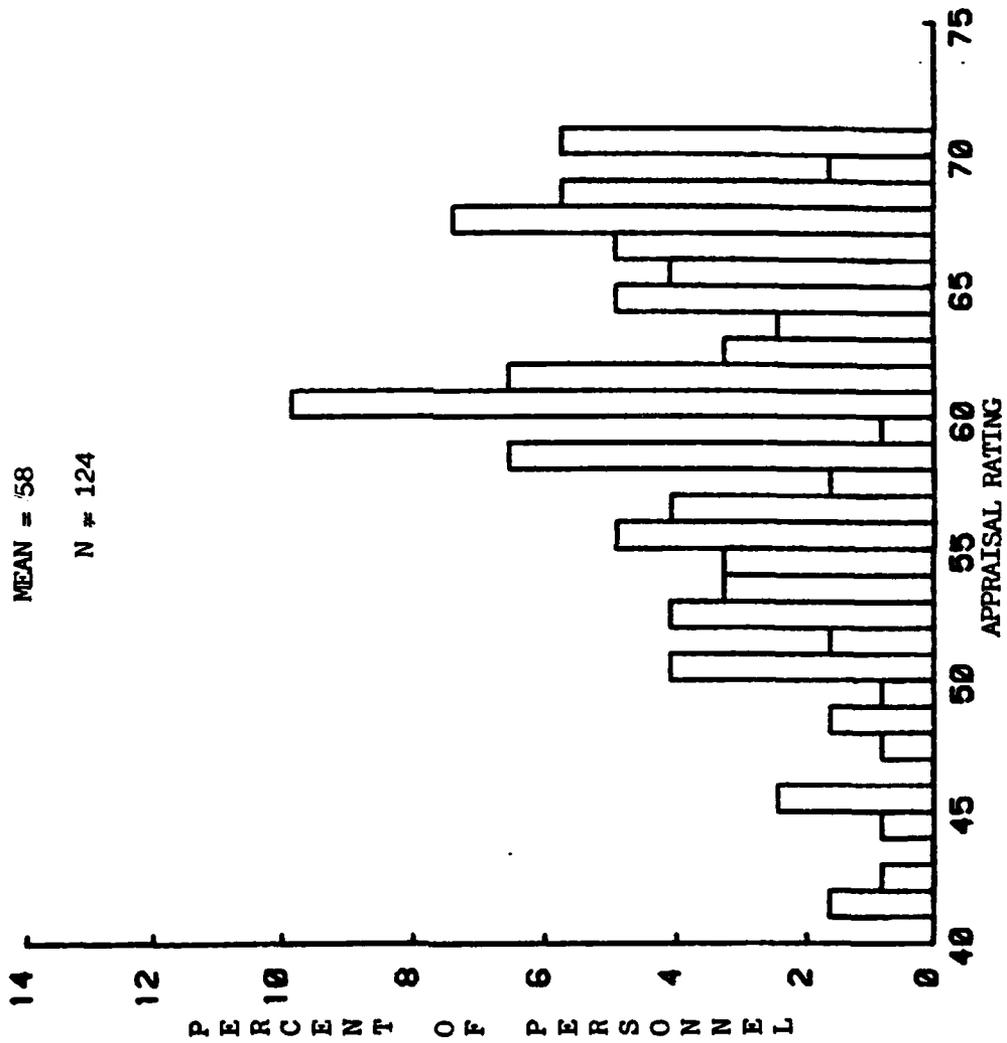


Fig. K.22 Air Force Aerospace Medical Research Laboratory  
1978 Ratings

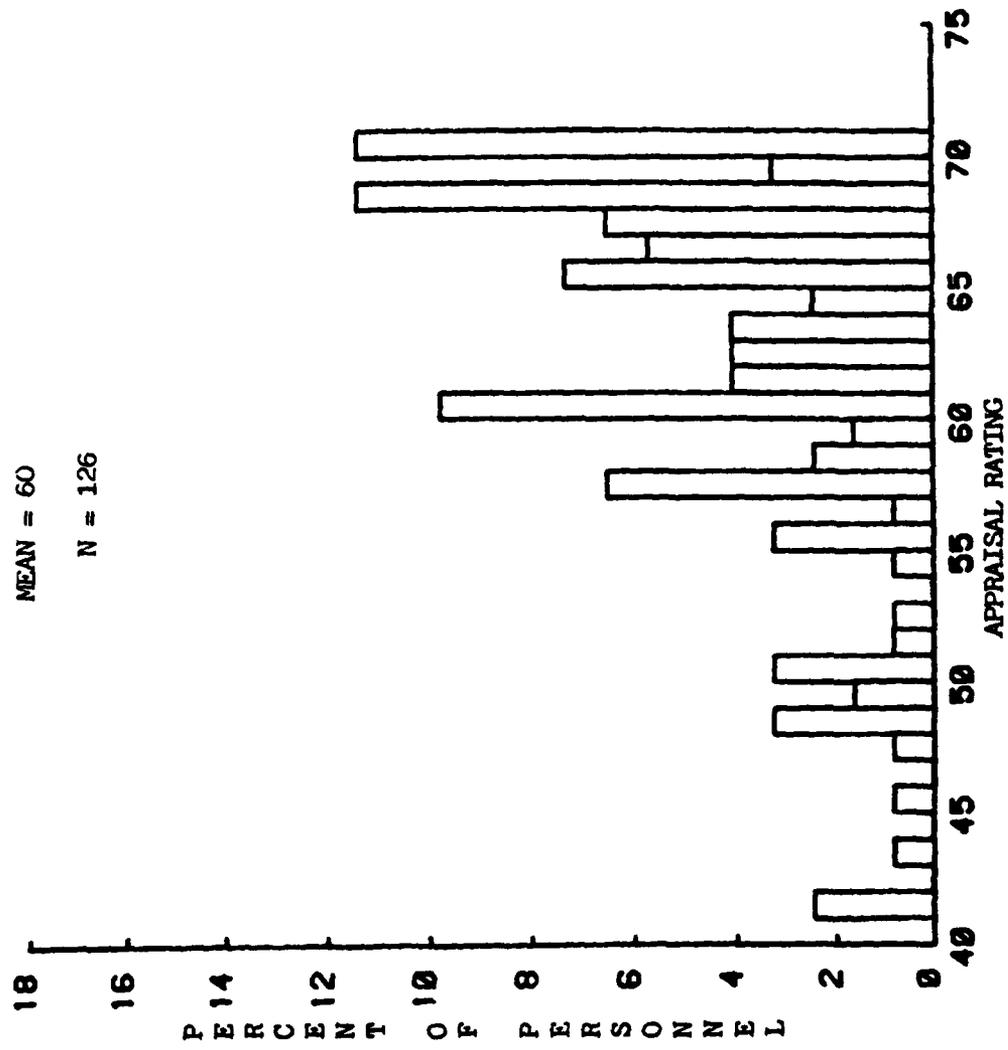


Fig. K.23 Air Force Aerospace Medical Research Laboratory  
1979 Ratings

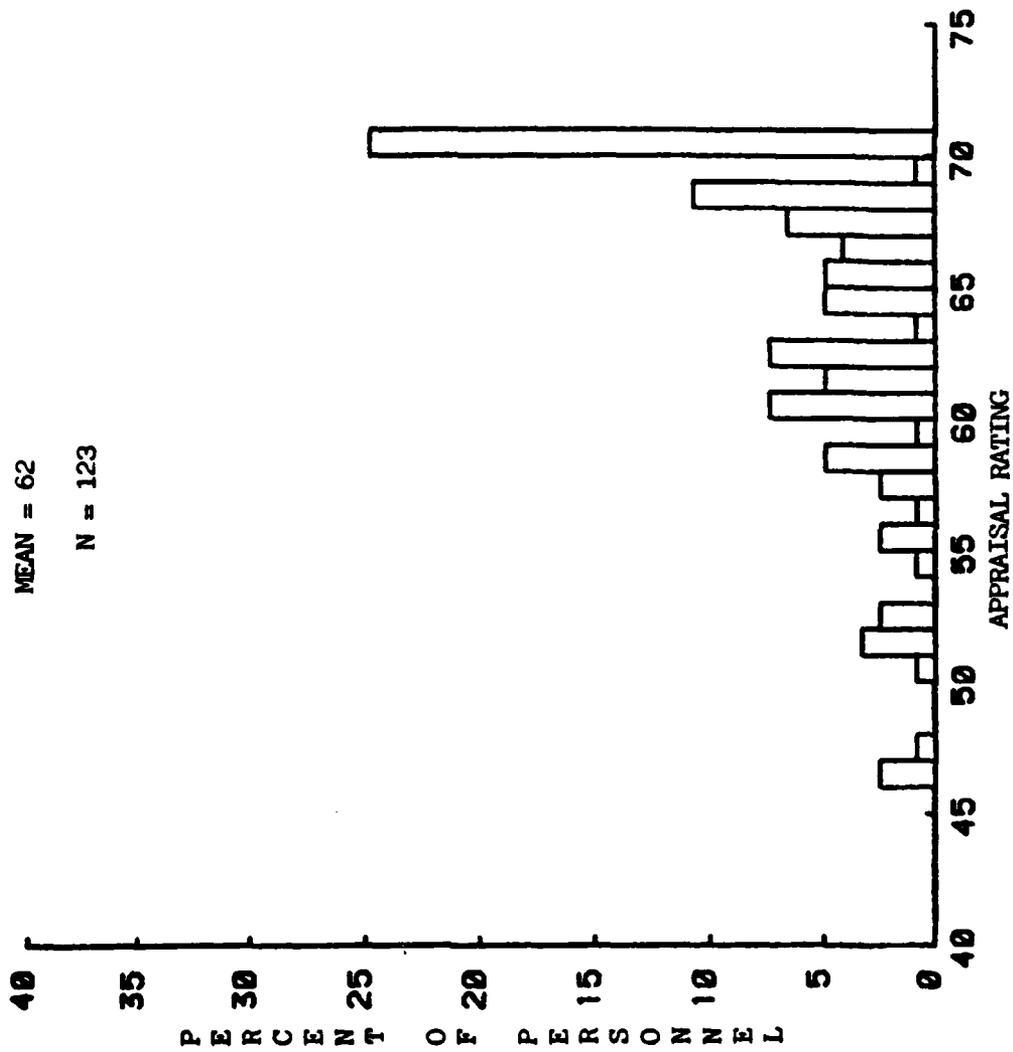


Fig. K.24 Air Force Aerospace Medical Research Laboratory  
1980 Ratings

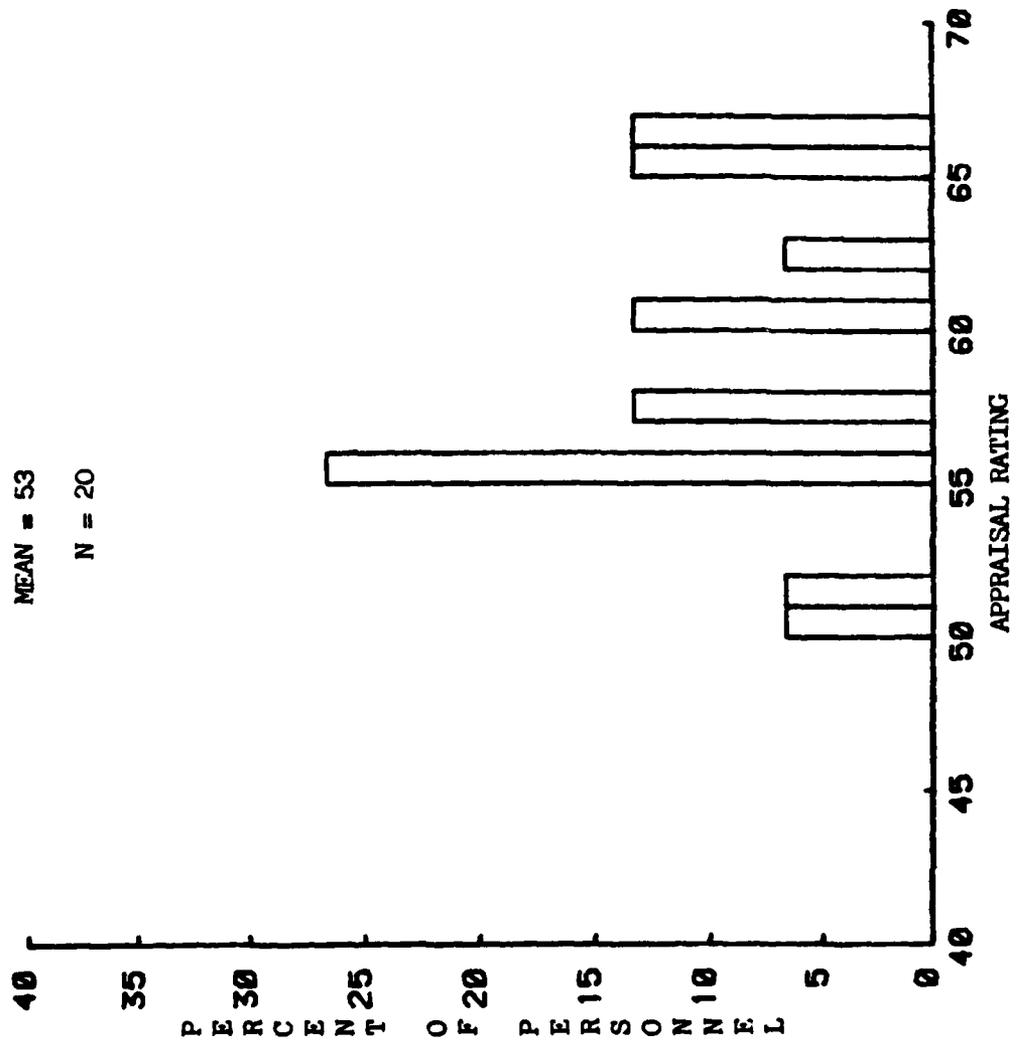


Fig. K.25 Air Force Human Resources Laboratory  
1978 Ratings

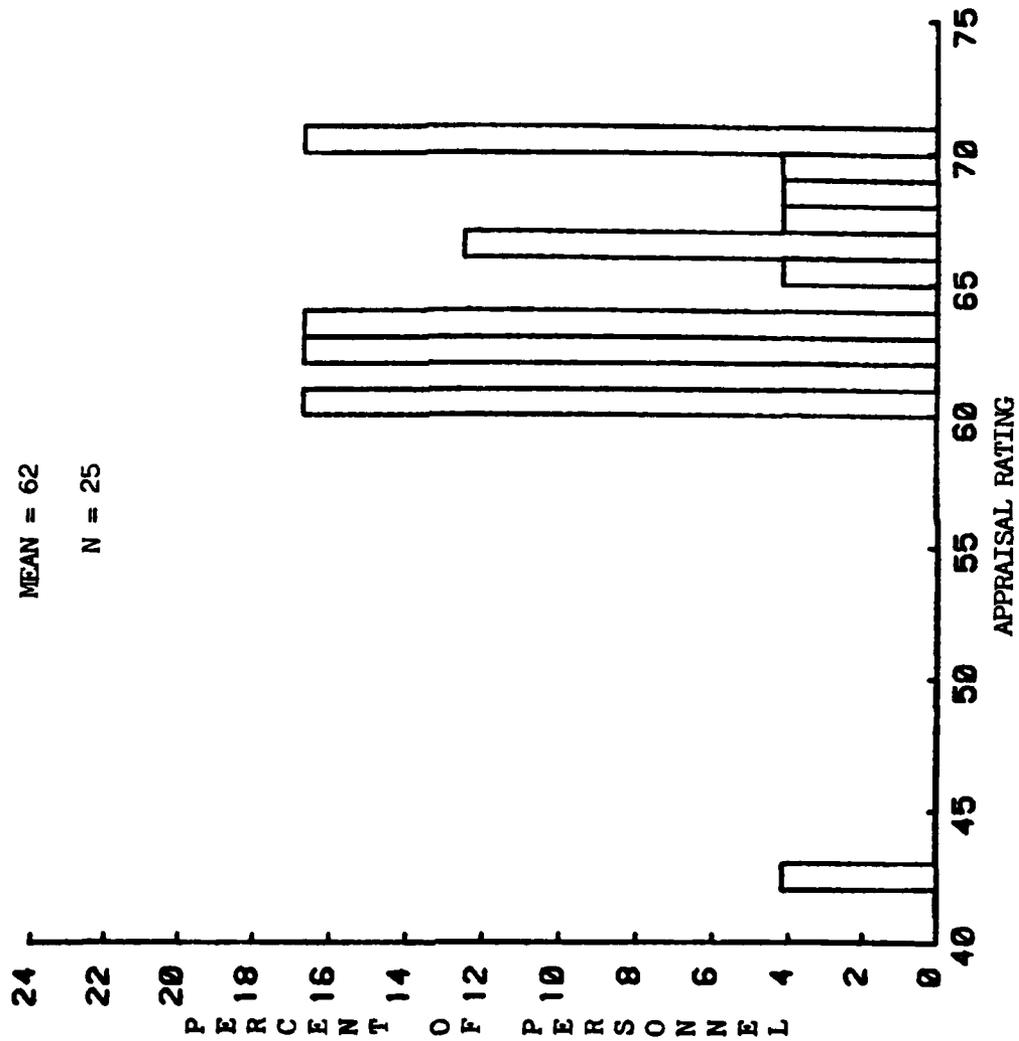


Fig. K.26 Air Force Human Resources Laboratory  
1980 Ratings

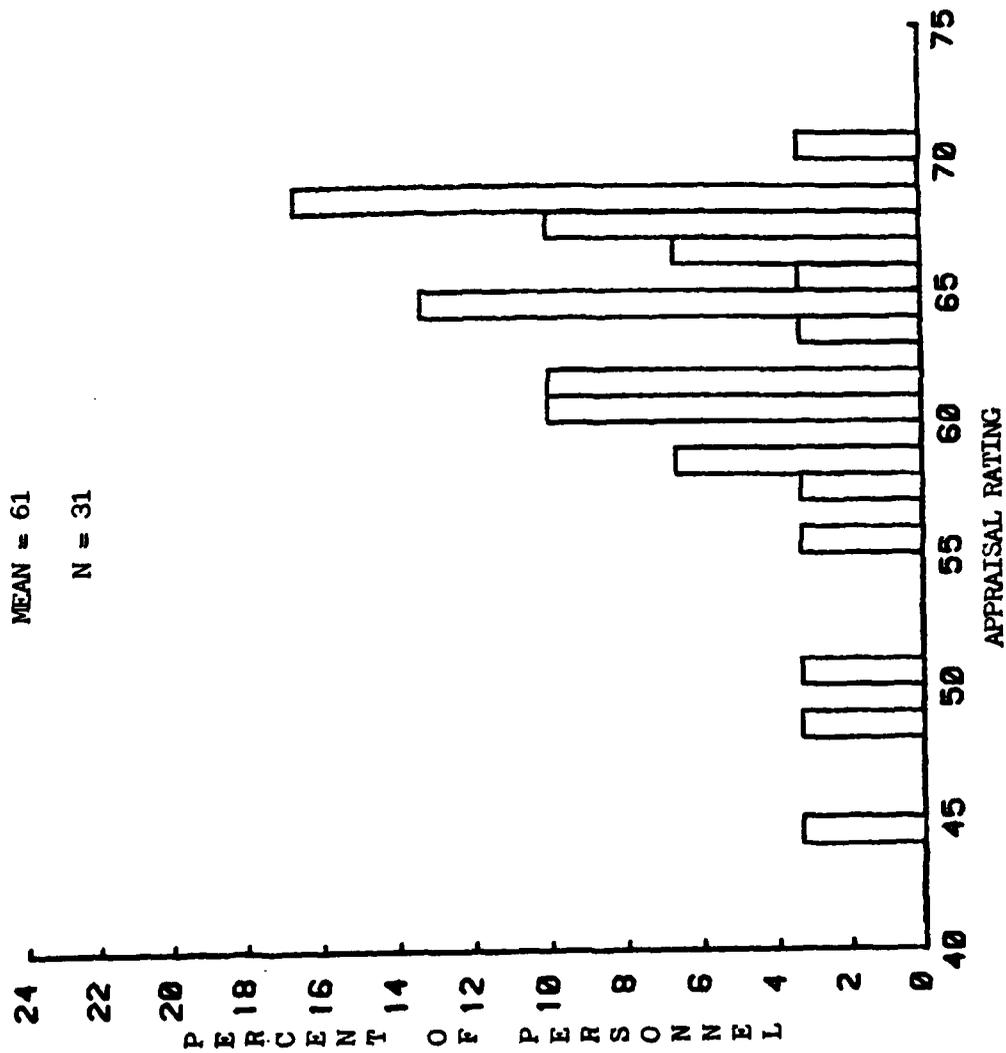


Fig. K.27 Joint Aeronautical Material Activities (AFSC/PM)  
1979 Ratings

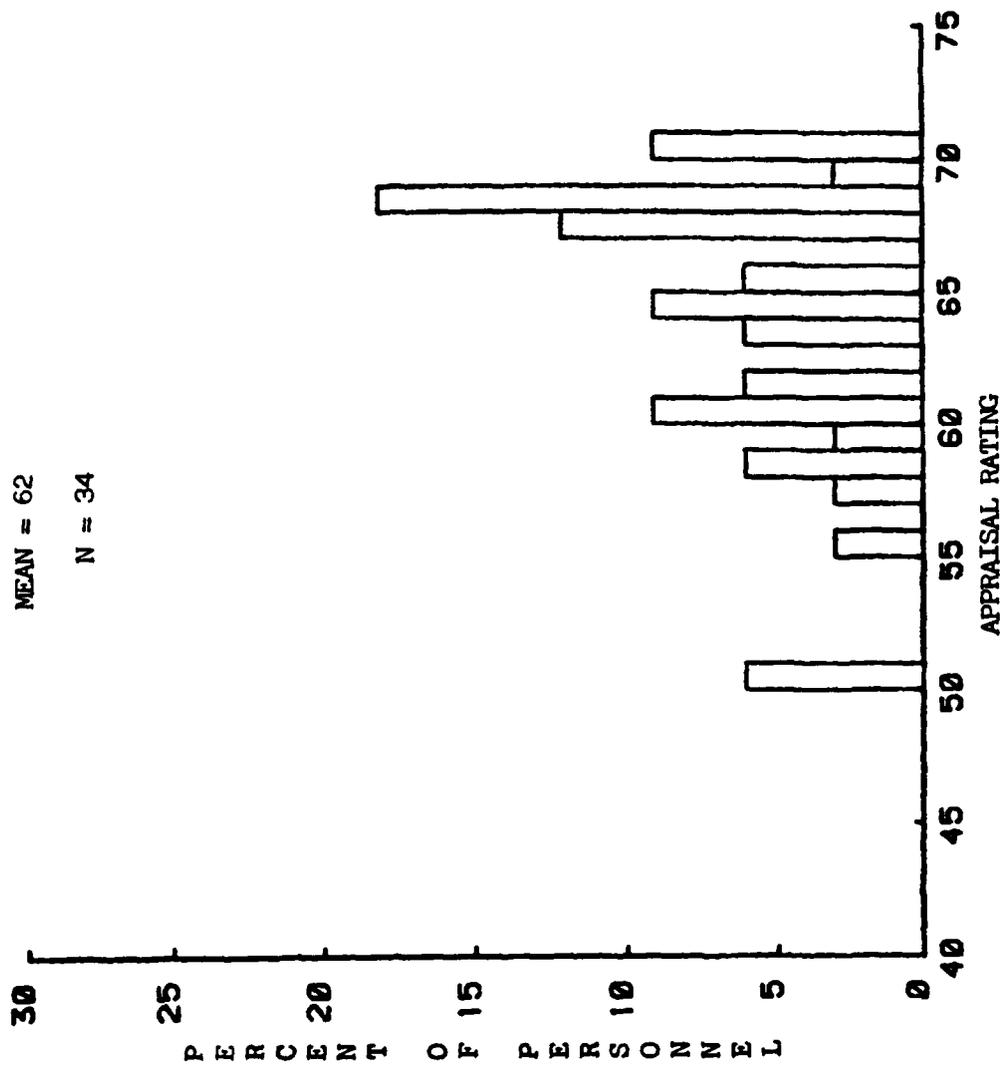


Fig. K.28 Joint Aeronautical Material Activities (AFSC/PM)  
1980 Ratings

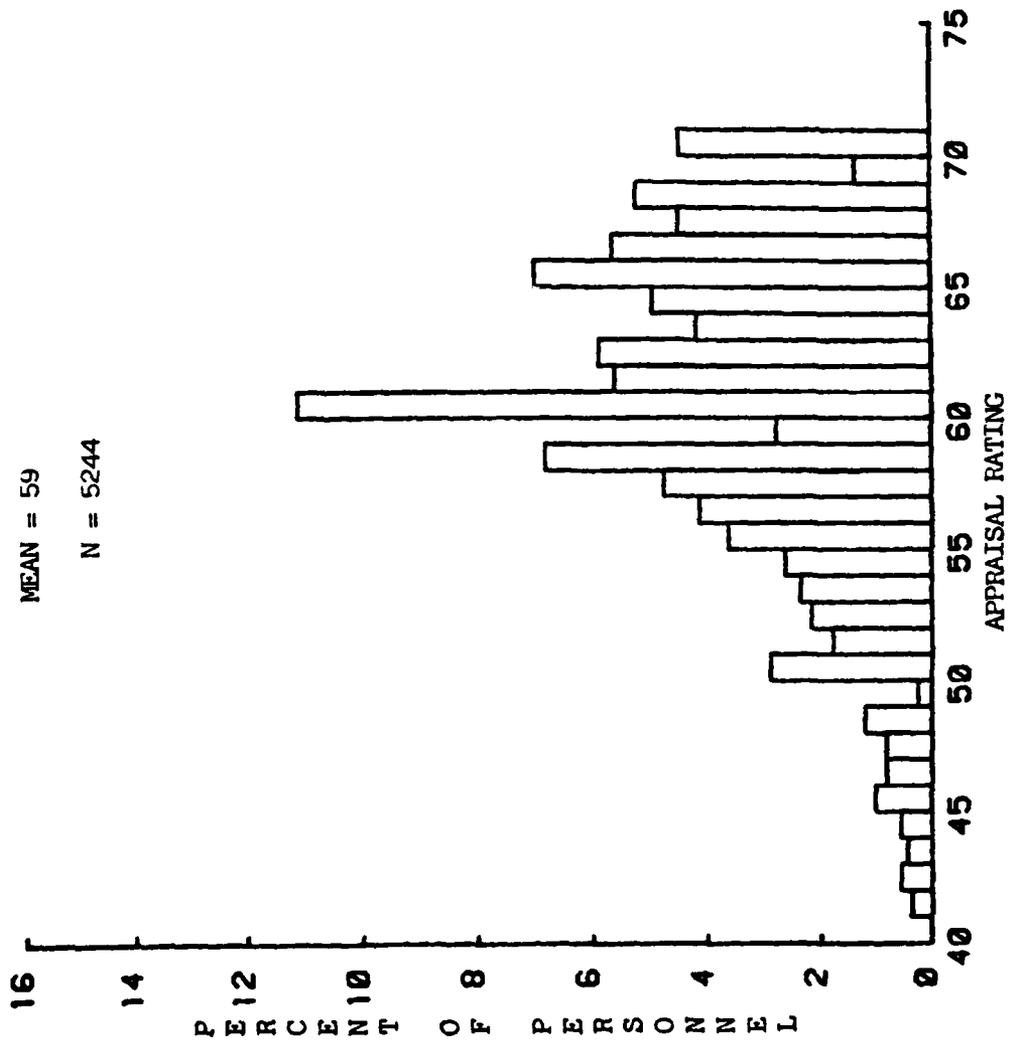


Fig. K.29 All Serviced Activities  
1978 Ratings

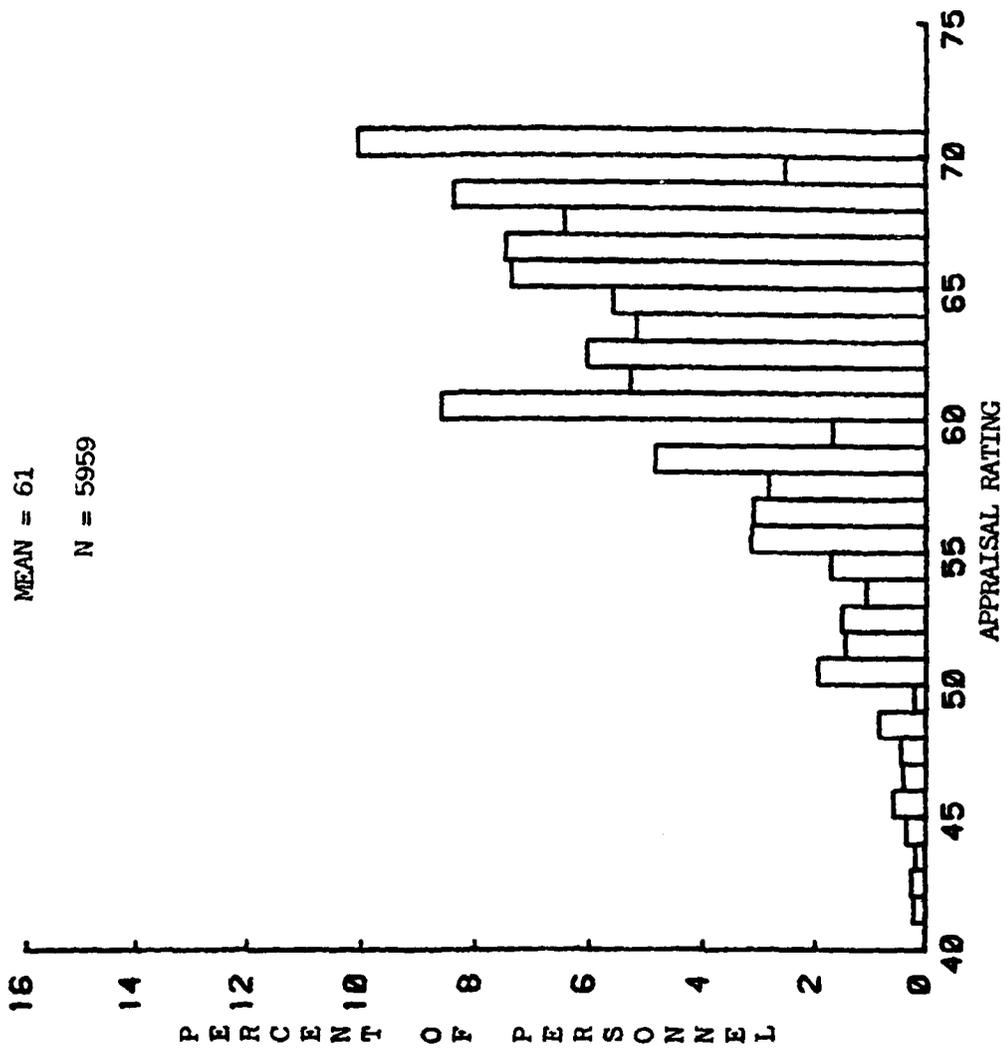


Fig. K.30 All Serviced Activities  
1979 Ratings

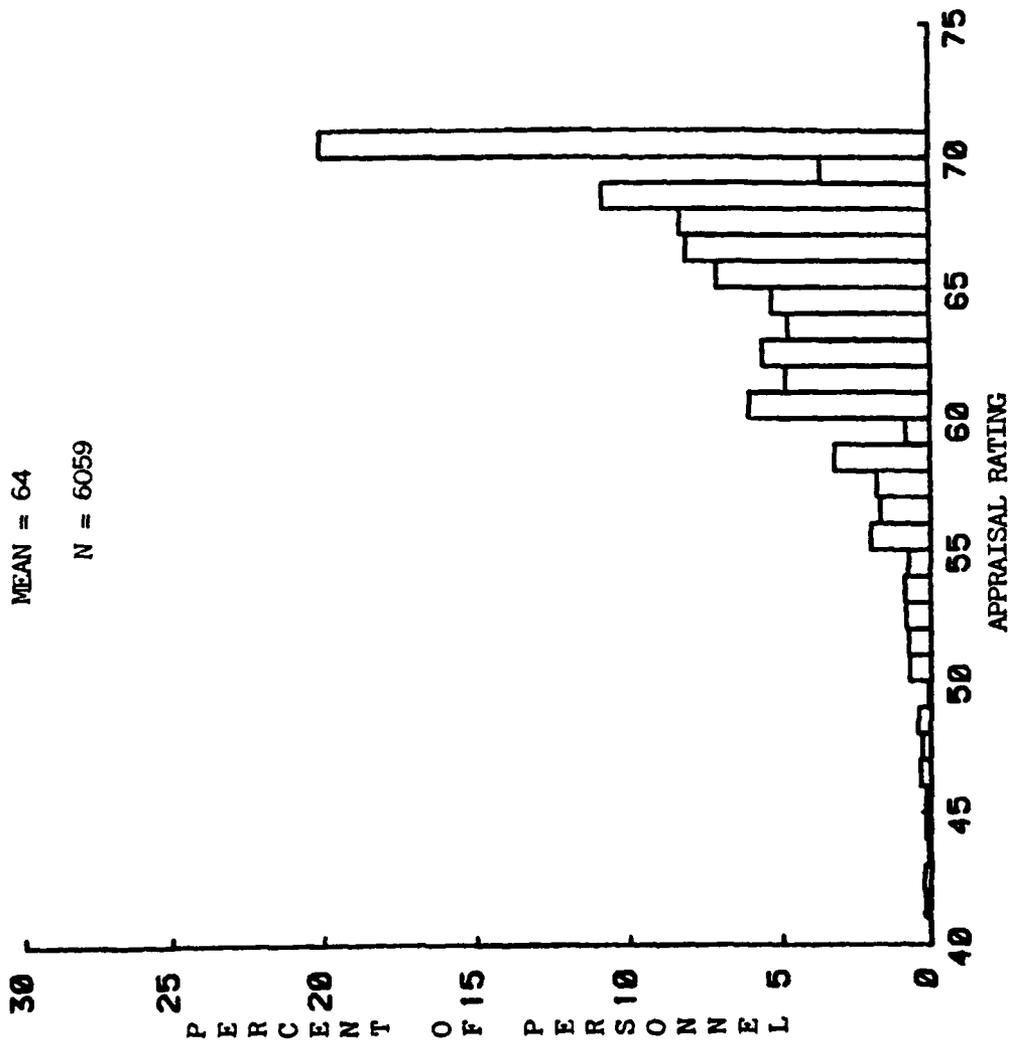


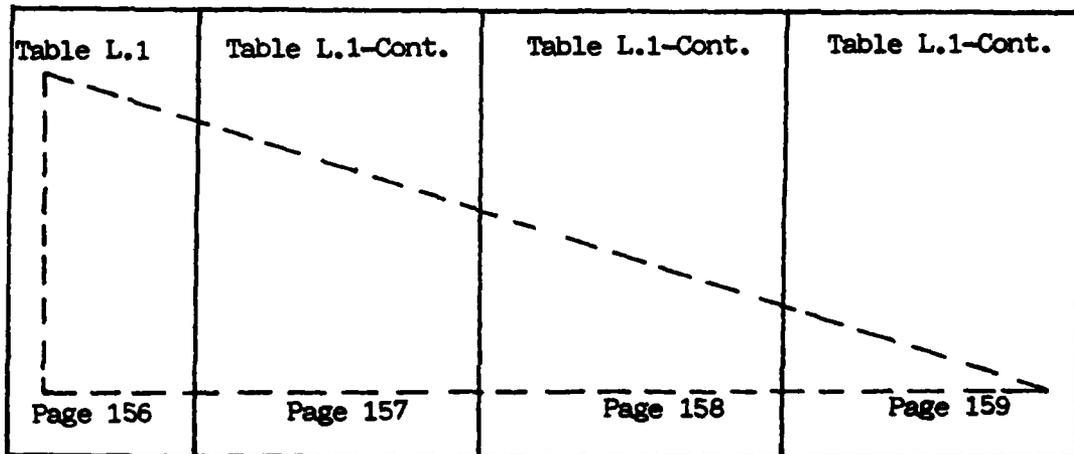
Fig. K.31 All Serviced Activities  
1980 Ratings

APPENDIX L  
MULTITRAIT-MULTIMETHOD MATRIX  
FOR FORM A-ALL

| <u>Trait Designation</u> | <u>Trait Description</u>   |
|--------------------------|----------------------------|
| A                        | Self Management            |
| B                        | Work Administration        |
| C                        | Problem Analysis           |
| D                        | Decision Making            |
| E                        | Speaking Ability           |
| F                        | Writing Ability            |
| G                        | Working Relationships      |
| H                        | Work Leadership            |
| I                        | Personnel Management       |
| J                        | Performance Under Pressure |
| K                        | Work Output                |
| L                        | Overall Rating             |

To construct Table L.1, ascending pages should be laid side by side from left to right.

Construction of Table L.1



Note: Due to the varying number of cases used in computing the correlation coefficients, the number of higher significant values in Tables 4.3 and 4.4 was summarized from the significance levels of the correlation coefficients in Table L.1. The technique of comparing the magnitudes of the correlation coefficients can only be used when the number of cases is constant for all calculations.

TABLE L.1  
MULTITRAIT-MULTIMETHOD MATRIX

|        |            | Actual Ratings |                |                |                |                |                |                |                |                |                |                |                |
|--------|------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|
|        |            | A <sub>1</sub> | B <sub>1</sub> | C <sub>1</sub> | D <sub>1</sub> | E <sub>1</sub> | F <sub>1</sub> | G <sub>1</sub> | H <sub>1</sub> | I <sub>1</sub> | J <sub>1</sub> | K <sub>1</sub> | L <sub>1</sub> |
| ACTUAL | A          | ( )            |                |                |                |                |                |                |                |                |                |                |                |
|        | B          | .56            | ( )            |                |                |                |                |                |                |                |                |                |                |
|        | C          | .68            | .60            | ( )            |                |                |                |                |                |                |                |                |                |
|        | D          | .66            | .68            | .86            | ( )            |                |                |                |                |                |                |                |                |
|        | E          | .24            | .51            | .46            | .48            | ( )            |                |                |                |                |                |                |                |
|        | F          | .44            | .61            | .65            | .70            | .69            | ( )            |                |                |                |                |                |                |
|        | G          | .12            | .78            | .36            | .37            | .51            | .33            | ( )            |                |                |                |                |                |
|        | H          | .59            | .70            | .48            | .37            | .37            | .31            | .64            | ( )            |                |                |                |                |
|        | I          | .60            | .65            | .39            | .34            | .42            | .36            | .58            | .74            | ( )            |                |                |                |
|        | J          | .55            | .63            | .55            | .52            | .63            | .50            | .48            | .72            | .59            | ( )            |                |                |
|        | K          | .50            | .32            | .48            | .39            | .39            | .38            | .26            | .64            | .65            | .63            | ( )            |                |
|        | L          | .70            | .84            | .81            | .80            | .73            | .78            | .61            | .79            | .77            | .82            | .66            | ( )            |
|        | SELF       | A              | .26            | .24            | -.24           | -.38           | .27            | -.18           | .08            | .60            | .70            | .03            | .21            |
| B      |            | .52            | .70            | .03            | -.16           | .28            | .36            | .30            | .63            | .56            | .27            | .44            | .49            |
| C      |            | .30            | .13            | -.06           | -.21           | .29            | -.07           | -.02           | .49            | .49            | .02            | .09            | .05            |
| D      |            | .51            | .60            | .12            | .13            | .51            | .27            | .22            | .63            | .70            | .30            | .07            | .40            |
| E      |            | -.16           | .32            | -.23           | -.21           | .67            | .36            | .27            | .35            | .42            | .23            | .00            | .27            |
| F      |            | .21            | .66            | .20            | .15            | .55            | .48            | .30            | .31            | .38            | .15            | .06            | .38            |
| G      |            | -.12           | .14            | -.08           | .06            | .45            | .42            | .26            | .43            | .26            | -.05           | .00            | .22            |
| H      |            | -.07           | .31            | -.33           | -.17           | .53            | .12            | .36            | .55            | .68            | .03            | .03            | .29            |
| I      |            | .44            | .64            | .00            | .24            | .17            | .44            | .17            | .32            | .56            | .24            | .37            | .48            |
| J      |            | .53            | .50            | .09            | .06            | .49            | .19            | .21            | .45            | .27            | .24            | .09            | .37            |
| K      |            | .45            | .32            | -.11           | -.13           | .32            | .06            | .08            | .52            | .45            | .22            | .39            | .23            |
| L      |            | .32            | .47            | -.02           | -.05           | .55            | .25            | .26            | .57            | .73            | .18            | .14            | .34            |
| PEER   |            | A              | .36            | .54            | .32            | .24            | .19            | .19            | .27            | .31            | .07            | .15            | .14            |
|        | B          | .08            | .47            | .25            | .47            | .58            | .38            | .52            | .25            | .21            | .33            | .13            | .47            |
|        | C          | .05            | .11            | .33            | .28            | .46            | .21            | .15            | .22            | .24            | .18            | .09            | .29            |
|        | D          | .06            | .13            | .52            | .42            | .43            | .15            | .38            | .07            | -.02           | .30            | .23            | .38            |
|        | E          | .13            | .54            | .34            | .32            | .69            | .52            | .46            | .39            | .28            | .52            | .17            | .54            |
|        | F          | .11            | .33            | .27            | .32            | .41            | .40            | .34            | -.02           | -.11           | .29            | .12            | .34            |
|        | G          | -.06           | -.06           | .25            | .22            | .24            | .26            | .33            | -.12           | -.36           | .03            | .04            | .18            |
|        | H          | .24            | .12            | .57            | .49            | .44            | .28            | .43            | .05            | -.01           | .36            | .40            | .48            |
|        | I          | .14            | .11            | .45            | .59            | .49            | .32            | .35            | -.04           | -.01           | .42            | .28            | .44            |
|        | J          | .19            | .10            | .40            | .40            | .32            | .20            | .33            | .07            | .14            | .17            | .25            | .34            |
|        | K          | .22            | .20            | .45            | .36            | .27            | .13            | .23            | .23            | -.00           | .31            | .34            | .33            |
|        | L          | .20            | .27            | .48            | .46            | .49            | .31            | .43            | .16            | .02            | .34            | .27            | .45            |
|        | ALTT-SUPER | A              | .10            | .26            | .08            | .32            | .24            | .26            | .30            | .32            | -.29           | .30            | .44            |
| B      |            | .10            | .55            | .13            | .36            | .56            | .53            | .62            | .52            | .39            | .38            | .22            | .55            |
| C      |            | .39            | .00            | .36            | .53            | .40            | .23            | .34            | .33            | -.14           | .45            | .39            | .49            |
| D      |            | .24            | .66            | .52            | .72            | .51            | .47            | .48            | .57            | .11            | .41            | .38            | .65            |
| E      |            | .08            | .29            | .15            | .02            | .58            | .37            | .27            | .45            | .00            | .36            | .20            | .37            |
| F      |            | .06            | .11            | .45            | .32            | .47            | .57            | .45            | .08            | -.43           | .23            | .16            | .46            |
| G      |            | -.03           | .12            | .08            | .19            | .38            | .56            | .27            | -.04           | -.20           | .08            | .34            | .29            |
| H      |            | -.06           | .19            | .25            | .42            | .36            | .39            | .34            | .31            | .14            | .16            | .27            | .35            |
| I      |            | .02            | .28            | -.14           | .40            | .49            | .46            | .19            | .13            | -.10           | .38            | .13            | .36            |
| J      |            | .07            | -.19           | .39            | .37            | .43            | .40            | .37            | -.25           | -.40           | .08            | .15            | .35            |
| K      |            | .12            | .00            | .34            | .30            | .45            | .36            | .07            | .23            | -.08           | .29            | .36            | .36            |
| L      |            | .19            | .30            | .42            | .52            | .66            | .61            | .51            | .37            | -.16           | .44            | .42            | .62            |

TABLE L.1—Continued

|        |          | Self Ratings   |                |                |                |                |                |                |                |                |                |                |                |
|--------|----------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|
|        |          | A <sub>2</sub> | B <sub>2</sub> | C <sub>2</sub> | D <sub>2</sub> | E <sub>2</sub> | F <sub>2</sub> | G <sub>2</sub> | H <sub>2</sub> | I <sub>2</sub> | J <sub>2</sub> | K <sub>2</sub> | L <sub>2</sub> |
| ACTUAL | A        | ( )            |                |                |                |                |                |                |                |                |                |                |                |
|        | B        | .71            | ( )            |                |                |                |                |                |                |                |                |                |                |
|        | C        | .79            | .44            | ( )            |                |                |                |                |                |                |                |                |                |
|        | D        | .61            | .63            | .79            | ( )            |                |                |                |                |                |                |                |                |
|        | E        | .60            | .63            | .53            | .58            | ( )            |                |                |                |                |                |                |                |
|        | F        | .54            | .55            | .67            | .68            | .65            | ( )            |                |                |                |                |                |                |
|        | G        | .34            | .34            | .47            | .55            | .57            | .55            | ( )            |                |                |                |                |                |
|        | H        | .82            | .46            | .89            | .79            | .72            | .52            | .69            | ( )            |                |                |                |                |
|        | I        | .42            | .34            | .00            | .39            | .04            | .16            | .09            | .42            | ( )            |                |                |                |
|        | J        | .61            | .63            | .70            | .79            | .59            | .53            | .33            | .68            | .31            | ( )            |                |                |
|        | K        | .83            | .73            | .79            | .66            | .55            | .59            | .34            | .71            | .14            | .73            | ( )            |                |
|        | L        | .85            | .76            | .87            | .86            | .77            | .80            | .62            | .90            | .47            | .82            | .85            | ( )            |
|        | SELF     | A              | ( )            |                |                |                |                |                |                |                |                |                |                |
| B      |          | .71            | ( )            |                |                |                |                |                |                |                |                |                |                |
| C      |          | .79            | .44            | ( )            |                |                |                |                |                |                |                |                |                |
| D      |          | .61            | .63            | .79            | ( )            |                |                |                |                |                |                |                |                |
| E      |          | .60            | .63            | .53            | .58            | ( )            |                |                |                |                |                |                |                |
| F      |          | .54            | .55            | .67            | .68            | .65            | ( )            |                |                |                |                |                |                |
| G      |          | .34            | .34            | .47            | .55            | .57            | .55            | ( )            |                |                |                |                |                |
| H      |          | .82            | .46            | .89            | .79            | .72            | .52            | .69            | ( )            |                |                |                |                |
| I      |          | .42            | .34            | .00            | .39            | .04            | .16            | .09            | .42            | ( )            |                |                |                |
| J      |          | .61            | .63            | .70            | .79            | .59            | .53            | .33            | .68            | .31            | ( )            |                |                |
| K      |          | .83            | .73            | .79            | .66            | .55            | .59            | .34            | .71            | .14            | .73            | ( )            |                |
| L      |          | .85            | .76            | .87            | .86            | .77            | .80            | .62            | .90            | .47            | .82            | .85            | ( )            |
| PEER   |          | A              | .29            | .22            | .15            | .11            | -.04           | .16            | -.23           | .17            | .38            | .27            | .29            |
|        | B        | .33            | .29            | .25            | .42            | .38            | .06            | .38            | .71            | .28            | .39            | .36            | .42            |
|        | C        | .35            | .33            | .24            | .08            | .07            | -.12           | -.09           | .49            | .38            | .20            | .10            | .16            |
|        | D        | .04            | -.51           | .14            | -.09           | -.11           | -.06           | -.15           | .10            | -.02           | .04            | .04            | -.03           |
|        | E        | .14            | .05            | .24            | .29            | .25            | .33            | .21            | .24            | -.38           | .23            | .32            | .28            |
|        | F        | .05            | -.03           | .06            | .04            | .01            | .14            | .02            | -.02           | -.17           | .13            | .25            | .09            |
|        | G        | .05            | .03            | -.17           | -.23           | -.06           | -.05           | -.04           | .09            | -.12           | -.06           | .16            | -.06           |
|        | H        | .10            | -.15           | .23            | .04            | -.16           | .06            | -.13           | .06            | -.17           | -.02           | .29            | .03            |
|        | I        | -.24           | -.33           | -.03           | -.07           | -.35           | -.12           | -.40           | -.24           | -.17           | -.12           | .20            | -.27           |
|        | J        | .22            | -.08           | .07            | -.13           | -.12           | -.04           | -.33           | .10            | .23            | .04            | .09            | .01            |
|        | K        | .04            | -.15           | .06            | -.15           | -.24           | -.13           | -.40           | -.12           | -.15           | .00            | .20            | -.11           |
|        | L        | .14            | -.17           | .15            | -.02           | -.46           | .05            | -.18           | .11            | -.09           | .11            | .25            | .06            |
|        | ALTSUPER | A              | .30            | .37            | .17            | .29            | .32            | .11            | .24            | .61            | .75            | .51            | .47            |
| B      |          | .59            | .62            | .49            | .70            | .63            | .53            | .57            | .65            | .58            | .61            | .72            | .71            |
| C      |          | .07            | -.35           | .14            | .18            | -.10           | -.19           | .19            | .33            | .24            | .30            | .02            | .10            |
| D      |          | .26            | .05            | .31            | .38            | .20            | .23            | .35            | .58            | .64            | .54            | .37            | .40            |
| E      |          | .68            | .44            | .58            | .46            | .84            | .65            | .62            | .70            | -.62           | .41            | .65            | .71            |
| F      |          | .07            | .31            | .13            | .37            | .48            | .55            | .61            | .22            | -.05           | .32            | .17            | .37            |
| G      |          | .33            | .32            | .10            | -.04           | .46            | .22            | .33            | .62            | .41            | .19            | .43            | .30            |
| H      |          | .66            | .31            | .60            | .32            | .39            | .30            | .52            | .77            | .77            | .30            | .62            | .58            |
| I      |          | .05            | .12            | .18            | .53            | .51            | .37            | .64            | .68            | .62            | .43            | .61            | .63            |
| J      |          | .03            | -.02           | -.01           | .01            | .02            | .09            | .19            | .23            | .55            | .20            | .00            | .12            |
| K      |          | .09            | -.10           | -.06           | -.20           | .15            | -.16           | .12            | .32            | .39            | .11            | .03            | .02            |
| L      |          | .44            | .29            | .33            | .31            | .54            | .34            | .57            | .77            | .50            | .48            | .49            | .53            |

TABLE L.1—Continued

|          | Peer Ratings   |                |                |                |                |                |                |                |                |                |                |                |
|----------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|
|          | A <sub>3</sub> | B <sub>3</sub> | C <sub>3</sub> | D <sub>3</sub> | E <sub>3</sub> | F <sub>3</sub> | G <sub>3</sub> | H <sub>3</sub> | I <sub>3</sub> | J <sub>3</sub> | K <sub>3</sub> | L <sub>3</sub> |
| ACTUAL   |                |                |                |                |                |                |                |                |                |                |                |                |
| SELF     |                |                |                |                |                |                |                |                |                |                |                |                |
| PEER     | ( )            | ( )            | ( )            | ( )            | ( )            | ( )            | ( )            | ( )            | ( )            | ( )            | ( )            | ( )            |
| ALTSUPER | .57            | .55            | .56            | .46            | .53            | .50            | .55            | .53            | .60            | .52            | .72            | .33            |
| A        | .55            | .61            | .48            | .55            | .49            | .68            | .58            | .42            | .52            | .87            | .59            | .03            |
| B        | .61            | .78            | .48            | .55            | .49            | .68            | .58            | .42            | .52            | .87            | .59            | .03            |
| C        | .48            | .48            | .52            | .48            | .54            | .51            | .54            | .62            | .52            | .59            | .65            | .32            |
| D        | .26            | .52            | .48            | .52            | .54            | .51            | .54            | .62            | .52            | .59            | .65            | .32            |
| E        | .51            | .73            | .76            | .59            | .41            | .50            | .46            | .36            | .58            | .77            | .65            | .48            |
| F        | .75            | .63            | .62            | .50            | .46            | .36            | .58            | .77            | .65            | .79            | .79            | .49            |
| G        | .72            | .86            | .73            | .73            | .71            | .69            | .82            | .88            | .80            | .80            | .79            | .63            |
| H        | .30            | .35            | .30            | .35            | .08            | .16            | .33            | .50            | .03            | .32            | .31            | .54            |
| I        | .29            | .60            | .29            | .60            | .33            | .53            | .43            | .57            | .16            | .30            | .54            | .49            |
| J        | .19            | .31            | .19            | .31            | .27            | .20            | .46            | .36            | .37            | .48            | .49            | .63            |
| K        | .49            | .59            | .49            | .59            | .47            | .27            | .20            | .46            | .36            | .37            | .48            | .49            |
| L        | .49            | .59            | .49            | .59            | .47            | .27            | .20            | .46            | .36            | .37            | .48            | .49            |
| 1        | .35            | .47            | .35            | .47            | .30            | .32            | .43            | .59            | .44            | .59            | .63            | .42            |
| 2        | .71            | .51            | .71            | .51            | .30            | .32            | .43            | .59            | .44            | .59            | .63            | .42            |
| 3        | .63            | .46            | .63            | .46            | .44            | .30            | .50            | .21            | .03            | .14            | .42            | .46            |
| 4        | .49            | .44            | .49            | .44            | .44            | .30            | .50            | .21            | .03            | .14            | .42            | .46            |
| 5        | .45            | .44            | .45            | .44            | .19            | .61            | .72            | .75            | .39            | .30            | .63            | .69            |
| 6        | .58            | .49            | .58            | .49            | .19            | .61            | .72            | .75            | .39            | .30            | .63            | .69            |
| 7        | .30            | .41            | .30            | .41            | .46            | .13            | .24            | .11            | .54            | .15            | .38            | .39            |
| 8        | .43            | .18            | .43            | .18            | .40            | .23            | .52            | .44            | .44            | .68            | .51            | .63            |
| 9        | .28            | .65            | .28            | .65            | .43            | .23            | .34            | .44            | .47            | .40            | .59            | .61            |
| 0        | .52            | .54            | .52            | .54            | .59            | .37            | .47            | .70            | .68            | .38            | .49            | .70            |

TABLE L.1—Continued

|        |      | Alt-Surer Ratings |                |                |                |                |                |                |                |                |                |                |                |
|--------|------|-------------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|
|        |      | A <sub>4</sub>    | B <sub>4</sub> | C <sub>4</sub> | D <sub>4</sub> | E <sub>4</sub> | F <sub>4</sub> | G <sub>4</sub> | H <sub>4</sub> | I <sub>4</sub> | J <sub>4</sub> | K <sub>4</sub> | L <sub>4</sub> |
| ACTUAL | A    | ( )               |                |                |                |                |                |                |                |                |                |                |                |
|        | B    | .70               | ( )            |                |                |                |                |                |                |                |                |                |                |
|        | C    | .52               | .19            | ( )            |                |                |                |                |                |                |                |                |                |
|        | D    | .72               | .54            | .66            | ( )            |                |                |                |                |                |                |                |                |
|        | E    | .36               | .54            | .32            | .40            | ( )            |                |                |                |                |                |                |                |
|        | F    | .49               | .62            | .33            | .34            | .50            | ( )            |                |                |                |                |                |                |
|        | G    | .62               | .64            | .34            | .61            | .54            | .51            | ( )            |                |                |                |                |                |
|        | H    | .54               | .52            | .43            | .70            | .60            | .19            | .71            | ( )            |                |                |                |                |
|        | I    | .74               | .75            | .47            | .75            | .47            | .48            | .57            | .73            | ( )            |                |                |                |
|        | J    | .42               | .30            | .60            | .63            | .29            | .49            | .49            | .53            | .44            | ( )            |                |                |
|        | K    | .56               | .42            | .55            | .74            | .41            | .45            | .61            | .62            | .69            | .66            | ( )            |                |
|        | L    | .78               | .72            | .65            | .83            | .68            | .66            | .80            | .80            | .84            | .71            | .80            | ( )            |
|        | SELF | A                 | ( )            |                |                |                |                |                |                |                |                |                |                |
| B      |      |                   | ( )            |                |                |                |                |                |                |                |                |                |                |
| C      |      |                   |                | ( )            |                |                |                |                |                |                |                |                |                |
| D      |      |                   |                |                | ( )            |                |                |                |                |                |                |                |                |
| E      |      |                   |                |                |                | ( )            |                |                |                |                |                |                |                |
| F      |      |                   |                |                |                |                | ( )            |                |                |                |                |                |                |
| G      |      |                   |                |                |                |                |                | ( )            |                |                |                |                |                |
| H      |      |                   |                |                |                |                |                |                | ( )            |                |                |                |                |
| I      |      |                   |                |                |                |                |                |                |                | ( )            |                |                |                |
| J      |      |                   |                |                |                |                |                |                |                |                | ( )            |                |                |
| K      |      |                   |                |                |                |                |                |                |                |                |                | ( )            |                |
| L      |      |                   |                |                |                |                |                |                |                |                |                |                | ( )            |
| PEER   |      | A                 | ( )            |                |                |                |                |                |                |                |                |                |                |
|        | B    |                   | ( )            |                |                |                |                |                |                |                |                |                |                |
|        | C    |                   |                | ( )            |                |                |                |                |                |                |                |                |                |
|        | D    |                   |                |                | ( )            |                |                |                |                |                |                |                |                |
|        | E    |                   |                |                |                | ( )            |                |                |                |                |                |                |                |
|        | F    |                   |                |                |                |                | ( )            |                |                |                |                |                |                |
|        | G    |                   |                |                |                |                |                | ( )            |                |                |                |                |                |
|        | H    |                   |                |                |                |                |                |                | ( )            |                |                |                |                |
|        | I    |                   |                |                |                |                |                |                |                | ( )            |                |                |                |
|        | J    |                   |                |                |                |                |                |                |                |                | ( )            |                |                |
|        | K    |                   |                |                |                |                |                |                |                |                |                | ( )            |                |
|        | L    |                   |                |                |                |                |                |                |                |                |                |                | ( )            |

Note:  = Validity Diagonal

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