MICROCOPY RESOLUTION TEST CHART
NATIONAL BUREAU OF STANDARDS-1963-A

NAVAL POSTGRADUATE SCHOOL
Monterey, California

THESIS

EXPERIENTIAL TRAINING: DOES IT MAKE A DIFFERENCE?
A WORKSHOP FOR MILITARY SUPERVISORS
CONCERNING THE DEPARTMENT OF THE ARMY
GENERAL PERFORMANCE APPRAISAL SYSTEM

by

Rebecca S. Enck

and

Kenneth C. Robertson, Jr.

December 1982

Thesis Advisor: R. A. McGonigal

83 04 28 197

REPORT DOCUMENTATION PAGE		READ INSTRUCTIONS BEFORE COMPLETING FORM
1. REPORT NUMBER	2. GOVT ACCESSION NO.	3. RECIPIENT'S CATALOG NUMBER
4. TITLE (and Subtitle) Experiential Training: Does it Make A Difference? A Workshop for Military Supervisors Concerning the Department of the Army General Performance Appraisal System		5. TYPE OF REPORT & PERIOD COVERED Master's Thesis; December 1982
		6. PERFORMING ORG. REPORT NUMBER
7. AUTHOR(s) Rebecca S. Enck Kenneth C. Robertson, Jr.		8. CONTRACT OR GRANT NUMBER(s)
9. PERFORMING ORGANIZATION NAME AND ADDRESS Naval Postgraduate School Monterey, California 93940		10. PROGRAM ELEMENT, PROJECT, TASK AREA & WORK UNIT NUMBERS
11. CONTROLLING OFFICE NAME AND ADDRESS Naval Postgraduate School Monterey, California 93940		12. REPORT DATE December 1982
		13. NUMBER OF PAGES 223
14. MONITORING AGENCY NAME & ADDRESS(if different from Controlling Office)		15. SECURITY CLASS. (of this report) Unclassified
		15a. DECLASSIFICATION/DOWNGRADING SCHEDULE

16. DISTRIBUTION STATEMENT (of this Report)

Approved for public release; distribution unlimited.

17. DISTRIBUTION STATEMENT (of the abstract entered in Block 20, if different from Report)

18. SUPPLEMENTARY NOTES

19. KEY WORDS (Continue on reverse side if necessary and identify by block number)

Training Evaluation, General Performance Appraisal System, Appraisal Systems, Quasi-Experimental Research Design, Experiental Learning Theory, Evaluation, Civil Service Appraisal System, U.S. Army Appraisal System for Civilians

20. ABSTRACT (Continue on reverse side if necessary and identify by block number)

The Army has developed and implemented the General Performance Appraisal System to comply with the Civil Service Reform Act of 1978. Training efforts, to date, have been only marginally successful in tranferring the knowledge and skills required of supervisors to operate the new system and none of the training has been designed specifically for military supervisors of civilian employees.

DD FORM 1473 EDITION OF 1 NOV 68 IS OBSOLETE
1 JAN 73
S/N 0102-014-6601

1

This thesis contains a workshop which addresses the require-
ments and responsibilities of the new system. It is designed
specifically for military supervisors of Army civilian employees.
The workshop is based on experiental learning theory. It was
validated and evaluated during two separate presentations to
military personnel from the Defense Language Institute and Fort
Ord. The specific measures utilized are discussed in detail in
the thesis. The workshop was judged to be effective at increasing
participants' understanding of the new system and enhancing their
skills in developing performance standards, completing performance
appraisals, and conducting performance counselling.

Experiential Training: Does it Make a Difference?
A Workshop for Military Supervisors Concerning the
Department of the Army General Performance Appraisal
System

by

Rebecca S. Enck
Captain (P), United States Army
B.S.E., State University College at Cortland, 1967

and

Kenneth C. Robertson, Jr.
Captain, United States Army
B.A., Washington State University, 1974

Submitted in partial fulfillment of the
requirements for the degree of

MASTER OF SCIENCE IN MANAGEMENT

from the

NAVAL POSTGRADUATE SCHOOL
December 1982

Author: _____

Author: _____

Approved by:

_____
_____ Thesis Advisor

_____
_____ Second Reader

_____
Chairman, Department of Administrative Sciences

_____
Dean of Information and Policy Sciences

ABSTRACT

The Army has developed and implemented the General Perform-
ance Appraisal System to comply with the Civil Service Reform
Act of 1978. Training efforts, to date, have been only margin-
ally successful in transferring the knowledge and skills
required of supervisors to operate the new system and none of
the training has been designed specifically for military super-
visors of civilian employees.

This thesis contains a workshop which addresses the require-
ments and responsibilities of the new system. It is designed
specifically for military supervisors of Army civilian
employees. The workshop is based on experiental learning
theory. It was validated and evaluated during two separate
presentations to military personnel from the Defense Language
Institute and Fort Ord. The specific measures utilized are
discussed in detail in the thesis. The workshop was judged to
be effective at increasing participants' understanding of the
new system and enhancing their skills in developing perform-
ance standards, completing performance appraisals, and conduct-
ing performance counselling.

4

TABLE OF CONTENTS

LIST OF FIGURES

I. INTRODUCTION

A. THE NEED FOR PERFORMANCE APPRAISAL TRAINING

Performance appraisals are not new. However, the Civil Service Reform Act (CSRA) of 1978 has introduced a new age for performance appraisal in the Federal Government. One of the requirements of the Act was for federal agencies to develop performance appraisal systems that complied with the provisions of the CSRA. As a result, the Department of the Army (DA) developed the General Performance Appraisal System (GPAS).

The new system is designed to help make employees more productive, more accountable, and government operations more economical. Major and critical elements of a job are to be identified, written performance requirements established, and then the results measured.

The performance appraisal process is not only a matter of law but also serves as an important tool to aid supervisors in doing their jobs. Performance requirements become the basis for performance appraisal, which, in turn, becomes the basis for training, rewarding, reassigning, promoting, reducing in grade, retaining, and removing employees. The knowledge gained through properly conducted appraisals can motivate employees and can influence their morale in a positive direction.

Despite the training that has been conducted throughout the Army to implement the General Performance Appraisal System

(GPAS), "...continuing education needs to be a primary objective, with particular emphasis on improving the quality of performance standards." [Ref. 1: p. i]   The appendix to this thesis contains a two-day workshop titled, "The Nuts, Bolts, and Bricks of GPAS," which the authors believe meets the need for continuing education in the General Performance Appraisal System (GPAS). The workshop specifically addresses the issue of how to develop better performance standards.

B. THE NEED FOR BETTER PERFORMANCE STANDARDS

Since the Civil Service Reform Act (CSRA) was passed, many Federal agencies have written new personnel manuals and regulations to implement the provisions of the Act. The Army's regulation was published in 1981. Training and management specialists have written handbooks and guides to assist federal supervisors with the requirement to write performance standards for all civil service employees. The training information and programs that have been offered to date have only partially met the requirements for implementing the General Performance Appraisal System (GPAS).

> Training conducted by HQDA, MACOM's, and activities was sufficient to introduce the process of performance standard development and the procedural mechanics of GPAS. However, the transfer of knowledge and skills is incomplete. Only approximately 60 percent of performance standards audited were judged to be adequate or better, and supervisors generally lack sufficient knowledge to operate the system. [Ref. 1: p i]

10

One of the primary objectives of the workshop, "The Nuts, Bolts, and Bricks of GPAS" is to enhance the skill of the participants in writing job standards through a combination of individual and group effort.

C. TRAINING FOR MILITARY SUPERVISORS

The workshop is specifically designed for military supervisors of Department of the Army (DA) civilian employees. The authors' review of GPAS literature revealed that no other training materials or programs have been developed especially for military supervisors. The authors believe there is a need to provide military managers with separate and distinct experiental training on the DA, GPAS since they frequently are not as knowledgeable or familiar with the civil service system as their civilian counterparts and they often do not attend training offered by Civilian Personnel Offices. Discussions with the Civilian Personnel Officers and members of the staffs from Fort Ord and the Defense Language Institute have confirmed the authors' perceptions.

> GPAS also places added importance on the identification and training of military supervisors of civilians. Some activities had difficulty in getting all appropriate military trained, even during a time of program emphasis; future training may be even more difficult to accomplish. Successful techniques for tracking and training military supervisors need to be identified and shared throughout DA. [Ref. 1: p. 13]

While one-third of the Department of the Army workforce is civilian employees, it is clear that military supervisors who fail to become familiar with civil service policies and

11

procedures and ignore training opportunities may be less than effective in managing a significant resource. Certainly, motivating military supervisors to attend training on civil service systems has to be a part of the effort and must be a cooperative venture between Civilian Personnel Offices and the military chain of command. However, and more importantly, the training programs presented must be designed carefully and made relevant to the military supervisor if they are to be successful. The workshop, "The Nuts, Bolts, and Bricks of GPAS," is the result of several months of research and attempts to fill the void in training for military supervisors on the General Performance Appraisal System. Although the authors are not so bold as to believe the workshop will solve all of DA's problems in this area, it is believed that this workshop is a step in the right direction. Two sessions of the workshop were held in October and November 1982, to validate it. Attendance rates at both sessions were higher than expected and interest and enthusiasm of military supervisors was high. Perhaps this can be explained by the fact that the training was targeted specifically for military personnel and it was presented by military officers.

D. EXPERIENTAL TRAINING

The design of the workshop is based primarily on experiential learning theory. The participants are actively

12

involved in various individual and group exercises and activi-
ties during much of the workshop and thus learn through immedi-
ate concrete experiences. An expanded discussion of
experiential learning theory is contained in Chapter III.

E. EVALUATION OF THE WORKSHOP

Both internal assessment and external evaluation issues
are addressed in this thesis. "The primary uses of internal
assessment data are to measure progress toward meeting partici-
pant oriented objectives, improve the design of the workshop,
and to improve the performance of the workshop staff." [Ref.
2: p. 27] Participant objectives are contained in each
module of the workshop, "The Nuts, Bolts, and Bricks of GPAS,"
and the instructors can check participants' progress periodi-
cally by requiring the objective to be performed. An oral
assessment at the end of the first day of the workshop is
included as a module, which is intended to allow modifications
to the second day's activities and to provide feedback to the
instructors for improving the design of the workshop and to
improve their own performance. Also, a written evaluation
form is provided to the participants at the end of the
workshop.

According to Forbes [Ref. 2: p. 24], the function of
external evaluation is to determine final design success or
failure by measurement of participant performance in the work
environment outside the workshop. A major intent of this
research effort is to measure the success of the workshop.

13

"In the final analysis, a workshop stands or falls on the basis of its ability to accomplish its goals." [Ref. 2: p. 24] External evaluation measures used in this research are discussed in Chapter III and the analysis of the data gathered is presented in Chapter IV. The final chapter contains the conclusions derived from the external evaluation.

II. A REVIEW OF PERFORMANCE PLANNING AND APPRAISAL SYSTEMS

A. INTRODUCTION

The General Performance Appraisal System (GPAS) is both a performance planning and an appraisal system. Many of the planning and appraisal techniques that have been incorporated into the GPAS are derived from a management and appraisal system called Management By Objectives (MBO). The authors recognize that for some managers MBO is an unpopular and controversial philosophy. The term itself means different things to different people. The next section in this chapter contains a thorough review of Management By Objectives (MBO) so that its meaning, in the context of the General Performance Appraisal System (GPAS), is more clear. The discussion explains how the GPAS has incorporated MBO concepts.

The final section of this chapter contains a discussion of various performance appraisal systems and concludes with thoughts on the General Performance Appraisal System.

B. MANAGEMENT BY OBJECTIVES AND THE GENERAL PERFORMANCE APPRAISAL SYSTEM

The implementation of the General Performance Appraisal System (GPAS) as dictated in the Civil Service Reform Act (CSRA) of 1978 is largely based on Management By Objectives (MBO). Several definitions of MBO are presented first. An explanation of MBO processes and how the GPAS is being implemented are next. The advantages and disadvantages of MBO

are discussed in the following two sections. Finally, the concluding section offers an evaluation of MBO in terms of its impact on the management world, and the General Performance Appraisal System.

1. Defining Management By Objectives

Peter Drucker first applied the term "management by objectives" in his book The Practice of Management, published in 1954. There have been numerous books and articles on management by objectives since the mid-1950's which have refined it, applied it to a wide variety of situations, and debated many of its implications. What is it? George S. Odiorne in his book Management by Objectives, gives this definition:

> A process whereby the superior and subordinate managers
> of an organization jointly identify its common goals,
> define each individual's major area of responsibility
> in terms of the results expected of him, and use these
> measures as guides for operating the unit and assessing
> the contributions of each of its members.

> [Ref. 3: p. 182]

A more recent and specific definition of MBO is provided:

> A managerial process whereby organizational purposes
> are diagnosed and met by joining superiors and subordi-
> nates in the pursuit of mutually agreed upon goals and
> objectives, which are specific, measurable, time bounded,
> and joined to an action plan; progress and goal attain-
> ment are measured and monitored in appraisal sessions
> which center on mutually determined objective standards
> of performance.

> [Ref. 4: p. 37]

Some authors see MBO as a planning and control device in which top management formulates long-term objectives and middle and lower-level managers translate those objectives

16

into specific targets. [Ref. 5: pp. 29-30] Others view MBO as consisting of three important elements: goal setting, participation, and appraisal. [Ref. 6: p. 530]

Any of the above definitions could also be used to explain or define the General Performance Appraisal System.

2. The MBO Process and Implementing MBO

Odiorne has presented three approaches to implementing MBO within an organization--authoritarian, persuasion, and education. Under the authoritarian method, top management merely decides that MBO should be used and dictates that it will be used. Basically, persuasion involves an overselling of the MBO process to management. Persuasion is the technique that Odiorne says has led to the most failures of MBO systems. Education is the most successful method of installing MBO. Training should produce behavior change, and training in MBO is measurable. It can be readily determined if the training worked: Did the trainees set objectives or didn't they? [Ref. 3: p. 379]

The General Performance Appraisal System (GPAS) represents a top management directed implementation of an MBO like system. Congress dictated through the Civil Service Reform Act (CSRA) that federal agencies implement the provisions of the Act, which were largely based on MBO concepts. An extensive education effort has been undertaken by almost all federal agencies to implement their appraisal systems and for the most part, performance standards or objectives have now been written for federal employees. [Ref. 1: p. i]

17

According to Levinson, the ideal MBO process should proceed in five steps: (1) individual discussion with his superior of the subordinate's description of his own job, (2) establishment of short term performance targets, (3) meetings with the superior to discuss progress toward targets, (4) establishment of checkpoints to measure progress, and (5) discussion between superior and subordinate at the end of a defined period to assess the results of the subordinate's efforts. In ideal practice, this process occurs against a background of more frequent, even day-to-day contacts. [Ref. 8: p. 89] Army Regulation 690-400, Department of the Army General Performance Appraisal System, prescribes the five steps outlined above and encourages more frequent contacts between superiors and employees.

The MBO process is based on three psychological principles: (1) Subordinates must know what is expected of them. (2) Subordinates must receive feedback about how they are doing. (3) Subordinates can obtain coaching and assistance when and as needed. [Ref. 9: p. 269] The basic requirements of the GPAS are: (1) individual objectives are known in advance; (2) individuals are evaluated by results (objectives); (3) individual objectives are jointly set by the subordinate and the superior. The two key concepts central to all MBO programs are: clear communication between superior and subordinates and accurate measurement of results against plans. When the superior and subordinate meet to

18

establish and agree on the subordinate's objectives, they are
communicating. When they meet later on to assess performance,
they are measuring. [Ref. 10: p. 25]   These two concepts
are also key to the General Performance Appraisal System
(GPAS).

In all articles concerning the implementation of MBO
in any organization, one fact stands out. That is that upper
level management must support and become involved in the pro-
gram. Lack of top management involvement is the primary
cause of failure of MBO programs. Linked with involvement
is the need to tie the various levels of management together.
A superior in one group becomes a subordinate in another
group. Objectives must be clear, specific, realistic, and
have a time frame. Once the objectives are agreed upon, each
manager should conduct periodic reviews. Reviews add flexi-
bility to the MBO process and increase communication. [Ref.
11: p. 19]

3. Advantages of MBO

Carroll and Tosi reviewed many studies on the use of
MBO and conducted their own study of an MBO program at the
Black and Decker Manufacturing Company, a producer of power
tools. They reported the following contributions MBO makes
to effective management:

(1) Directs work activity toward organizational
     goals. Since goals are declared, there is
     less likelihood to drift into unrelated
     activities.

(2) Forces and aids in planning. Regular MBO planning and review sessions induce managers to think in terms of where they are going and how job assignments, time and other resource allocation, and other decisions are related to organizational goals.

(3) Provides clear standards for control.

(4) Provides improved motivation among managers. MBO sets the stage for achievement-oriented behavior. Managers get involved in committing themselves to goals they have set.

(5) Makes better use of human resources. Objectives set by managers are apt to reflect the distinctive style of each manager and to encourage his personal growth.

(6) Reduces role conflict and ambiguity. MBO clarifies what a manager is supposed to do and how he will be judged. This relieves unclear standards as a source of anxiety.

(7) Identifies problems better. The task-oriented discussions held by superiors and subordinates help spot problems to be overcome.

[Ref. 12: p. 358]

MBO can help any organization, large or small, to accomplish goals, establish standards, appraise performance, and communicate. [Ref. 10: p. 26] Researchers have found that MBO increases feedback and clarifies goals. [Ref. 7: p. 160] MBO contains all the elements that are desirable in an evaluation system. First, the desirable behaviors are clearly outlined for the employee before the evaluation period begins so the individual knows what evaluation criteria will be used. Second, the MBO format provides clear information as to what needs to be done if the individual has not reached

20

the objectives he or she established. Finally, the MBO system provides for measurable documentation. [Ref. 13: p. 23]

Research by Huse and Kay has shown that as a result of proper installation of an MBO approach, subordinates report greater goal involvement, as well as greater agreement with the boss about the job to be done and ways of improving their current job performance. Other research has added weight to these findings. Reporting on the results of two studies that implemented a goal-setting and self-control program in a large firm, Raia found that the program has a number of positive results: shifting from a more personal to a more job-centered evaluation of performance, increased productivity, better identification of problem areas, better mutual understanding between supervisors and subordinates, and improved communications. The research conducted by Tosi and Carroll, Huse and Kay, and Raia confirms that MBO tends to result in higher motivation, improved performance, and greater identification of individual and organizational goals. [Ref. 9: p. 269]

Where the system is appropriately adopted and properly implemented, MBO results in improved productivity because:

- The goal setting process improves motivation.

- The role and tasks of the worker are clarified.

- Communication is more open and directed at the fundamentals of task performance.

- Performance appraisal is improved because it is based on results, not traits or vague impressions.

- MBO develops an "improvement climate" and dissatisfaction with the status quo.

- Planning and coordination are improved.

- Better control standards exist, with more emphasis placed on self-control.

- Improved supervisor-subordinate relations result because of enhanced understanding and greater freedom for the individual.

- MBO contributes to personal development and to the commitment of the individual to organizational goals.

[Ref. 14: p. 606]

Several of the advantages of MBO described in the preceding paragraphs are evident in the GPAS. Job standards have been written for approximately 90-95 percent of DA civilian employees. [Ref. 1: p. i] In the process of establishing job standards, some attention is now being devoted to connecting them to organizational goals and objectives. Employee participation in the establishment of performance standards is estimated to range from 50-70 percent. [Ref. 1: p. 7] The new system has apparently improved communication and feedback between superiors and subordinates. Also under the new system the appraisals tend to be based more on objective criteria than on subjective judgement.

4. **Disadvantages of MBO**

MBO is not an easy system to use. The complexity is often underestimated, especially the behavioral considerations. Organizations tend to rush into it without adequate preparation or understanding. If goals are rigidly adhered to so

22

that new opportunities are passed up, and if flexibility is not built into the system, it can hurt the organization. Also, the tendency is to set goals only on activities that are easily measurable. If the only purpose is to get more production out of the worker, it can also be scuttled in a wave of resentment. Over-enthusiastic promoters are prone to kill MBO in a flood of paperwork and red tape. Simplified management systems are always preferable if they will do the job. [Ref. 14: p. 606]

An incorrectly applied MBO program can have highly negative and unintended results. If, as Levinson points out, a MBO program based on a power-backed reward-punishment psychology is used to both attain company objectives and appraise subordinate's performance, the results can be psychologically damaging. Techniques must not be allowed to overshadow the concept. Objectives must not be made overly tangible and specific, thereby reducing effort on less tangible objectives. The stress on quantitative performance measurements can have highly undesirable consequences for overall organizational performance. [Ref. 9: pp. 269-270]

Ford, in his article titled, "MBO: An Idea Whose Time Has Gone?", describes problems encountered by MBO programs. Many MBO programs have confused immediate problems requiring immediate solutions with longer-term objectives simply because of management's desire to toss everything into the MBO pie. Many programs stumble because they are extended

too far down the organizational structure. Often objectives are not attained because the individual has less control over his own results than he expected. Often an MBO program is implemented in a vacuum with no regard for the organization's basic environmental climates in which the program must function. Executing an MBO program often takes more time than originally contemplated and makes retaining a fluid position more cumbersome. Many times there is a mistaken assumption that an MBO program guarantees creative involvement at lower management levels. [Ref. 15: pp. 48-55]

According to Robert A. Howell, one of the major faults of many MBO systems is that objectives are set at the beginning of a period and not examined again until the end of the period when results are appraised. Levinson says that MBO limits the objectives which can be set by individuals by its emphasis on organizational objectives. He feels that more emphasis should be placed on the personal objectives of the individual. This would result in the individual feeling more strongly committed to achieving the objectives. Odiorne sees several obstacles which a manager must overcome before he can successfully implement an MBO system. One such obstacle is the power structure of an organization. The other factor is that people are more loyal to the smallest unit of which they are a member rather than to the overall organization. [Ref. 11: p. 22]

A few of the disadvantages of MBO described above are also problems that have been experienced in implementing GPAS.

24

One of the two top priorities described in the Report on General Performance Appraisal System Implementation [Ref. 1] is the need to streamline the system mechanics to reduce the administrative burden. Also, the report says, "The concept is good and the potential is excellent, but because of the administrative burden there is a danger that the system will fall of its own weight." [Ref. 1: p. i] Only approximately 60 percent of performance standards audited were judged to be adequate or better. Part of the problem is that standards are not being set for important yet difficult to measure elements of jobs or if they are set, they are not a good measure of performance.

5. Conclusions on Management By Objectives

There is no consensus of opinion in the MBO literature on the success of MBO. There is general agreement that MBO has had an important impact on the world of management, if for no other reason than that it has been tried in various forms by many organizations. Some varied conclusions on the success of management by objectives are presented next as a way to conclude the review of MBO.

Levinson states that management by objectives and performance appraisal processes as typically practiced, are inherently self-defeating over the long run because they are based on a reward-punishment psychology that serves to intensify the pressure on the individual while really giving him a very limited choice of objectives. Such processes can be

25

improved by examining the psychological assumptions under-
lying them, by extending them to include group appraisal
and appraisal of superiors by subordinates, and by consider-
ing the personal goals of the individual first. A continuing
process of interchange would counteract the problem of the
static job description and provide multiple avenues for feed-
back on performance and joint action. In such an organiza-
tional climate, work relationships would then become dynamic
networks for both personal and organizational elements. [Ref.
8: pp. 106-107]

A number of studies have shown that an MBO program
can be beneficial for both the organization and the individual
if the program is properly designed and implemented. Byrd
and Cowan have noted that a successful MBO program must meet
four criteria: (1) the program cannot be "canned," but must
be tailor-made to fit the needs of the specific organization;
(2) destructive competitiveness must be avoided; (3) training
processes are as important as training content; and (4) all
departments must be involved. [Ref. 9: pp. 270-272]

Schnake states, none of the research to date indicates
anything but a moderate success with MBO. This success seems
to be limited to such areas as communication, feedback,
planning, and evaluation. There needs to be a great deal
more research done measuring the effectiveness of MBO, but
for now it should be regarded only as an alternative managerial
technique. It will bring results but not to the extent that

has been suggested in some of the literature on the subject. Managers should realize the limitations of the MBO system before they invest a great deal of time and money in its implementation. MBO should be chosen as a mangerial technique on the basis of its accomplishments, not on its theoretical value. [Ref. 11: p. 24]

Stoner, in his text Management, states that MBO should not be considered a panacea for an organization's planning, motivation, evaluation, and control needs. It is not a simple process that can be quickly and easily implemented. The advantages of having some mechanism of goal setting and evaluation for managers and of having individual goals integrated within the organization have been recognized by many organizations as evidenced by the large number using some form of MBO. The elements that are needed to make an MBO program effective are: (1) acceptance and use by managers; (2) clear formulation of objectives; (3) availability of feedback; (4) continuing support of the program; and (5) encouragement of participation. Properly implemented, MBO results in improved performance and higher morale. [Ref. 16: pp. 160-161]

It can only be assumed that the designers of the General Performance Appraisal System considered the above elements in their initial planning of the program. GPAS is still in its infancy and it will succeed only with continued top management support and a carefully designed training program to meet the needs of supervisory level managers.

27

C. PERFORMANCE APPRAISAL SYSTEMS

Performance appraisal is not a new concept to the human spirit. Almost from the moment of birth we are evaluated on some factor or behavior. Parents, teachers, and peers play a very important role in our early "evaluation" systems. From the scoldings, spankings, detentions, teasings, and grading system we encounter in those early years are formed the attitudes and behaviors we will carry through life. Each one's experience is different, of course, but it is very likely that fear and anxiety will be associated with any form of appraisal process. The formal appraisal process encountered in the work environment is particularly likely to produce fear and anxiety since the outcomes have serious career implications. Often, the outcome of an appraisal process is unknown until that fateful day when the boss calls the employee in to present him with the formal appraisal document. It is this fear of the unknown that causes the employee the greatest consternation. A variety of appraisal systems are in use today, some of which attempt to preclude fear and anxiety by allowing the employee to participate throughout the process. Before any discussion of the various appraisal methods in use today, however, it is necessary to establish a common base of understanding. To accomplish this, what follows is a short definition of what performance appraisal is and its role in organization. Finally, the authors will briefly discuss the methods of appraisal currently used in modern organizations and conclude the section with some thoughts on GPAS.

1. Definition of Performance Appraisal

In a word or two, appraisal is: evaluating, estimating worth, sizing up, judging. Performance is the act of doing something, an output. Viewed here, it is the act of doing a specific task or job relating to a position in an organization. For the purpose of this paper then, performance appraisal is evaluating the manner in which an employee does his job in an organization. It determines who has done well and who has done poorly. It implies the qualitative measurement of some output.

2. Appraisal's Role in Organization

Generally speaking, organizations have two purposes in mind when they seek to appraise employee performance. These purposes are evaluating or judging and developing.

When used as evaluations or judgement, appraisal results are used to make administrative decisions such as promotions, awards, salary increases, and sometimes demotions or terminations. Obviously, the use of appraisals in this manner has serious implications for the employee and his performance. It should also be clear that successfully using appraisals in this way makes the accuracy of measuring devices particularly important to preclude inappropriate recognition of employee performances that are not of the highest order.

Appraisals, when used for purposes of development, are intended to assist employees in improving performance by identifying weak areas and potentials for growth. Here success

is dependent upon not only the accuracy of the measurement instrument but also on the motivation and the desire of the employee to improve his performance.

The two functions of appraisals outlined herein place the manager in conflicting roles. On the one hand, the manager must sit in judgement over the employee in the evaluative mode and on the other hand, the manager must act as a counselor in the nonevaluative development mode. Both functions or roles of appraisal are intended to foster increased employee productivity. [Ref. 17: pp. 4-7] The mangerial role conflict is pointed out here merely to provide the reader with some insight into the complexity of the appraisal process.

3. Methods of Appraisal

A variety of methods of performance appraisal are available to the modern manager. Each technique has its own unique set of strengths and weaknesses but the real key to successful performance appraisal systems seems to be in matching the method to the particular purpose or goal and implementing the method within a supportive organizational climate. The following is a brief discussion of the primary methods used in organizations today.

a. Essay Appraisals

The superior, or rater, is asked to write a brief statement consisting of one or two paragraphs in which he discusses the employee's strengths, weaknesses, areas that

need improvement, potential, and other items of interest. The biggest problem with this method of appraisal is that there is little or no consistency between raters in terms of length and content, thus making comparisons difficult at best.

b. Field Review

In this technique, a staff employee, usually a personnel or administrative staff member meets with small groups of raters to go over employee ratings in an effort to gain uniformity and consistency. Areas of dispute are discussed and ultimately a standard is agreed upon. The strength of this technique is that group judgements tend to be more fair and valid but it is a time-consuming process.

c. Graphic Rating Scales

This is one of the most popular forms of appraisal. The scales come in a variety of forms. Generally the scale assesses an employee on the quality and quantity of work performed on a number of factors. The rater is provided with several statements concerning character or behavior and a Likert-like scale is associated with each statement. The scale may be numbered, range from low to high or have adjectives associated with points on the scale. Graphic rating scale results are generally consistent and result in quantifiable data but they do not necessarily provide depth and if poorly designed (i.e., too few or too many points on the scale), may not be reliable.

d. Forced-Choice Rating

In this method the rater is asked to choose from among a group of statements those which best fit and those which least fit the employee being evaluated. The statements have been weighted and are scored in the same manner that psychological tests are scored. Since the rater does not know the weighting for each statement, the theory is he cannot play favorites so the evaluation should be more valid.

e. Ranking Methods

There are a number of ranking methods to include straight ranking, alternative ranking, paired comparisons, and forced distribution. Each technique will be discussed separately. All involve comparisons of one employee with another.

Straight ranking means that the rater does a simple comparison of all employees selecting the best (on a given dimension or characteristic), then the next best and so on until all employees have been evaluated.

Alternative ranking involves selecting employees from a list in a somewhat more complicated procedure. On a given dimension, the supervisor must select the best employee. That employee's name is placed at the top of a new list. Then the supervisor selects the poorest employee (on the same given dimension) and that employee's name is placed on the bottom of the new list. The supervisor continues to alternate selecting the best then the poorest employee from an increasingly smaller list and ultimately ends up with a new, now rank-ordered, list.

32

The paired comparison technique requires that the supervisor compare each employee to every other employee one at a time. By counting how many times he picks an employee as best over each of the other employees, the supervisor determines where the employee ranks in the group.

Unlike the other ranking techniques which normally only focus on one characteristic or dimension, the forced distribution method generally includes comparisons on several dimensions. In this method, the rater must distribute employee evaluations on each dimension into a normal distribution curve. Problems can occur with this method when the group being rated is small or if the group has a significant number of high or low performers in it.

f. Assessment Centers

Individuals from different areas are brought together and put through a series of exercises while being observed. They work on individual and group assignments usually for a period of two or three days. At the end of the session, they are evaluated on their individual performances. The pooled judgement of the observers results in an order-of-merit listing. The biggest problem with this method is that it is very costly and time-consuming.

g. Critical Incident Appraisals

In this method, raters are asked to keep a record or log on each individual to track actual situations that occur related in a positive or negative manner to employee performance. Evaluations are then determined on the basis of these

33

observations. The advantage of this method is that it deals with actual behavior but it is very time-consuming for the supervisor and he sets the standards for record keeping so there may not be consistency from one supervisor to another.

h. Behaviorally Anchored Rating Scales

Examples of very successful and very unsuccessful incidents (behaviors) are identified and these incidents are clustered into a small number of categories. The incidents are then rated and a scale is developed. Employees are evaluated on each scale and a composite score is arrived at by summing across all categories of incidents. The advantage of this method is that the employee can be given feedback that is very specific concerning the types of behavior that are desired by the organization. In addition, it should be noted that the evaluator is involved in the development of the instrument which means there should be some commitment to the appraisal process on the part of the rater. Needless to say, development is a time-consuming process.

i. Management By Objectives (MBO)

MBO has been discussed at great length in the previous section, therefore little or no discussion is necessary here. Suffice it to say that MBO is an alternative to the conventional and comparative type systems discussed here and it is ordinarily considered an employee development tool more than an evaluative one.

[Ref. 17: pp. 82-96; Ref. 18: pp. 37-38]

34

4. Thoughts on GPAS

The emphasis on the Civil Service Reform Act is on increasing the effectiveness and productivity of federal employees. As Deputy Secretary of Defense W. Graham Claytor, Jr., states in a 1980 *Defense* article, "...results are the bottom line of much of the Civil Service Reform Act." [Ref. 19: p. 14]   The General Performance Appraisal System (GPAS) is the Army's answer to the mandate and guidance received from the Office of Personnel Management. As indicated earlier, GPAS is MBO-based. Employees participate in the setting of standards for their jobs, performance is reviewed periodically, the performance appraisal measures how well the employee did (results) against the objectives, and the appraisal is used to make management decisions concerning training requirements, promotions, transfers, demotions, terminations, etc. Thus GPAS goes beyond MBO. GPAS is an evaluative tool whereas MBO is primarily a developmental tool. [Ref. 17: p. 96]   GPAS is clearly tied to the reward system. Cummings and Schwab [Ref. 17] indicate that linking rewards to an MBO system may cause some problems in that objectives are individualized and because the employee has participated in the setting of the objectives and the evaluation process. They suggest comparisons and distribution of rewards may not be equitable, [Ref. 17: p. 96]   Whether this will ultimately prove true in GPAS remains to be seen but initially it seems unlikely it will be a problem. In the final analysis, under GPAS, supervisors

have the final say on establishing objectives and there has
been some attempt to assure equity in the system since
reviewing officials are tasked with the responsibility of
preventing standards for like jobs under their purview from
being significantly different. From the authors' point of
view, GPAS is a giant step in the right direction. Communi-
cation between employees and supervisors should be enhanced,
expectations for performance are clearly defined in writing
before the fact and are behavior-centered (as opposed to
person-centered), and the formal year-end appraisal process
should be less threatening and anxiety producing for both the
employee and the supervisor since there should be no surprises.

It may be several years before GPAS is fully success-
ful. It requires a tremendous expenditure of time initially
and places demands on supervisors that may be objectionable
to many in the military environment. Military leaders,
generally speaking, do not tend toward participative manage-
ment. For some, the adjustment may never be made. However,
GPAS does not mandate the degree to which employees must
participate in the process. The authors believe this allows
even the most authoritarian of supervisors to successfully
fulfill his responsibilities in the GPAS system. Training
can and, hopefully, will make a tremendous contribution to
enhancing the skills, particularly in communication, of all
supervisors to assist them in obtaining confidence in using
new management techniques. Indeed, the desire to make a

contribution to the Army in this direction has prompted the

authors' effort in preparing and attempting to validate the

workshop contained in this thesis.

> The best way to conquer fear is through knowledge, and
> that takes us right back to a thorough training program
> that does more than teach the perfunctory details of the
> new system. The results of training can be measured in
> attitude shifts as much as in new knowledge.
>
> [Ref. 19: p. 18]

III. METHODOLOGY

A. CONDUCT OF THE WORKSHOP

As discussed in the introductory chapter, the workshop, "The Nuts, Bolts and Bricks of GPAS," is designed to include the major components of experiental learning theory. Experiential learning is a four-stage cycle: (1) immediate concrete experience serves as the basis for (2) observation and reflection; (3) these observations are assimilated into a "theory" from which new implications for actions can be deduced; (4) these implications or hypotheses then serve as guides for creating new experiences. [Ref. 20: p. 28] The effective learner utilizes this cycle by relying on four adult learning styles: Concrete Experience (CE), Reflective Observation (RO), Abstract Conceptualization (AC), and Active Experimentation (AE). [Ref. 20: p. 33] Each individual has a tendency to favor one learning style over another or may rely more heavily on one or two of the styles to the exclusion of the others. Recognizing this tendency, designers of instructional materials must endeavor to include activities that will present the learning points in a variety of ways so that each learner is given the best opportunity to assimilate the material.

A variety of methods is used in the two days of the workshop to present the material to military supervisors. These include vugraphs; charts; lecturettes; the three part film, "MBO and Performance Appraisal"; the audio-visual cassette,

"Performance Appraisal: Human Dynamics"; two different role playing situations; and individual and group exercises. The authors intentionally chose to present the material using a multi-media approach to take advantage of the various sensory stimuli people rely on in learning and the tendency to prefer one or more of the four adult learning styles. Redundancies, where they occur, were purposefully included to reinforce learning.

One of the objectives of the workshop is to increase participants' understanding of the General Performance Appraisal System (GPAS). Regulatory requirements are discussed and a step-by-step explanation of how to complete the forms is included. The GPAS is compared with the more familiar military appraisal system. Management By Objectives (MBO) concepts are presented since the new system, as dictated in the Civil Service Reform Act, is largely MBO-based. Opportunities for discussion of the various aspects of the General Performance Appraisal System are dispersed throughout the two days of the workshop.

Techniques are presented in the workshop for developing performance requirements and participants actually spend several hours working individually and in small groups to refine or develop the performance requirements brought with them to the workshop.

Several modules of the workshop are devoted to communication skills and performance counselling. Participants are

given the opportunity to role play employee-supervisor perform-
ance counselling sessions and then are provided feedback from
their peers.

Interested readers will find the entire content outline of
the workshop at Appendix A of this thesis.

The workshop is designed to provide the participants with
a variety of new experiences. These experiences include: the
opening exercise, "How many ways can you use a brick?"; the
pre-test; the instrument, "Supervisory Attitudes: the X-Y
Scale"; several role playing situations; the handout, "Is
Your Door Really Open?"; the post-test; and numerous opportu-
nities for discussion of materials being presented. Reflective
observation can occur at any time after each of the exercises
described above. The audio-visual cassette "Performance
Appraisal: Human Dynamics" and the film "MBO and Performance
Appraisal" provide opportunities for reflective observation
by the participants as well. The background material on the
General Performance Appraisal System and comparisons with mili-
tary evaluation systems; the Performance Management Pyramid;
and counselling skill topics all serve to aid the participants
in formulating abstract concepts and generalizations. Both of
the role playing situations and the development of performance
standards during the workshop provide the participants an
opportunity for active experimentation in a relatively non-
threatening environment. Participants will hopefully continue
to test the concepts and theories developed during the workshop
by using them on the job to help make decisions and solve
problems.

B. CONDUCT OF THE RESEARCH

The field experiment was selected as the research strategy for this thesis because the authors wanted to make the research as true-to-life and relevant as possible. A field experiment is characterized by the following features: (1) the research takes place in a natural setting; (2) the experimenter manipulates one or more independent variables while exerting as much control as the situation permits over other possibly confounding variables; and (3) the effect of the manipulations on one or more dependent variables is systematically observed. [Ref. 21: p. 125]

It seems reasonable that the best measures of training effectiveness can be achieved in a natural setting, such as the authors' two-day workshop for military supervisors, rather than in settings that subjects perceive as having been created specifically for research purposes. Also, as a consequence of the fact that field experiments involve studying phenomena in "natural settings" the external validity of results of such studies may be greater than that of data from laboratory experiments. [Ref. 21: p. 126]

This research is primarily concerned with training and the performance resulting from that training. Controls over the effects of confounding factors which emerge from the field experiment are discussed in Section D of this chapter. Section E discusses the techniques utilized for observing and measuring the participants' performance during the workshop.

41

C. THE SAMPLE

Military supervisors of civilian employees at the Defense Language Institute (DLI), Presidio of Monterey, California, and at Fort Ord, California, were invited to attend two separate sessions of the workshop, "The Nuts, Bolts, and Bricks of GPAS." Announcement of each session was made by the respective Civilian Personnel Offices. The two sites were selected by the authors to preclude the need to search for funds and/or to travel to other locations. In this regard, the sampling technique is said to be convenience sampling. As defined by Stone, this means that persons are included in the samples simply because they were available at the time. [Ref. 21: p. 81]

The sample from DLI (Group 1) consisted of twenty personnel assigned to the supporting staff elements (non-instructors) of the school. The Army, Air Force, and Navy were represented in the group. A specific breakdown by service and rank is presented in Figure 1. One member of the Civilian Personnel Office staff also attended. However, he was not included in the data analysis because the group of interest for the study is the military supervisor group. In addition, it was felt that his occupation afforded him a degree of familarity with the appraisal system that could bias his test results. It should be further noted that the enlisted personnel in Group 1 were not currently supervising civilian employees.

SERVICE	ARMY	AIR FORCE	NAVY
GRADE			
O5	1		
O4	4	1	
O3	1		
O2/O1	1		1
WO1	1		
E8	3		
E7	4		2
E6	1		
	—	—	—
TOTAL	16	1	3

FIGURE 1. GROUP ONE SAMPLE PROFILE

The sample from Fort Ord (Group 2) consisted initially of twenty-seven personnel. However, for various reasons a number of personnel did not complete the entire two days of the workshop and/or both the pre- and post-tests. Consequently, the sample to be used for the study was reduced to sixteen personnel assigned to various support elements of the Seventh Infantry Division or the Combat Developments Experimentation Command. All personnel in Group 2 were in the Army. A breakdown by rank of the participants is provided in Figure 2. Three members of the Civilian Personnel Office staff attended the second

session. They were not included in the data analysis for the
same reasons as cited above. All personnel in Group 2 were
currently supervising at least one civilian employee.

GRADE	SERVICE	ARMY
O5		2
O4		1
O3		5
O2/O1		3
E7		3
E6		1
E5		1
TOTAL		16

FIGURE 2. GROUP TWO SAMPLE PROFILE

Although a combined sample of thirty-six personnel could
hardly be considered representative of the Army as a whole,
in the opinion of the authors there may be some value to
generalizing the results of the study. As discussed above
in Section B, a field experiment allows the study of groups
in natural settings rather than in a laboratory environment.
Stone supports this contention when he says "The study of
'natural' groupings of subjects in naturally occurring social
systems may lead to a greater generalizability of research
findings." [Ref. 21: p. 125]

D. DESIGN FOR DATA COLLECTION

   1. Initial Design Plans

        Initially, the authors chose the Solomon four group
experimental design in order to be able to rule out all of the
threats to internal validity discussed by Stone. [Ref. 21:
pp. 92-94]   This design would have allowed a comfortable
assertion that the probable cause of a change in the treatment
groups was related to the treatment (the workshop). See
Figure 3 for a diagram of this model. Additionally, this
design would have overcome the effects of various nuisance and
intervening variables that may not have been measured when the
subjects were randomly assigned to groups which receive various
combinations of pre- and post-tests and treatment. Unfortu-
nately, the authors were unsuccessful in their attempts to
find a military organization that was willing to commit the
time and human resources necessary to permit collection of
behavioral data using the Solomon four group experimental
design. Consequently, the authors concluded that all data
collection would be accomplished within the two-day workshop.
This conclusion was based on the authors' recognition that
only limited cooperation could be expected from military
organizations for such research and the authors' own time
constraints.

   2. Actual Design Utilized

        The one group pre-test post-test design was utilized
by the authors to collect data. This pre-experimental design

		PRE-TEST	TREATMENT	POST-TEST
GROUP A	R*	0_{1A}	X	0_{2A}
GROUP B	R	0_{1B}		0_{2B}
GROUP C	R		X	0_{2C}
GROUP D	R			0_{2D}

$\longrightarrow$

TIME
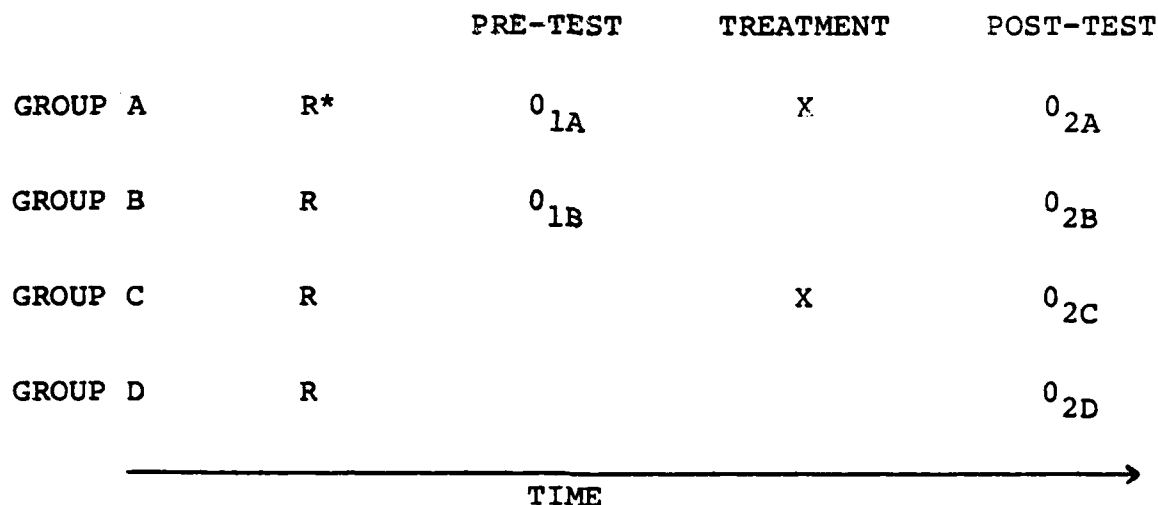
*Subjects are assumed to have been assigned to groups A, B, C, and D randomly.

> 0 - OBSERVATIONS
>
> X - TREATMENT

FIGURE 3. THE SOLOMON FOUR GROUP
EXPERIMENTAL DESIGN

[Ref. 21: p. 95]

was repeated twice, using two different groups. The design involved the following steps. First, observations were obtained of workshop participants' knowledge of the General Performance Appraisal System. Their attitudes toward performance appraisals were also measured. Next, the treatment variable was introduced, that is, the workshop. At the conclusion of the workshop, participant knowledge and attitudes were again measured. A diagram of this design is shown in Figure 4.

If a change in the level of knowledge and attitudes was detected between the first (0_1) and second (0_2) observations, a tentative conclusion could be made that it was the treatment

46

$$0_1 \qquad X \qquad 0_2$$

$$0_1 \quad X \quad 0_2$$

-->
                    TIME
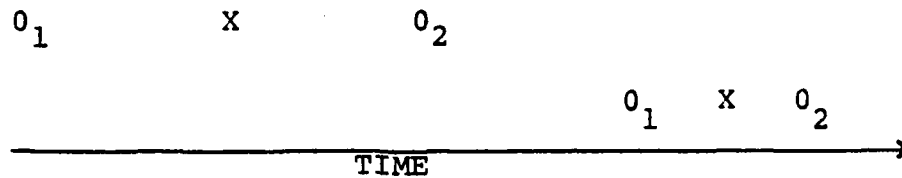
0 = OBSERVATION

X = TREATMENT

FIGURE 4. THE ONE GROUP PRE-TEST POST-TEST DESIGN (Repeated)

[Ref. 21: p. 92]

(the workshop) that produced the change. The detected difference between 0_1 and 0_2 would only justify a tentative conclusion about the reason for the change, since there are several factors other than the treatment that may have had an impact on the measured levels of knowledge and attitude.

The following paragraphs describe eight factors or extraneous variables which are known as threats to the internal validity of an experiment. An explanation of how each factor was controlled in this research is included.

a. History

The specific events occurring between the first and second measurement in addition to the experimental variable are history effects. In this research the initial measurement (0_1) occurred at the beginning of day 1 of the workshop and the second measurement (0_2) occurred at the end of day 2 of the workshop. The days were consecutive. There was little opportunity for specific events, other than workshop activities, to effect the measurements. The workshops

were conducted off site, away from the participants' normal work location, which further controlled history effects.

b. Maturation

Processes within the respondents operating as a function of the passage of time are known as maturation effects. These effects include growing older, growing hungrier, growing more tired, and the like. The time between the first and second measurement was less than two days in this research and breaks were regularly scheduled during the workshop to help control maturation effects.

c. Testing

The effects of taking a test upon the scores of a second test are known as testing effects. To help reduce this effect, participants were given different versions of the pre- and post-test.

d. Instrumentation

Changes in the calibration of a measuring instrument or changes in the scorers used may produce changes in the obtained measurements. These are called instrumentation effects. To reduce these effects, measurements (0_1) and (0_2) were scored at the same time and each test was scored by two different people using the same criteria. The few discrepancies in scoring were resolved through discussion between the scorers.

e. Statistical Regression

Where groups have been selected on the basis of their extreme scores, statistical regression effects may occur.

In this research, groups were not selected based on extreme scores, so statistical regression is not considered a relevant factor.

f. Selection

Biases resulting in differential selection of respondents for the comparison groups are called selection effects. The one group pre-test post-test design used in this research controls this effect. [Ref. 22: p. 8]

g. Mortality

The effects from individuals dropping out of a study between pre-test and post-test periods are called mortality. The research design employed in this study would normally control mortality effects. However, the authors did experience mortality effects in Group 2 (Fort Ord). Loss of nine personnel during the course of the workshop significantly reduced the sample size for Group 2. Unfortunately, there is no way to determine the effect this had on the outcome of data analysis.

h. Interactive Effects

It is possible that two or more of the above-mentioned phenomena may be responsible for differences in 0_1-0_2 and these are called interactive effects. The one group pre-test post-test design does not adequately control for this effect. [Ref. 22: pp. 5-6]

Threats to the external validity of an experiment must also be controlled. An experiment lacks external

validity when the findings that result from it cannot be generalized to other subjects, measures, and study conditions. For a study to have external validity it must be internally valid. In addition, there are several other threats to external validity that should be considered. These include the interaction of testing and the experimental treatment, the interaction of selection and the experimental treatment, and reactive experimental arrangements. The threats to external validity will be discussed in the following paragraphs.

If a study has external validity, its findings should be obtained if different measures of the variables under study are used. In this research, this type of external validity has not been tested. However, in the opinion of the authors the results could be replicated by other instructors using other measures. Further research is needed to see if the opinion holds true.

The results demonstrated for one set of subjects should be generalizable to other sets of subjects. The design in this study was repeated twice, using two different groups and comparable results were obtained. Although the subjects did not necessarily represent a random sample of the population of military supervisors, it is believed that the results are generalizable. Once again, however, further research is needed to prove it.

The findings in a study should be reproducible in various settings. One of the primary intents of this project

is to have the workshop utilized at various Army installations. The expectation is that the results obtained would be comparable to the findings from this study.

For a study to have external validity, the strength and range of variables associated with the study should approximate the strength and range of variables in other "situations" to which the study's results are to be generalized. [Ref. 21: p. 109]   The workshop was designed to improve participants' performance in three specific areas (writing job standards, writing performance appraisals, and conducting performance counselling).   If the workshop was repeated, the same variables would likely be affected in approximately the same way.

The design of this study does not control the reactive or interaction effects of testing.   However, since the focus of this research is on education and training, where testing is a regular phenomenon, no undesirable interaction of testing and the treatment, X, would necessarily be present.   [Ref. 22: p. 18]

Interaction of selection and treatment involves the question, to which categories or persons can a cause-effect relationship be generalized?   Can it be generalized beyond the groups used to establish the initial relationship?   One feasible way of reducing this bias is to make cooperation in the experiment as convenient as possible.   [Ref. 23: p. 235]   One military organization at Fort Ord turned down the authors' request to use the Solomon four group experimental design in

conjunction with the workshop because it was inconvenient to commit the necessary time and human resources. The authors' decision to then use the one group pre-test post-test design and to make all observations during the workshop itself, made cooperation much more convenient for the participants. Additionally, the participants attended the workshops to learn about the General Performance Appraisal System, and they did not even know they were going to be subjects in a study until after they arrived at the workshop site. The actions described above help reduce the interaction of selection and treatment bias in this study and make more plausible the assertion that the cause-effect relationship can be generalized to at least other military supervisor groups.

Reactive effects of experimental arrangements which would preclude generalization about the effect of the treatment upon persons being exposed to it in non-experimental settings are the final threats to external validity that will be discussed. Since the observations were made in an educational environment, where pre- and post-tests are not uncommon, the participants did not necessarily perceive they were in an experimental setting. During the workshop the authors downplayed the research aspect of their project and instead focused on presenting the material in the workshop. The participants were told that some measures of their performance would be used to evaluate the effectiveness of the workshop. Because the research was conducted as a field experiment in a

52

natural setting, the reactive effects of experimental arrangements were minimized.

E. INSTRUMENTAION AND MEASUREMENT PROCEDURES

Initially, the intent was to measure actual behaviors of the sample members in the work setting before and after administering the treatment (the workshop). Upon realizing that this was an unattainable goal, the decision to confine measuring techniques to the two-day workshop was made. The various techniques used to measure cognitive (knowledge) and affective (attitude) changes in the subjects will be discussed in detail in this section.

1. Pre- and Post-Test Instruments

A pencil and paper measuring instrument was designed by the authors to measure changes in both the knowledge and attitude of participants in the workshop. As best as could be determined, off-the-shelf instruments were not available to measure knowledge and attitude concerning the General Performance Appraisal System. Two instruments, an A and B version, were drawn up using similar formats. The instruments are included in the Appendix in modules 4 and 22. The instruments were field tested on a group of fellow Naval Postgraduate School students prior to their use in the workshop and some modifications were made as a result. During the workshop they were administered to both Group 1 and Group 2 in the same manner. Lach group was randomly divided in half during the pre-test. The first half was given the A version of the

instrument and the other half was given the B version. Each
half of the group was then given the other version of the
instrument in the post-test. In other words, a person who
took version A in the pre-test would take version B in the
post-test. Questions 1 - 5 were used to measure the partici-
pants' knowledge of the General Performance Appraisal System
(GPAS) and questions 6 - 10 were used to measure attitudes.

Questions 1 through 5 (knowledge) were scored using a
rating scale of good, fair, or poor. The authors established
criteria for the ratings on each question and then each test
was rated separately by each author. To assure interrater
reliability, the ratings were then compared and rating dis-
crepancies, if any, were resolved before the tests were scored.
During the scoring process, a rating of good on a question was
awarded three points, a rating of fair was awarded two points,
and a rating of poor was awarded one point. Included in the
definition of a poor answer was no answer at all. This
decision was made arbitrarily by the authors so that the true-
false questions could be rated. An incorrect answer to a
true-false question thus received a rating of poor while a
correct answer was rated good. After each question was scored,
the scores for questions 1 - 5 were added together to obtain a
knowledge "index."

Questions 6 - 10 (attitude) were scored using the
answer scale. In other words, if the subject answered question
6 by circling a 4 (Agree), then the score for that question was

a 4. Once again, the scores for all questions were added together to obtain an attitude "index."

The same scoring procedure was used to obtain indexes of knowledge and attitude on both the pre-test and the post-test. These scores were then used in the analysis phase. The time lapse between the pre-test and the post-test was approximately two days since the pre-test was administered at the beginning of the workshop (module 4) and the post-test was administered at the end of the workshop (module 22).

2. Performance Standards

Each participant was asked to bring to the workshop copies of a job description and the performance standards (Job Performance Planning Worksheet) for a civilian position which they were currently supervising. Those personnel in Group 1 who were not currently supervising a civilian employee brought the documents for the position of an employee they were currently working with closely. These documents were then used extensively during the workshop in individual and small group exercises to provide the participants with concrete experience in attempting to improve upon and/or write new performance standards for the position. Copies of the standards each participant brought to the workshop and copies of the standards as they were rewritten during the workshop were given to the authors at the end of the exercise. It should be noted that the standards written during the workshop were primarily the result of group efforts and were treated as such in the analysis.

55

The authors reviewed the major job elements, supporting tasks and performance standards each group had worked on and compared the results to the original. Assessment of the three areas resulted in a "score" of +, -, or no change. A + indicated a positive (desirable) change. A - indicated a negative (undesirable) change. No change is self-explanatory.

A major job element describes a major duty or responsibility of an employee. It is a major output expected and is derived from the mission of the organization and the job description for the position. Major job elements are nouns. The authors used this criterion to evaluate the major job element if it was rewritten.

Supporting tasks are specific activities that are important to each major job element and are an aid to developing performance standards. Supporting tasks are verbs. The authors used this criterion to evaluate the supporting tasks if they were rewritten.

Performance standards describe the level of accomplishment necessary for acceptable performance of each major job element. A "good" performance standard is specific, attainable, measurable and understandable. The authors used these criteria to evaluate the performance standard if it was rewritten.

3. Internal Assessment

The purpose of internal assessment is to determine how well the stated objectives were met, to improve the performance

56

of the instructors, and to improve upon the design of the work-shop. [Ref. 2: p. 27]   A workshop evaluation questionnaire was developed by the authors to provide a measure for internal assessment.   A copy of the questionnaire can be found in the Appendix at module 23.

Questions 1 through 3 have number values assigned from which mean scores for the groups can be calculated. The remainder of the questionnaire can only be evaluated in terms of positive, negative, or neutral comments.

F. ANALYSIS

Nonparametric statistical tests were used to draw conclu-sions about the results of the study. Nonparametrics were selected as the method for analysis because:

1. No assumptions were made about the shape of the distri-bution of the population(s) from which the samples were drawn.

2. Parametric tests require a high level of measurement to perform arithmetic operations such as computing the mean and standard deviation. Scores on the measuring instruments used for this study could not be considered exact (in a numer-ical sense) so that arithmetic operations would not have been appropriate or particularly meaningful. The scores could, however, be ranked; an ordinal level of measurement was achieved.

3. Nonparametric techniques are relatively simple to compute.

4. Sample sizes were relatively small. For Group 1, N equaled 20 and for Group 2, N equaled 16. [Ref. 24: p. vii]

57

Interested readers are referred to Siegel [Ref. 23: pp. 32-33] for a more in-depth discussion of the advantages and disadvantages of nonparametric statistical tests.

In this section, the nonparametric tests used for analysis of the study results will be discussed in depth.

1. The Sign Test

The sign test is exactly what the name implies. It uses plus and minus signs instead of quantitative measures as its data. The sign test is used to measure whether two conditions of related samples are different. In this case, to measure whether scores on the pre-test were different from scores on the post-test. Each subject (case) was used as its own control. In other words, subject A's score on the pre-test (0_1) was compared to subject A's score on the post-test (0_2). Thus, the sign test examines the null hypothesis that: p $(0_2 > 0_1) \leq .5$. Or put another way, the null hypothesis is that the probability of scoring better on the post-test than the pre-test is less than or equal to 1/2. [Ref. 24: p. 68] Testing this null hypothesis allows the authors to make inferences about the affect of the treatment (the workshop). The alternative hypothesis is that the probability of scoring better on the post-test is greater than 1/2 $[p$ $(0_2 > 0_1) > .5]$.

2. The Median Test

The median test is used to provide information concerning the likelihood that two independent groups (samples) were drawn from populations with the same median. The groups do not have to be of equal size (as is the case here).

58

After combining the data for both groups and determining the combined median, each group's scores are split at the median and categorized by scores that exceeded the median and scores that did not exceed the median. Probabilities of observed values are then calculated using, in this study, the χ^2 (chi-squared) test to test the null hypothesis that Group 1 and Group 2 are from populations with the same median. The alternative hypothesis is that Group 1 and Group 2 are from populations with different medians. If Group 1 and Group 2 are from populations with the same median, one would expect that approximately half of each group's scores would exceed the combined median and half would not exceed the median. Examining this information allows the authors to speculate whether differences between the groups had an effect on the results of the treatment (the workshop).

IV. RESULTS AND DISCUSSION

A. INTRODUCTION

This chapter will include summary data and statistical test results obtained for all the measures discussed in the chapter on methodology. Following the presentation of the statistical tables will be a thorough discussion of the implications of these findings. The authors begin with the pre- and post-test measures followed by the performance standards and the internal assessment results. The significance level chosen for statistical testing in all cases was .05.

B. PRE-TEST AND POST-TEST MEASURES

1. Results of the Sign Test

Figures 5 and 6 display the data resulting from application of the sign test to scores on the pre- and post-test instruments for Group 1 and Group 2 respectively. Probabilities were calculated using the binomial expansion. Participants who did not experience a change in scores are not included in the calculation of probabilities. [Ref. 24: p. 71]

2. Discussion of the Sign Test

The data in Figure 5 clearly indicates that there is a statistically significant difference between the scores on the pre-test and post-test for Group 1 (DLI). Of the twenty (20) participants from Group 1, sixteen (16) improved their scores from the pre-test to the post-test on the dimension of

	KNOWLEDGE	ATTITUDE
IMPROVED	16	14
DID NOT IMPROVE	1	4
NO CHANGE	3	2
TOTAL	20	20
PROBABILITY	.00014	.0154

FIGURE 5.   GROUP ONE (DLI) SIGN TEST RESULTS

knowledge while fourteen (14) improved their scores on the
attitude dimension.   The probabilities that the improvements
observed would occur by chance are .00014 and .0154 respec-
tively.   Thus, the decision is to reject the null hypothesis
(H_o) in favor of the alternative hypothesis (H_1) for Group 1.
The null hypothesis is that the probability of scoring better
on the post-test is less than or equal to .5.   The alternative
hypothesis is that the probability of scoring better on the
post-test is greater than .5.

	KNOWLEDGE	ATTITUDE
IMPROVED	13	8
DID NOT IMPROVE	1	7
NO CHANGE	3	1
TOTAL	16	16
PROBABILITY	.0009	.5

FIGURE 6.   GROUP TWO (FORT ORD) SIGN TEST RESULTS

The data in Figure 6, however, is not as conclusive for Group 2 (Fort Ord). Of the sixteen (16) participants in Group 2, thirteen (13) improved their scores from the pre-test to the post-test on the dimension of knowledge. However, only eight (8) of the sixteen (16) participants improved their scores on the attitude dimension. The probabilities of the numbers observed occurring by chance are .0009 and .5 respectively. Thus, the decision is to reject the null hypothesis on the dimension of knowledge and accept the null hypothesis on the dimension of attitude.

It is evident that the data on the attitude dimension is inconclusive. A possible explanation for this result is that the two versions of the instrument were different. Of the combined total of eleven (11) participants who did not improve on the attitude dimension, nine (9) of them took version B during the pre-test. Therefore, a plausible explanation might be that participants tended to answer questions 6-10 on version A more negatively (lower on the scale). This result could have occurred because of the wording of the questions. Other explanations for these results could be: 1) the group dynamics that occurred within the two groups may have caused one group to experience more positive attitude changes than the other, 2) inadvertent differences in presentation techniques of the instructors from one group to the other.

The statistical data on the knowledge dimension indicates that the treatment (the workshop) appears to have had a

significant influence on the participants' knowledge of the GPAS. This is only a tentative conclusion, however, because it is not possible to identify and/or measure what, if any, other variables in addition to the workshop had an influence on the results. The fact that a total of twenty-nine (29) of the thirty-six (36) participants did better on the post-test is, in the opinion of the authors, a good indication that the workshop does produce desirable results.

	RANGE OF SCORES	COMBINED MEDIAN
PRE-KNOWLEDGE	5 - 15	10
POST-KNOWLEDGE	9 - 15	13
PRE-ATTITUDE	15 - 25	22.5
POST-ATTITUDE	19 - 25	23.5

FIGURE 7. PRE-TEST POST-TEST SUMMARY

3. Results of the Median Test

Figure 7 is a summary of the pre- and post-test instrument results showing the range of scores and the combined medians for the dimensions of knowledge and attitude. Figures 8 and 9 display the summary data resulting from application of the median test to the scores on the pre- and post-test instruments for Group 1 and Group 2 on the dimensions of knowledge and attitude respectively. Figure 10 displays the χ^2 (chi-squared) values and the resulting probabilities for the median test.

63

	GROUP 1	GROUP 2
# EXCEEDING THE COMBINED MEDIAN	7	9
# NOT EXCEEDING THE COMBINED MEDIAN	9	11
	16	20

PRE-KNOWLEDGE

	GROUP 1	GROUP 2
# EXCEEDING THE COMBINED MEDIAN	6	7
# NOT EXCEEDING THE COMBINED MEDIAN	10	13
	16	20

POST-KNOWLEDGE

FIGURE 8.   MEDIAN TEST DATA (KNOWLEDGE)

64

	GROUP 1	GROUP 2
# EXCEEDING THE COMBINED MEDIAN	9	9
# NOT EXCEEDING THE COMBINED MEDIAN	7	11
	16	20

PRE-ATTITUDE

	GROUP 1	GROUP 2
# EXCEEDING THE COMBINED MEDIAN	6	12
# NOT EXCEEDING THE COMBINED MEDIAN	10	8
	16	20

POST-ATTITUDE

FIGURE 9.   MEDIAN TEST DATA (ATTITUDE)

	$*\chi^2$	PROBABILITY
PRE-KNOWLEDGE	.0766	.782
POST-KNOWLEDGE	.0376	.846
PRE-ATTITUDE	.1125	.737
POST-ATTITUDE	1.0125	.314

* DEGREES OF FREEDOM = 1

FIGURE 10. MEDIAN TEST RESULTS (χ^2 AND PROBABILITIES)

4. Discussion of the Median Test

You will recall that the purpose of the median test
is to examine the probability that two independent groups
(samples) were drawn from populations with the same median.
In all cases (pre- and post-knowledge, pre- and post-attitude),
the data at Figure 10 clearly indicates that the null hypo-
thesis cannot be rejected. That is, Group 1 and Group 2
are from populations with the same median. Therefore, one
can say that any differences in the effects of the treatment
(the workshop) were most likely not a result of differences
in the groups. Since the two groups are not significantly
different in central tendencies, it may be acceptable to
generalize the results of the workshop to a larger population
(military supervisors of civilian employees in general).

C. PERFORMANCE STANDARDS MEASURES

1. Results

Group 1, from the Defense Language Institute, was divided into five subgroups during the phase of the workshop when participants worked together on performance requirements that individuals brought with them to the workshop. Figure 11 displays the results from each of the subgroups' efforts, as evaluated by the authors.

Group 2, from Fort Ord, was divided into four subgroups during the performance requirements phase of the workshop. Figure 12 displays the subgroups' results.

The summary results from the data in Figures 11 and 12 are displayed in Figure 13.

	MAJOR JOB ELEMENT	SUPPORTING TASKS	PERFORMANCE STANDARDS

SUBGROUP A$_1$

	MAJOR JOB ELEMENT	SUPPORTING TASKS	PERFORMANCE STANDARDS
PERFORMANCE REQUIREMENT 1	NO CHANGE	+	+
PERFORMANCE REQUIREMENT 2	NO CHANGE	+	+
PERFORMANCE REQUIREMENT 3	NO CHANGE	NO CHANGE	* +

SUBGROUP B$_1$

	MAJOR JOB ELEMENT	SUPPORTING TASKS	PERFORMANCE STANDARDS
PERFORMANCE REQUIREMENT 1	+	+	* +
PERFORMANCE REQUIREMENT 2	+	NO CHANGE	* +

SUBGROUP C$_1$

	MAJOR JOB ELEMENT	SUPPORTING TASKS	PERFORMANCE STANDARDS
PERFORMANCE REQUIREMENT 1	+	+	+
PERFORMANCE REQUIREMENT 2	+	+	+

SUBGROUP D$_1$

	MAJOR JOB ELEMENT	SUPPORTING TASKS	PERFORMANCE STANDARDS
PERFORMANCE REQUIREMENT 1	NO CHANGE	NO CHANGE	NO CHANGE
PERFORMANCE REQUIREMENT 2	NO CHANGE	NO CHANGE	NO CHANGE

SUBGROUP E$_1$

	MAJOR JOB ELEMENT	SUPPORTING TASKS	PERFORMANCE STANDARDS
PERFORMANCE REQUIREMENT 1	NO CHANGE	NO CHANGE	**NO CHANGE
PERFORMANCE REQUIREMENT 2	NO CHANGE	+	* +

   *   IMPROVED STANDARD BUT STILL NOT ACCEPTABLE

  **   UNACCEPTABLE STANDARD WITH NO CHANGES MADE

FIGURE 11. GROUP ONE PERFORMANCE REQUIREMENTS RESULTS

SUBGROUP A₂	MAJOR JOB ELEMENTS	SUPPORTING TASKS	PERFORMANCE STANDARDS
PERFORMANCE REQUIREMENT #1	NO CHANGE	NO CHANGE	NO CHANGE

SUBGROUP B₂

PERFORMANCE REQUIREMENT #1	+	+	* +

SUBGROUP C₂

PERFORMANCE REQUIREMENT #1	NO CHANGE	NO CHANGE	NO CHANGE
PERFORMANCE REQUIREMENT #2	NO CHANGE	NO CHANGE	**NO CHANGE

SUBGROUP D₂

PERFORMANCE REQUIREMENT #1	NO CHANGE	NO CHANGE	+

* IMPROVED STANDARD BUT STILL NOT ACCEPTABLE

** UNACCEPTABLE STANDARD WITH NO CHANGE MADE

FIGURE 12. GROUP TWO PERFORMANCE REQUIREMENTS RESULTS

	MAJOR JOB ELEMENT		SUPPORTING TASKS		PERFORMANCE STANDARDS	
	NO CHANGE	IMPROVEMENT	NO CHANGE	IMPROVEMENT	NO CHANGE	IMPROVEMENT
GROUP 1	7	4	5	6	3	8
GROUP 2	4	1	4	1	3	2
TOTAL	11	5	9	7	6	10

FIGURE 13. PERFORMANCE REQUIREMENTS SUMMARY RESULTS

70

2. <u>Discussion</u>

The summary results from Group 1 for the major job element portion of the performance requirements show that four of the major job elements were improved as a result of the subgroups' efforts and seven of the major job elements were not changed. All seven of those elements which were not changed were judged by the authors to be already acceptable.

Group 1 improved six of the supporting tasks as a result of the subgroups' efforts, while no changes were made in five of the other supporting tasks. The authors judged all five of those tasks to be acceptable as written.

The summary results from Group 1 for the performance standards portion show that three of the performance requirements were not changed and eight of the performance standards were improved. Of the three which were not changed, the authors judged two of the performance standards as being acceptable as written and one as unacceptable because the standard was not clearly understandable. Of the eight standards that were improved, four of them were evaluated by the authors as still not meeting the criteria for an acceptable performance standard because the standards as rewritten were not readily measurable.

The summary results from Group 2 for the major job element portion of the performance requirements show that four of the elements were not changed and that improvements were made in one of the major job elements. All four of the

71

unchanged major job elements were judged by the authors to be acceptable as written.

Group 2 results for the supporting tasks show that four of the supporting tasks were not changed, while one task was improved. All four of the unchanged supporting tasks were judged by the authors to be acceptable as written and the one that was improved is now acceptable.

The Group 2 results for performance standards indicate that two of the performance standards were improved and that no appreciable changes were made in the three other performance standards. The authors judged one of the improved performance standards as now meeting the criteria for an acceptable standard. The other improved standard was not acceptable in the opinion of the authors because it was still not a measurable performance standard. Of the three performance standards which were not changed appreciably, one of the standards was evaluated by the authors as meeting the criteria for an acceptable standard and the other two were judged to be unacceptable standards as written because they could not be readily measured.

As previously mentioned, the judgements which were made in evaluating the subgroup efforts during the performance requirements portion of the workshop were subjectively determined by both authors using predetermined criteria for what constituted acceptable major job elements, supporting tasks, and performance standards. The authors' perception is that

72

the major job element and supporting tasks portions of the
performance requirements brought to the workshop were already
very close to being acceptable. The improvements which were
made in those areas were mostly minor rewordings which served
to clarify the major job element and more clearly specify the
supporting tasks necessary to accomplish the element. In
the opinion of the authors, the major difficulty in estab-
lishing performance requirements is writing specific, attain-
able, measurable, and understandable performance standards.
The results presented in Figures 11 through 13 tend to support
the authors' opinion. Only three of the performance require-
ments brought to the workshop contained acceptable performance
standards as judged by the authors. Of the ten performance
standards which were improved by the subgroup efforts during
the workshop, five of them were still judged to be unaccept-
able standards. The authors' evaluations of them showed that
one was not understandable and the other four were not readily
measurable standards.

The Report on General Performance Appraisal System
Implementation [Ref. 1] states that the identification of
major job elements, critical elements, and supporting tasks
was not an unmanageable problem for supervisory officials.
The report states, however, the establishment of performance
standards was more difficult. It goes on to say that the
most common inadequacy is that the performance standards were
described in terms of processes, knowledges, or abilities.

The report states, another common weakness is the use of unmeasurable, vague terms. "Some performance standards contain nothing more than an extension or clarification of the supporting tasks instead of measurable results." [Ref. 1: p. 8] These findings in the report were substantiated by the results obtained in the authors' evaluation of participants' performance requirements.

Some of the factors which influenced the process of developing performance requirements during the workshops included time constraints, subgroup dynamics, and the number of participants in each workshop. The ability of the instructors to assist the subgroups was limited since there were more subgroups than instructors. Some subgroups were more motivated to work toward improving the performance requirements than others. Finally, the authors realize that the time spent during the workshop refining or developing performance requirements was not adequate to expect acceptable performance requirements at the end of the exercise for each job description individuals brought with them to the workshop.

One of the purposes of the exercise was to demonstrate to the workshop participants that progress in developing performance requirements can be made individually and in small groups (to include the employee) by making incremental improvements in existing performance requirements. The development of performance requirements is an evolutionary process which requires periodic updating and a large commitment of

74

time for most people since performance requirements, and particularly performance standards, are difficult to develop.

D. INTERNAL ASSESSMENT

1. Results

Figure 14 displays the mean scores for Group 1 and Group 2 on questions 1-3 of the workshop evaluation questionnaire (Appendix A, module 23). The remaining questions did not lend themselves to quantification.

OBJECTIVES. FOR ME, THE OBJECTIVES OF THIS COURSE WERE REACHED:
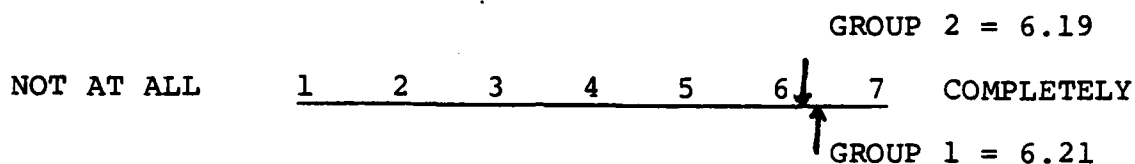
GROUP 2 = 6.19

NOT AT ALL   1   2   3   4   5   6   7   COMPLETELY

GROUP 1 = 6.21

UTILITY. IN TERMS OF PRACTICAL APPLICATION AND UTILITY, THIS
           COURSE WAS:

GROUP 2 = 6.83

A WASTE OF   1   2   3   4   5   6   7   HIGHLY USEFUL
   TIME

GROUP 1 = 5.61

INSTRUCTORS. THE INSTRUCTORS WERE:

GROUP 2 = 6.5

NOT WELL   1   2   3   4   5   6   7
PREPARED   WELL PREPARED

GROUP 1 = 6.79
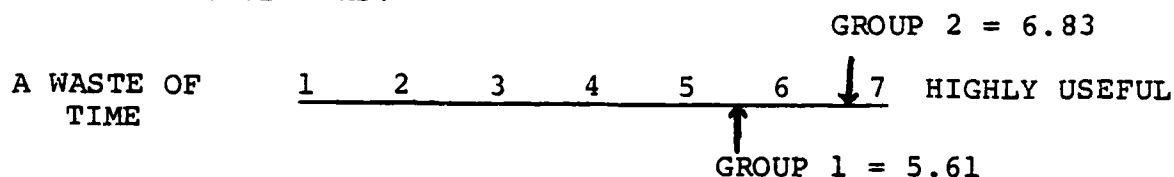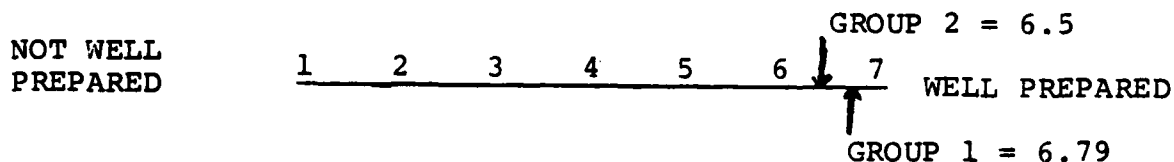
FIGURE 14. WORKSHOP EVALUATION DATA (MEANS)

2. Discussion

As can be seen in Figure 14, the mean scores were quite high for the first three questions. Both groups seem to feel that the stated objectives of the workshop were met, the course was useful and the instructors were well prepared. The disparity between the groups on the workshop's utility can more than likely be explained by the fact that eight (8) enlisted personnel in Group 1 were not currently supervising civilian employees.

Question 4 asked the participants to provide recommendations for improving the course. Some of the recurring comments (positive and negative) were:

- Provide participants with copies of the vugraph material

- Extend the workshop to 3 or 4 days

- Allow more time on communication skills

- Use larger print for the vugraphs

- Have Civilian Personnel Office staff present a 1-hour block on issues important to CPO

- Make time available to work on writing an appraisal

- Shorten to 1-1/2 days

- Holding the workshop off-site was a good idea

- Use a better classroom (bigger)

Question 5 asked the participants for specific comments on the various components of the course (i.e., Audio-visual cassette/film, role playing, lectures, discussions, and skill-practice activities). For the most part,

comments provided here were positive. Approximately 66 per-
cent of Group 1's comments were positive and 80 percent of
Group 2's comments were positive. The assessment of positive
or negative value was made by the authors, of course, recog-
nizing that some bias in their judgement exists. A summary
of the comments (positive and negative) follows:

- Audio-visual cassette/film: A number of people were
"turned off" by the film(s) "MBO and Performance Appraisal"
because it is an animated film. Others liked the film. Some
were bored, others felt the teaching points were more effec-
tively made with the audio-visual back-up.

- Role playing: Nearly everyone enjoyed the opportunity
to role play and felt more time was needed for this activity.
Most participants felt the video-taping and playback of the
role playing was very effective.

- Lectures/Discussions: Some felt these were too dry
and boring. However, the majority felt the lectures and dis-
cussions were very informative and helpful. Many people
commented on the fact that the instructors allowed a high
level of participation without letting the discussions get
out of hand or stray too far from the subject.

- Skill-practice Activities: Most people felt that they
needed more time to work on the performance standards but that
this was a valuable part of the workshop. Many people recog-
nized, through this exercise, that writing standards is the
most difficult part of the supervisor's job.

Some of the criticisms of the workshop resulted from conscious decisions made by the authors. For instance, it was recognized that the animated film would not be popular with some participants. However, it was felt that the film was the best one available (based on a fairly broad sample) and that it emphasized the important points of GPAS that the authors desired to highlight.

Overall the workshop evaluation results were very positive. Indications were that the workshop was very well received and participants felt it was a worthwhile learning experience.

V. CONCLUSION

A. THE WORKSHOP

Indications from workshop participants are that military supervisors of civilian employees are indeed concerned about their lack of knowledge of civil service systems and particularly the General Performance Appraisal System. Workshop participants expressed frustration with the complexity of GPAS, a genuine desire to improve their managerial skills, and a keen interest in enhancing their abilities as managers of civilian employees by attending other training opportunities offered by Civilian Personnel Offices. To capitalize on this concern, Civilian Personnel Office staffs, specifically Training and Development Divisions, must be prepared to offer courses that are informative, interesting and relevant to the military supervisor. The authors believe that the results from the workshop, "The Nuts, Bolts, and Bricks of GPAS" provide some insights into how to effectively design such training.

It seems that the first lesson is to consider the audience and target the training to a specific group, in this case, the military supervisor. Early discussions with Civilian Personnel Officers led the authors to believe that attendance of military supervisors at their training would be minimal at best. However, after announcements of the workshop presentation dates were made it appeared for a time as if people

79

would have to be turned away because of space limitations in the classroom. The authors' perception is that a plausible explanation for this unanticipated interest is that the training was specifically targeted to the military supervisor. Another possible explanation, as well, is that the training was being given by military personnel. Perhaps, one of the participants said it best on his workshop evaluation question- naire when he stated, "Best course on evaluation system I have attended since it was more effective given by personnel outside CPO who more commonly stress what you can't do rather than what you can do." The implication of that statement is clear to the authors and one it was felt needs to be addressed to personnel trying to design training for military people. The important point seems to be that training should empha- size the positive characteristics of GPAS.

The conclusion of the authors is that experiental training does make a difference, particularly in terms of increasing participant knowledge. Designing training that considers all of the various learning styles and gets participants involved in actually practicing skills yields positive, immediate results as evidenced by the scores on the pre- and post-tests. The more closely the practice situations are to actual on- the-job scenarios, the more likely are permanent changes in behavior. Although this study did not attempt to follow-up with participants after the close of the workshop to measure actual on-the-job changes in behavior, the expectation is that

such measures would show a desirable change in work-related behavior. This assertion is supported by Latham and Wexley while discussing outcomes of a study by Levine and Butler: "Only an intensive workshop resulted in a behavior change. The workshop was based on psychological principles of learning, namely, active participation, knowledge of results or feedback, and practice." [Ref. 25: p. 105] The workshop, "The Nuts, Bolts, and Bricks of GPAS" is based on these same principles and has been shown here to produce positive results.

Evaluation of training is a particularly difficult task. Not withstanding the considerable amount of time and energy spent in attempting to develop meaningful measures of the success of the workshop, the authors were still not fully satisfied with the final measures that were developed. The authors recognize that the instruments which were developed to measure knowledge and attitudinal changes could be disputed or refuted by experts since they have not been properly validated. None the less, the authors believe that the measures do serve as one possible way to measure workshop success. Although the conclusions drawn from these measures could be questioned, the results of the workshop, as measured by the authors, are encouraging.

B. THE FIELD EXPERIMENT

The research conducted by the authors has been an experiment in the sense that the workshops served as a "treatment" that was a naturally occurring event which intervened in the

81

lives of the participants and whose probable consequences were empirically assessed. It was a "field" experiment because the participants did not perceive the workshops to have been set up for the primary purpose of conducting research. [Ref. 23: p. 224]

The authors experienced some difficulties in gaining and maintaining access to research populations in a field setting. These difficulties were overcome by a combination of factors which are listed below. First, the authors, as Army officers, belonged to the same membership group as persons who determined access to the desired research population. Second, the Naval Postgraduate School is a respected research institution and therefore, as students at the School doing th this research, the authors' research efforts were respected. Third, the authors when necessary badgered, cajoled, and charmed others into compliance with their wishes. Fourth and finally, the design of the field experiment, primarily the workshop, offered benefits to participants and their organizations. Attendance at the workshop increased participants' knowledge of the General Performance Appraisal System.

The choice of the one group pre-test post-test design, repeated for two different groups, was made by the authors primarily to minimize the commitment required by participants and their organizations and to increase the benefits to them. This quasi-experimental design, although one of the more frequently used designs in organizational research, does have

many weaknesses and is not normally sufficient for permitting

a strong test of hypotheses. [Ref. 23: p. 247] The authors

recognized the weaknesses in the design and attempted to

reduce their effects.

C. CONSIDERATIONS FOR FUTURE RESEARCH

Evaluation answers the question what is it worth,
not how it works. The purpose of evaluation
should be to support decisions to initiate, modify,
maintain, or terminate various courses of action.

[Ref. 26: p. 3]

The purpose of evaluating training efforts, as quoted

above, should be to assess whether the training results in

increased productivity or mission accomplishment. It seems to

the authors that the most effective means to measure success

in training management skills is to measure behaviors in the

work setting both before and after the training. Development

of instruments that are designed specifically to measure

behaviors should be the focus of future research efforts.

Such efforts, however, will require an extensive and lengthy

commitment of time by both researchers and participants. A

research design should be selected that will permit a stronger

test of the hypotheses and result in conclusions that can be

more generalizable.

D. SUMMARY

Among the findings in the Report on General Performance

Appraisal System Implementation [Ref. 1] were: (1) military

supervisors of civilians need to be identified and trained,

(2) the level of knowledge among supervisory personnel was lower than expected, (3) there is an absence of training for supervisors in techniques of performance counselling, (4) the quality of performance standards needs improvement. The workshop, "The Nuts, Bolts, and Bricks of GPAS," is specifically designed for military supervisors of Department of the Army civilians. The pre-test and post-test results indicate that participants' knowledge of the General Performance Appraisal System is significantly increased. Several modules of the workshop address performance counselling techniques and participants are given the opportunity to practice and improve their counselling skills. The vast majority of participants' comments on the workshop evaluation forms indicated that the performance counselling portions of the workshop were interesting, fun, and very beneficial. A significant portion of the workshop is dedicated to developing performance standards. Participants are presented with techniques for developing good performance standards and then are given the opportunity to work individually and in small groups to refine or develop the performance requirements brought with them to the workshop. The authors' subjective evaluation of participants' efforts indicated that, in general, the time spent during the workshop enabled the participants to improve the performance requirements.

One of the recommendations of the report cited above was that training ideas on GPAS be shared throughout the Army. One of the primary intents of the authors in developing and

evaluating the workshop was to distribute it to the local
Civilian Personnel Offices who provided support in the research
effort and to provide copies of the thesis to Department of the
Army-level civilian personnel staff. The authors recommend
that the workshop itself be carefully reviewed, modified as
necessary, and distributed to Civilian Personnel Offices through-
out the Army.

LIST OF REFERENCES

1. U.S. Army Civilian Personnel Center UNCLASSIFIED letter to Staff and Operating Civilian Personnel Officers, Subject: Report on General Performance Appraisal System Implementation, 5 April 1982.

2. Forbes, R. L., A Systems Approach to Workshop Design, unpublished paper, March 1979.

3. Byars, L. L. and Rue, L. W., Management: Theory and Application, Irwin, 1977.

4. McConkie, M. L., "A Clarification of the Goal Setting and Appraisal Processes in MBO," Academy of Management Review, V. 4, No. 1, January 1979.

5. Labovitz, G. H., "Managing for Productivity," Supervisory Management, V. 24, No. 10, October 1979.

6. Sayles, L. R. and Strauss, G., Personnel: The Human Problems of Management, Prentice-Hall, 1980.

7. Luthans, F., Introduction to Management: A Contingency Approach, McGraw-Hill, 1976.

8. Levinson, H., The Great Jackass Fallacy, Division of Research Graduate School of Business Administration, Harvard University, 1973.

9. Huse, E. F. and Bowditch, S. L., Behavior in Organizations: A Systems Approach to Managing, Addison-Wesley, 1977.

10. Beam, H. H., "Bringing MBO Back to Basics," Supervisory Management, V. 24, No. 7, July 1979.

11. Schnake, M., "Management By Objectives Review and Evaluation," Managerial Planning, V. 27, No. 5, March/ April 1979.

12. Belasco, J. A., Hampton, D. R., and Price, K. F., Management Today, Wiley, 1975.

13. Pitts, R. E. and Thompson, K., "The Supervisors' Survival Guide: Using Job Behavior to Measure Employee Performance," Supervisory Management, V. 24, No. 1, January 1979.

14. Carlisle, H. M., Management Concepts, Science Research Associates, 1976.

15. Ford, C. H., "MBO: An Idea Whose Time has Gone?", _Business Horizons_, V. 22, No. 6, December 1979.

16. Stoner, J. A. F., _Management_, Prentice-Hall, 1978.

17. Cummings, L. L. and Schwab, Donald P., _Performance in Organizations: Determinants and Appraisal_, Scott, Foresman and Company, 1973.

18. Tagliaferri, L. E., "Consultant's Showcase: How Performance Appraisal Can Improve the Appraiser's Performance," _Training and Development Journal_, V. 32, No. 3, March 1978.

19. Claytor, W. Graham, Jr., "Civil Service Reform: A Chance to Innovate, A Mandate to Improve," _Defense_, June 1980.

20. Kolb, D. A., Rubin, I. M., and McIntyre, J. M., _Organizational Psychology, An Experiential Approach_, 2nd Ed., Prentice-Hall, 1974.

21. Stone, E., _Research Methods in Organizational Behavior_, Scott, Foresman and Company, 1978.

22. Campbell, D. T. and Stanley, J. C., _Experimental and Quasi-Experimental Designs for Research_, Rand McNally, 1963.

23. Cook, T. D. and Campbell, D. T., "The Design and Conduct of Quasi-Experiments and True Experiments in Field Settings," Chapter 7 in M.D. Dunnette, ed., _Handbook of Industrial and Organizational Psychology_, Rand McNally, 1976.

24. Siegel, S., _Nonparametric Statistics for the Behavioral Sciences_, McGraw Hill, 1956.

25. Latham, G. P. and Wexley, K. N., _Increasing Productivity Through Performance Appraisal_, Addison-Wesley, 1981.

26. Eoyang, C. K., _Military Personnel Research: Science or Politics_, unpublished paper, 1977.

APPENDIX A

CONTENTS

The Nuts, Bolts, and Bricks of GPAS

MICROCOPY RESOLUTION TEST CHART
NATIONAL BUREAU OF STANDARDS-1963-A

THE NUTS, BOLTS, AND BRICKS OF GPAS

A. Description

This is a two day "experiential" workshop which is
designed for military supervisors of Department of the Army
(DA) civilian employees. The focus of the workshop is on
the DA General Performance Appraisal System (GPAS). However,
participants will also be presented information that is
beneficial in working with other appraisal systems.

A variety of methods are used to present the material.
These include vugraphs, charts, lecturettes, films, an audio-
visual cassette, role playing, group work, and individual
and group exercises. The workshop has built-in flexibility
to meet the sophistication of the participants' knowledge of
the new system.

The instructor outline is designed to be used as a con-
venient guide for the instructors in conducting the workshop
and is a review of Modules 1 through 23.

Each module contains at least one objective. The objec-
tives state the performance (task) the participant is to be
able to complete; the conditions; and the criterion
(standard) the participant is expected to achieve upon the
completion of the module. Additionally, instructor notes
are included in each module which explain to the instructors
the steps to follow, the rationale, and key points for each

section. In the review part of each module, lessons learned 2 from validating the workshop are included to assist the instructors in being aware of possible problem areas and to insure the participants have learned the key points in the module, before proceeding to the next one.

Also included in the modules are copies of vugraphs, charts, and handouts which the instructors can reproduce for use during the workshop.

B. Issues Addressed

This workshop will increase participants' understanding of the DA GPAS and will enhance their skills in writing job standards, writing performance appraisals, and conducting performance counselling.

Management by Objectives (MBO) is discussed since the new system, as outlined in the Civil Service Reform Act (CSRA), is largely MBO-based. The DA GPAS is compared with military appraisal systems.

Regulatory requirements are discussed and a step-by-step explanation of how to complete the forms is included.

Also included in the workshop is an optional section on communication skills.

C. Major Benefits

A major benefit of the workshop is increased productivity of DA civilians. If the DA civilian workforce participates with their military or civilian supervisors in developing

clear, challenging, and attainable performance standards,   3

then a reasonable assumption can be made that they will strive

to reach or exceed the established standards. This workshop

is designed to improve the skills of military supervisors in

working cooperatively with their civilian subordinates

throughout the appraisal process: to develop job standards;

provide feedback on performance; and appraise results against

the standards at the end of the rating period.

Another benefit of the workshop is the linking of indi-

vidual performance to the broader goals and objectives of

the organization. Individual efforts, properly directed,

contribute to mission accomplishment.

D. Design Considerations

It is advisable that the workshop be given with two

instructors present in order to individually assist partici-

pants and to better facilitate the group.

Materials required include: vugraphs, overhead projector,

screen, easels, chart paper, markers, pencils, notepaper,

3"x5" cards, 16mm movie projector, TV, video cassette play-

back unit, the film--"MBO and Performance Appraisal"--3 parts,

by Stephen Bosustow Productions, the audiovisual cassette--

"Performance Appraisal: Human Dynamics" by McGraw-Hill Inc.,

and handouts. Optional equipment includes TV camera(s),

video cassette, and video cassette recorder for taping the

role play situations and then playing them back to the

participants. A thorough critique of each role play may   4
be substituted for the taping, if the necessary equipment
isn't available.

It is desirable to provide participants with paper copies
of the vugraphs since they contain helpful information.

E. Participant Composition

The workshop is designed for military supervisors of DA
civilians. However, with little or no modifications, DA
civilian supervisors could also be included in the workshop.
It is important for participants to actually be supervising
DA civilians for the workshop to be most effective.

The ideal number of participants in the workshop is 15
to 20 people, although it could be given with as few as 10
or as many as 30 people.

F. Time Required

The workshop is 2 full days in length. Actual instruc-
tional material takes approximately 12 hours to present.
Two hours of breaks dispersed throughout the workshop and
one hour for lunch each day are allotted. Instructors can
insert meals and break times at their discretion.

Enough material is included in the Program of Instruction
to expand the workshop to three days if desired. Groups
needing work on the performance standards may find the addi-
tional time particularly valuable.

G. Technical Considerations   5

If the instructors are not themselves from the Civilian Personnel Office (CPO), it is advisable to have a CPO representative present at some time during the workshop, preferably toward the end of it, to answer any technical questions. It may be best to identify a one to two hour block of time to allow CPO personnel to discuss issues of interest at the installation. It is also advisable to either hand out during the workshop or distribute prior to the workshop, DA PAM 690-32, dated April 1982, titled DA General Performance Appraisal System, Supervisor's Guide.

Time Required	Outcome	Method
30 min.	Interested audience. (Mod. 1)	1. Instructors introduce themselves. 2. Participants introduce themselves. 3. Discuss the question, "How many ways can you use a brick?".
5 min.	Goals and objectives of workshop. (Mod. 2)	1. Discuss goals of the workshop on vugraph (2-1). 2. Discuss objectives of the workshop on vugraph (2-2). 3. Participants' expectations.
10 min.	Overview of workshop activities in order to orient participants. (Mod. 3)	Discuss workshop agenda using chart paper.
15 min.	Determine the level of knowledge and attitudes of participants toward the GPAS. (Mod. 4)	Paper and pencil exercise.
40 min.	Introduction of performance appraisal, to stimulate participants' reflection on their past experiences in being appraised and appraising others. (Mod. 5)	1. Introduce A/V cassette. 2. Show "Performance Appraisal: Human Dynamics." 3. Post-film discussion.
30 min.	Comparison of participants' attitudes toward subordinates with types of behavior they may engage in, in relation to subordinates. (Mod. 6)	Administer Supervisory Attitudes: The X-Y Scale instrument.
45 min.	Participants will have a general understanding of the civilian appraisal and military evaluation systems and how they relate to each other. (Mod. 7)	Lecture, questions and answers.

Time Required	Outcome	Method
30 min.	Understanding of MBO and how it relates to perform- ance appraisal process. (Mod. 8)	1. Pre-film exercise. 2. Show Part I: "What is MBO?" of film, "MBO and Performance Appraisal." 3. Conduct discussion for Part I of film.
10 min.	Understanding of inter- dependence of mission, organizational objectives, position description, and performance requirements. (Mod. 9)	Vugraph.
45 min.	Participants will know how to write an objective for a job. (Mod. 10)	1. Show Part II "Developing Objec- tives" of film, "MBO and Performance Appraisal." 2. Conduct post-film discussion.
30 min.	Understanding of require- ments in AR 690-400, DA GPAS for performance planning. (Mod. 11)	Vugraph, handouts, and lecture.
120 min.	Improvement of existing performance standards for subordinate employees. (Mod. 12)	1. Individual review using charts and vugraphs as a guide. 2. Group member review of performance standards. 3. Individual and/or group effort to improve existing performance standards. 4. Group reports and significant learnings from exercise.
10 min.	Feedback from partici- pants on Day 1 activities of the workshop. (Mod. 13)	Discussion.

Time Required	Outcome	Method
10 min.	Participants know what they can expect for 2nd day of workshop. (Mod. 14)	Discussion.
15 min.	Participants will have reviewed Day 1 activities and understand how they relate to Day 2 activities. (Mod. 15)	1. Discussion, questions and answers. 2. Charts 12-1, 12-2, 12-3, 12-4.
120 min.	Participants will be comfortable in conducting an in-progress review counselling session. (Mod. 16)	1. Lecture. 2. Role playing exercise. 3. Discussion.
0-30 min.	Participants will be provided with information concerning counselling skills. (Mod. 17)	Discussion, questions and answers.
45 min.	Participants will be able to properly prepare for a counselling/ appraisal session with an employee. (Mod. 18)	1. Lecture, questions and answers. 2. Show Part III: "Performance Appraisal" of film, "MBO and Performance Appraisal."
40 min.	Participants will be comfortable in conducting an appraisal interview. (Mod. 19)	Role playing exercise.
10 min.	Participants will understand the types of appraisals, performance rating levels, and link between appraisals and personnel decisions. (Mod. 20)	1. Vugraph 20-1. 2. Vugraph 20-2. 3. Vugraph 20-3.
20 min.	Understand how to complete DA Form 4969 and DA Form 4969-1. (Mod. 21)	Hand out sample forms and discussion.

Time Required	Outcome	Method
20 min.	Means to insure cognitive and attitude difference of participants from pre-test. (Mod. 22)	Paper and pencil exercise.
10 min.	Participants provide feedback on workshop. (Mod. 23)	Written evaluation.

Module 1 - Introduction

Time
Required   Outcome   Method

30 min.   Interested audience.   1. Instructors intro-
                                              duce themselves.
                                           2. Participants intro-
                                              duce themselves.
                                           3. Discuss the ques-
                                              tion "How many
                                              ways can you use
                                              a brick?".

A.   Objectives:

     1.   Participants will be motivated to participate freely
          in the workshop and begin to feel comfortable in
          the group.

     2.   Participants will be able to verbally discuss the
          parallel between effective use of a brick and
          effective use of civilian employees.

B.   Instructor Notes:

     STEP 1 - This exercise is an ice breaker used to intro-
              duce the subject of Civilian Performance
              Appraisal. Participants should be asked to
              write responses to the following questions on
              a piece of paper:

              1.   What is a brick?
                       (A rectangular block of clay hardened
                       by drying in the sun or burning in a
                       kiln)

              2.   How many ways can you use a brick?

     STEP 2 - From a random sampling of the participants,
              write a few of their responses to the above
              question on chart paper.

        Note: A brick is an inanimate object that would be
               of little or no use without human intervention.
               People form buildings, fireplaces, streets,
               etc. by putting many bricks together and
               molding them into a useful, productive whole.
               Although civilian employees are obviously not

inanimate, they can become more productive   11
members of the larger organization, when
managers successfully and skillfully administer
the GPAS. An objective of the workshop is to
assist the military manager to improve his
skill in working with the GPAS.

C.   Review

Insure participants understand the analogy between the
opening exercise and the workshop.

Time
Required	Outcome	Method
5 min.	Goals and objectives of workshop.	1. Discuss goal of the workshop on vugraph (2-1). 2. Discuss objectives of the workshop on vugraph (2-2). 3. Participants' expectations.

A. Objective:

Participants will be able to verbally state, with or without reference to notes, to an audience of their peers, the goal of the workshop and major objectives of the workshop as presented by the instructor.

B. Instructor Notes:

STEP 1 - (Show vugraph 2-1) The instructor allows the participants to read the vugraph.

STEP 2 - (Show vugraph 2-2) The instructor allows the participants to read the vugraph.

STEP 3 - Ask the participants the following question, "What else would you like to take from this workshop?"

   Note: Do not spend a great deal of time on this question. It is asked in order to surface very strong individual issues.

C. Review

Insure participants understand the goal of the workshop and what the workshop is intended to achieve before going to the next section.

GOAL OF THE WORKSHOP

TO INCREASE PARTICIPANTS' UNDERSTANDING OF THE CIVIL
SERVICE GENERAL PERFORMANCE APPRAISAL SYSTEM AND TO
ENHANCE THEIR SKILLS IN:

    (1)   WRITING JOB STANDARDS

    (2)   WRITING PERFORMANCE APPRAISALS

    (3)   CONDUCTING PERFORMANCE COUNSELLING

IN ORDER TO FULFILL THEIR RESPONSIBILITIES AS SUPER-
VISORS OF DEPARTMENT OF THE ARMY CIVILIAN EMPLOYEES.

OBJECTIVES OF THE WORKSHOP

WANT TO ACHIEVE:

(1)   PARTICIPANTS WILL BE ABLE TO WRITE JOB PERFORMANCE
STANDARDS FOR DEPARTMENT OF THE ARMY CIVILIANS
UNDER THEIR SUPERVISION.

(2)   PARTICIPANTS WILL BE ABLE TO EXPLAIN THE PERFORMANCE
APPRAISAL PROCESS AND FULFILL THEIR RESPONSIBILITIES
UNDER THE GENERAL PERFORMANCE APPRAISAL SYSTEM.

(3)   PARTICIPANTS WILL BE ABLE TO INCREASE OR IMPROVE
PRODUCTIVITY OF DEPARTMENT OF THE ARMY CIVILIANS
UNDER THEIR SUPERVISION BY CONDUCTING PERIODIC JOB
PERFORMANCE COUNSELLING SESSIONS.

Time Required	Outcome	Method
10 min.	Overview of workshop activities in order to orient participants.	Discuss workshop agenda using chart paper.

A. Objective:

Participants will be able to verbally state, with or without reference to notes, to an audience of their peers, three key items on the workshop agenda as presented by the instructor.

B. Instructor Notes:

STEP 1 - (Show chart 3-1) The instructor allows the participants to read the agenda.

STEP 2 - Make administrative announcements.

1. breaks

2. bathrooms, vending machines

3. lunch facilities

4. ground rules (chart 3-2). Ask the participants if there are any additional ground rules they would like to add for the workshop. Insure group consensus is reached.

C. Review

Insure that participants understand the agenda and ground rules before moving to the next section.

Chart 3-1   16

Workshop Agenda

Day 1

    Introductions/Group Exercise

    Goals/Objectives

    Admin/Agenda

    Pre-test

    A/V Cassette - "Performance Appraisal: Human Dynamics"

    Supervisory Attitudes: The X-Y Scale

    Background Data

    Film - Part I, "What is MBO?"

    Performance Management Pyramid

    Film - Part II, "Developing Objectives"

    Regulatory Requirements

    Developing Performance Standards - Individual and
                                            Group Activity

Chart 3-1
(continued)   17

Day 2

    Review

    Role playing exercise 1

    Communication skills

    Counselling Appraisal Session

    Film - Part III - "Performance Appraisal"

    Role playing exercise 2

    The Appraisal Process

    Completing Forms

    Post-test

    Assessment

Chart 3-2   18

Ground Rules

1. Start on time - finish on time

2. No smoking in classroom

3. Active participation - active listening

4. Others?

Time
Required   Outcome   Method

15 min.   Determine the level of   Paper and pencil
               knowledge and attitudes   exercise.
               of participants toward
               GPAS.

A.   Objective:

     Participants will answer, in writing, their responses
     to the questions on the pre-test provided to them,
     without the use of notes.

B.   Instructor Notes:

     STEP 1 - The instructor passes out the pre-test
              (Version A to 1/2, Version B to 1/2) to all
              participants and explains the test is
              designed to give the instructors and
              participants a means to determine the level
              of knowledge and general attitude of the
              participants about the GPAS.

     STEP 2 - Instructor allows participants 15 minutes
              to complete the pre-test and then collects
              them.

     STEP 3 - Instructor explains the tests will be
              returned to them at the end of the workshop
              for scoring.

C.   Review:

     Insure participants understand why the pre-test was
     given and that they can expect to receive their scored
     results.

Name _____

1. Briefly describe what a major job element is under the
    General Performance Appraisal System (GPAS).

    _____

    _____

    _____

    _____

    _____

2. Briefly define what is meant by supporting tasks under
    the GPAS.

    _____

    _____

    _____

    _____

    _____

3. List at least 3 of the 4 types of appraisals described
    in AR 690-400, DA GPAS.

    1. _____

    2. _____

    3. _____

    4. _____

4. Circle True or False

    An acceptable performance standard is measurable, under-
    standable, attainable, and it covers the necessary level
    (you can tell when performance meets, exceeds, or does
    not meet the standard).

                                        True   or   False

5. Circle True or False

    To maximize usefulness when giving feedback, evaluative
    feedback should be given rather than descriptive
    information.

                                        True   or   False

Note: Questions 6-10 are to be answered by circling
the number to the right that most accurately
describes how you feel about the statement.

	Strongly Agree	Agree	No Strong Opinion	Disagree	Strongly Disagree
6. People at work really want to do their best.	5	4	3	2	1
7. People who have a say in what they do, work more efficiently.	5	4	3	2	1
8. Writing performance standards is worth the supervisor's effort.	5	4	3	2	1
9. In performance counselling it is important to find out how the employee thinks he or she did.	5	4	3	2	1
10. The role of supervisors/ managers today should be as a coach and counsellor.	5	4	3	2	1

Name _____

1. Briefly define what is meant by a critical element under
    the General Performance Appraisal System (GPAS).

    _____

    _____

    _____

    _____

    _____

2. Describe at least 2 of the 3 conditions when in-progress
    reviews are required under the GPAS.

    1. _____

    2. _____

    3. _____

3. List at least 3 types of civilian personnel decisions
    that are influenced by the GPAS.

    1. _____

    2. _____

    3. _____

4. List at least 4 steps in preparing for a performance
    counselling session.

    1. _____

    2. _____

    3. _____

    4. _____

5. Circle True or False

    AR 690-400, DA GPAS mandates that the major job elements
    of Personnel Management and Equal Employment Opportunity/
    Affirmative Action will be designated as critical elements
    for all civilian supervisory positions.

                                      True   or   False

Note: Questions 6-10 are to be answered by circling
       the number to the right that most accurately
       describes how <u>you feel</u> about the statement.

	Strongly Agree	Agree	No Strong Opinion	Disagree	Strongly Disagree
6. People at work really want to know where they stand.	5	4	3	2	1
7. People should help make decisions affecting their work.	5	4	3	2	1
8. Writing performance standards takes time, but it is worth the effort.	5	4	3	2	1
9. Performance counselling improves productivity.	5	4	3	2	1
10. It is important for supervisors to actively listen during performance counselling.	5	4	3	2	1

Time
Required   Outcome   Method

40 min.   Introduction of performance   1. Introduce A/V
                appraisal, to stimulate   cassette.
                participants' reflection   2. Show "Performance
                on their past experiences   Appraisal: Human
                in being appraised and   Dynamics."
                appraising others.   3. Post-film
                                                  discussion.

A. Objective:

    Participants will be able to verbally discuss, with or
    without reference to notes, to an audience of their
    peers, at least 5 of the 7 questions asked during a
    post-film discussion of "Performance Appraisal: Human
    Dynamics."

B. Instructor Notes:

    STEP 1 - Pass out 3"x5" cards to participants. Ask
             them to complete the following statement:
             "I would do a more effective job of evaluating
             subordinates if ...."   No names will be on the
             cards. Allow 2 to 3 minutes to complete.
             Divide audience into small groups (4-5) and
             have them exchange cards. Allow 5 to 10
             minutes and then have individuals report out
             to the large group by having them finish
             the statement that someone else completed.
             The instructor should list the statements on
             chart paper.

    STEP 2 - Introduce A/V cassette: "Performance
             Appraisal: Human Dynamics," approximately
             25 minutes long.

             1. Appraisal situations shown--Dorothy Hammill,
                 etc.
             2. Development of performance appraisal systems
             3. Dr. Alex Rosen -
                 a. anxieties about being evaluated
                 b. variety of performance appraisal
                     systems experimented with, including
                     GE study
                 c. Mattel Inc. - performance appraisal
                     workshop, role play situations, and
                     discussions
             4. People at work

                              119

STEP 3 - Show A/V cassette

STEP 4 - Process the film.

1. The film suggests that feelings about evaluation are triggered by early training. Does this fit your experience?

2. Which areas covered in a performance evaluation are likely to be most sensitive?

3. What kinds of evaluation of others do we do most easily? Which are the most difficult?

4. Is it ever possible to be completely comfortable in evaluating another human being?

5. In many cases performance reviews are done in a perfunctory manner. How can people be made to appreciate the potential value of evaluations?

6. How do you feel about letting subordinates participate in the appraisal process?

7. How do you feel when you have input into your objectives/goals?

C. Review:

Insure participants understand the development of appraisal systems and the issues raised in being evaluated. Insure participants have reflected on their past experiences in being appraised and appraising others.

Time
Required   Outcome   Method

30 min.   Comparison of participants'   Administer
           attitudes toward subordinates   "Supervisory
           with types of behavior they   Attitudes: The
           may engage in, in relation   X-Y Scale"
           to subordinates.   instrument.

A. Objectives:

    1. Participants will know their current position on
        the theory X - theory Y continuum in terms of
        attitudes and behaviors toward subordinates.

    2. Participants will understand that wherever their
        position is on the X-Y scale, they can be effec-
        tive managers and fulfill their responsibilities
        toward subordinates in the appraisal process.

B. Instructor Notes:

    STEP 1 - The instructor briefly introduces the instru-
             ment by linking it to the film just shown.

    STEP 2 - Have participants complete part I; the ten
             questions.

    STEP 3 - Have participants complete part II of the scale,
             placing an A for attitude on the scale, where
             they think appropriate.

    STEP 4 - Have the participants place an S on the scale,
             where they want their own supervisor to be in
             relation to theory X or theory Y.

    STEP 5 - Score part I with participants. For items 1-3
             and 5-9 the scoring is done like this:
             (draw on chart paper or chalk board)

Do	Tend to Do	Tend to Avoid	Avoid
1	2	3	4

             For items 4 and 10, score them like this:

Do	Tend to Do	Tend to Avoid	Avoid
4	3	2	1

The appropriate number is written beside the   27
the check mark, and these are summed. This
score is located on the scale in part II and
a B for behavior is placed there.

STEP 6 - Instructor leads a discussion of the results,
comparing discrepancies between self-perception
(attitude) and possible behaviors (as deter-
mined from part I). The part I score is a
crude index of the extent to which the
participant's assumptions match those of the
two theories. The instructor also leads a
brief discussion of their own supervisor's
desired place on the scale as compared to
their place on the scale, and possible
behaviors.

C. Review:

Insure participants understand the link between the
results of the exercise and its implications in appraising
performance of subordinates.

SUPERVISORY ATTITUDES: THE X-Y SCALE

_____
NAME

_____
GROUP

Part I

Directions: The following are various types of behavior which a supervisor (manager, leader) may engage in in relation to subordinates. Read each item carefully and then put a check mark in one of the columns to indicate what you would do.

If I were the supervisor, I would:	Make a Great Effort to Do This	Tend to Do This	Tend to Avoid Doing This	Make a Great Effort to Avoid This
1. Closely supervise my subordinates in order to get better work from them.				
2. Set the goals and objectives for my subordinates and sell them on the merits of my plans.				
3. Set up controls to assure that my subordinates are getting the job done.				
4. Encourage my subordinates to set their own goals and objectives.				
5. Make sure that my subordinates' work is planned out for them.				
6. Check with my subordinates daily to see if they need any help.				
7. Step in as soon as reports indicate that the job is slipping.				
8. Push my people to meet schedules if necessary.				
9. Have frequent meetings to keep in touch with what is going on.				
10. Allow subordinates to make important decisions.				

The 1972 Annual Handbook For Group Facilitators

Part II

Directions: Read the descriptions of the two theories of leadership below. Think about your own attitudes toward subordinates, and locate on the scale below where you think you are in reference to these sets of assumptions.

THEORY X ASSUMPTIONS

1. The average human being has an inherent dislike of work and will avoid it if he can.
2. Because of this human characteristic of dislike for work, most people must be coerced, controlled, directed, and threatened with punishment to get them to put forth adequate effort toward the achievement of organizational objectives.
3. The average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition, and wants security above all.

THEORY Y ASSUMPTIONS

1. The expenditure of physical and mental effort in work is as natural as play or rest.
2. External control and the threat of punishment are not the only means of bringing about effort toward organizational objectives. Man will exercise self-direction and self-control in the service of objectives to which he is committed.
3. Commitment to objectives is a function of the rewards associated with their achievement.
4. The average human being learns under proper conditions not only to accept but also to seek responsibility.
5. The capacity to exercise a high degree of imagination, ingenuity and creativity in the solution of organizational problems is widely, not narrowly, distributed in the population.
6. Under the conditions of modern industrial life the intellectual potentialities of the average human being are only partially utilized.

  Indicate on the scale below where you would classify your own basic attitudes toward your subordinates in terms of McGregor's Theory X and Theory Y.
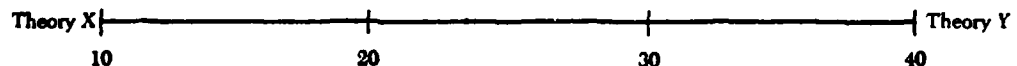
Theory X |————————————|————————————|————————————| Theory Y
         10   20   30   40

Time Required	Outcome	Method
45 min.	Participants will have a general understanding of the civilian appraisal and military evaluation systems and how they relate to each other.	Lecture, questions and answers.

A. Objectives:

1. Participants will be able to verbally state to an audience of peers at least 2 of the 3 intents of GPAS presented by the instructor without the use of notes.

2. Participants will be able to list correctly at least 3 GPAS supervisory responsibilities as presented by the instructor without the use of notes.

3. Participants will be able to verbally state at least 1 similarity and 3 differences between military evaluation systems and civilian appraisal systems without the use of notes.

B. Instructor Notes:

STEP 1 - As we saw in the film "Performance Appraisal: Human Dynamics," evaluations or appraisals become important to us at a very early age. Some appraisals are very subjective (such as parental appraisals) and others are expected to be very objective (grades in school, performance on the job). Display vugraph 7-1.

   Note: The passage of the Civil Service Reform Act in 1978 represented a major change in the direction of appraisals in the Federal Government. What evolved was the General Performance Appraisal System or GPAS.

STEP 2 - Display vugraph 7-2. In the Department of Defense, the recent trend in evaluation and appraisal systems has been movement toward the objectivity end of the continuum. This

trend is exemplified by GPAS, the Army's OER system implemented in 1979 and the most recent Air Force Regulation in 1980. All of these systems emphasize evaluating performance against an acceptable, previously agreed upon standard.

STEP 3 - Display vugraph 7-3.

STEP 4 - Display vugraph 7-4.

Note: Everyone should agree with and accept the definition or it should be modified before moving on.

STEP 5 - Display vugraph 7-5. The slide briefly outlines supervisory responsibilities in the GPAS. As you discuss the material on the slide it is important to draw parallels with the military evaluation system.

STEP 6 - Display vugraph 7-6. This slide should re-emphasize points brought out in the discussion above.

STEP 7 - Display vugraph 7-7. The slide outlines the differences between the civilian appraisal system and military evaluation system (specifically the Army). Participants from other services, if any, may be asked to briefly discuss their services' systems and how they relate to the discussion.

C. Review:

Insure participants know and understand their responsibilities as supervisors in the GPAS.

SUBJECTIVITY/OBJECTIVITY CONTINUUM

TOTAL SUBJECTIVITY,   TOTAL OBJECTIVITY

    CAPRICIOUSNESS

MOVEMENT OF NEW APPRAISAL SYSTEMS

(Leaders must still exercise JUDGMENT)

127

SUBJECTIVITY/OBJECTIVITY CONTINUUM
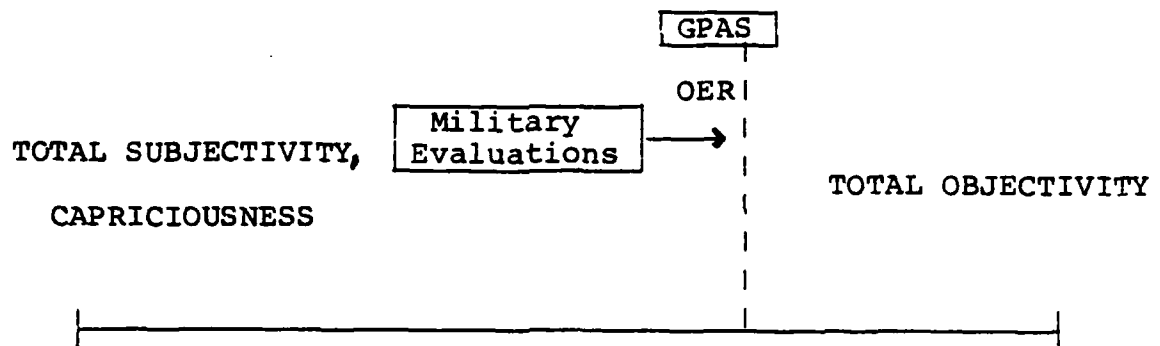
INTENT OF GPAS

*   LINK INDIVIDUAL AND ORGANIZATIONAL
     GOALS THUS GIVING INDIVIDUALS A CLEARER
     UNDERSTANDING OF THOSE GOALS.

*   INFORM EMPLOYEES IN WRITING OF MAJOR
     AND CRITICAL JOB ELEMENTS AND PERFORMANCE
     STANDARDS FOR THOSE ELEMENTS AT THE
     BEGINNING OF EACH APPRAISAL PERIOD.

*   MAKE SUPERVISORY PERSONNEL RESPONSIBLE
     FOR THE EFFECTIVENESS AND PRODUCTIVITY
     OF EMPLOYEES THEY SUPERVISE.

APPRAISAL/EVALUATION

COMPARING WHAT IS EXPECTED

AGAINST WHAT IS ACHIEVED

G P A S

SUPERVISORY RESPONSIBILITIES

DEVELOPS PERFORMANCE REQUIREMENTS

* Identifies Critical Job Elements from Job
  Descriptions

* Establishes Performance Standards with
  Employees

* Provides Written Performance Requirements
  to Each Employee

OBSERVES/APPRAISES EMPLOYEE PERFORMANCE

* Conducts Periodic In-Progress Reviews to
  Compare Results with Established Standards

* Adjusts Standards as Necessary

* Counsels Employees on Progress and Assists
  Them in Improving Performance

WRITES AND SUBMITS OFFICIAL PERFORMANCE APPRAISAL

* Discusses Results with Employee

MAJOR SIMILARITIES
MILITARY EVALUATIONS & CIVILIAN APPRAISALS

*   INCREASED OBJECTIVITY/SPECIFICITY

*   INDIVIDUAL PERFORMANCE OBJECTIVES LINKED
    TO ORGANIZATIONAL OBJECTIVES

*   INCREASED MUTUAL INVOLVEMENT OF LEADER AND
    SUBORDINATE IN THE PROCESS OF IDENTIFYING
    AND COMMUNICATING PERFORMANCE EXPECTATIONS.

MAJOR DIFFERENCES

FACTOR	MILITARY	CIVILIAN
USE	PERSONNEL MANAGEMENT	PERSONNEL MANAGEMENT $$ INCENTIVES
RATING FACTORS	PERFORMANCE PERSONAL QUALITIES	PERFORMANCE
JOB COVERAGE	SELECTED OBJECTIVES	TOTAL JOB COVERAGE
SUBJECTIVE WEIGHTING	POTENTIAL JUDGED	RESULTS
OTHER (ARMY)	SENIOR RATER TRACKED	

Time
Required   Outcome   Method

30 min.   Understanding of MBO and   1. Pre-film exercise.
               how it relates to perform-   2. Show Part I: "What
               ance appraisal process.   is MBO?" of film,
                                                    "MBO and Perform-
                                                    ance Appraisal."
                                                 3. Conduct discussion
                                                    for part I of film.

A.   Objective:

     Participants will be able to verbally discuss, with or
     without reference to notes, to an audience of their
     peers, at least 4 of the 5 steps in the MBO process, as
     outlined by the instructor in the film.

B.   Instructor Notes:

     STEP 1 - Break the group into small groups of 4-5 people
              for 10 minutes to find out from each other -
              (list questions cn chart paper)

              1. When was your last performance appraisal?

              2. How helpful or satisfying was it?

              3. What could have made it more so?

              4. When was the last time you rendered an
                 appraisal?

              5. How helpful or satisfying was it for you?

              6. What could have made it more so?

     STEP 2 - Introduce and show Part I: "What is MBO?" of
              film, "MBO and Performance Appraisal." Tell
              audience that Part I talks about how difficult
              it is to do performance appraisals, and how
              MBO can help.

     STEP 3 - Discuss Part I of film. Ask:

              1. What does the film seem to say about
                 performance appraisal? Do you agree?
                 (Encourage expression of many points of
                 view.)

              2. The film says that MBO depends on two
                 beliefs--one of which is that people want
                 to do their best. Do you think people
                 want to do their best? What makes you
                 think that?

134

3. The second belief- that people should help make decisions affecting their work--is controversial too, what do you think?

4. The film says "people who have a say in what they do, work better, more efficiently." Do you think that is true? Why?

5. The instructor outlined 5 steps in the MBO process. What are the steps? <u>Post on chart paper</u>.

    1) Manager identifies basic purpose of unit.

    2) Employee sets and presents own objectives to boss.

    3) Employee and manager agree on objectives.

    4) Agree on how to measure results.

    5) Meet to review performance.

    Which of these do you think is the hardest to accomplish? Why? How can it be made easier?

C. <u>Review</u>:

Insure participants understand what MBO is, that the GPAS is MBO based, and that performance appraisal is more meaningful if an MBO type process is followed.

Time Required	Outcome	Method
10 min.	Understanding of interdependence of mission, organizational objectives, position description, and performance requirements.	Vugraph.

A. Objective:

Participants will be able to verbally explain and define the four elements of the performance management pyramid to an audience of their peers, with or without the use of notes, as presented in vugraph (9-1).

B. Instructor Notes:

STEP 1 - Show vugraph 9-1.

STEP 2 - This is an uncomplicated approach to how performance requirements are developed. There is a need for clarity about the relationship between each level, which is usually achieved by two-way communication. The supervisor and employee must both have a clear understanding of the organization's mission and objectives. The position description must be accurate. The mission and objectives of the organization need to be reflected in the duties and responsibilities of the position description. Finally, the performance requirements (major and critical job elements, supporting tasks, and performance standards) must be derived from the position description and the established performance standards need to contribute to accomplishing organizational objectives and the mission. The short arrows on the vugraph serve to show the link between the mission, organization objectives, position description, and performance requirements. The longer arrows focus attention on the need for clarity at each level and the greater need for two-way communication when the relationship between levels is unclear.

C. <u>Review</u>:

Insure that participants understand the relationships in the performance management pyramid. Check to insure participants know that clarity between levels is the key element.

PERFORMANCE MANAGEMENT PYRAMID

Time
Required   Outcome   Method

45 min.   Participants will know   1. Show Part II -
                how to write an objec-   "Developing Objec-
                tive for a job.   tives" of film,
                                                "MBO and Perform-
                                                ance Appraisal."
                                            2. Conduct post-film
                                                discussion.

A. Objective:

    Participants will be able to develop (write) an objective
    for a job by including the four key ingredients of an
    objective, with or without the use of notes, as presented
    in the film "MBO and Performance Appraisal," Part II -
    "Developing Objectives."

B. Instructor Notes:

    STEP 1 - Introduce film, Part II - "Developing Objectives"
             by saying the film tells how to develop good
             objectives. Look at one or two of the objectives
             you brought with you and evaluate them as you
             watch the film.

    STEP 2 - Show film, Part II - "Developing Objectives"
             of "MBO and Performance Appraisal."

    STEP 3 - Post-film discussion:

             1. How did your objectives compare to the
                 examples in the film? Were some parts
                 missing? Which ones?

             2. The film says objectives should contain four
                 parts: I will... + action word + key
                 results (what) + specific target date.
                 How does that compare with the GPAS perform-
                 ance requirements of: major job element,
                 critical element, supporting tasks, and
                 performance standards? (Show Chart 10-1.)

             3. Why should objectives/performance standards
                 be written?

             4. How do you handle objectives that are diffi-
                 cult to measure?

5. What is the value of having people develop their own objectives (instead of simply getting them from the boss)?

C. Review:

Insure participants understand the similarities and differences between developing objectives as shown in the film and developing GPAS performance requirements.

Chart 10-1   46

OBJECTIVES:

I WILL + ACTION WORD + KEY RESULT (WHAT)

+ SPECIFIC TARGET DATE.

GPAS PERFORMANCE REQUIREMENTS:

MAJOR JOB ELEMENT   CRITICAL ELEMENT

SUPPORTING TASKS   PERFORMANCE STANDARDS

Time
Required   Outcome   Method

30 min.   Understanding of require-   Vugraph, handouts,
                ments in AR 690-400, DA GPAS   and lecture.
                for performance planning.

A. Objectives:

    1. Participants will be able to verbally explain and
        define the terms: major job element, critical
        element, supporting tasks, and performance standard,
        to an audience of their peers, with or without the
        use of notes, as given in the handout on performance
        planning.

    2. Participants will be able to verbally explain the
        two special requirements for supervisors which must
        be included in their performance standards and
        major and critical job elements, to an audience of
        their peers, without the use of notes, as presented
        by the instructor.

B. Instructor Notes:

    STEP 1 - Distribute handout: Performance Appraisal

    STEP 2 - Show vugraph 11-1 and discuss handout:
             Performance Appraisal.

      Note: Vugraph and handout are the same material.
             This figure depicts the performance appraisal
             cycle. Take a moment to review it. Notice
             the performance management tools which are
             potentially influenced by the appraisal
             process. Do you have any questions?

    STEP 3 - Distribute and discuss handout: Performance
             Planning.

             a. At the START of performance planning you
                 must insure that the position description
                 is accurate. An employee may be appraised
                 only by comparing performance with
                 standards so the major job elements and
                 performance standards must be based on
                 duties assigned the employee, as described
                 in the position description.

b. Steps I through IV in the figure must   48
be completed prior to the beginning of
the rating period. As changes occur in
the position, portions of steps I
through IV will need to be modified to
reflect the changes.

c. If the position is occupied by an employee,
participation by the employee is required
in helping to determine major and critical
job elements, supporting tasks, and
setting performance standards. Final
decisions, if mutual agreement cannot be
attained, will be made by rating super-
visors and reviewers.

d. Show vugraph 11-2, Major Job Element.
Major job elements are identified through
analysis of the duties and responsibilities
of each job (i.e. an analysis of what the
job requires) and their linkage to the
mission, functions, and goals of the
organization. They are a major result or
output expected from the employee.

e. Show vugraph 11-3, Critical Element.
Answering "yes" to the two basic questions
will help a supervisor determine whether
a major job element is critical: (1) Will
unsatisfactory performance on the element
have an adverse effect on completion of
the work of the organization or other
organizations? (2) Can I begin action for
removal or demotion of the employee if the
performance standards for this element are
not met?

f. Show vugraph 11-4, Supporting Tasks.
Specified tasks or activities important
to each element should be developed to aid
establishment of performance standards.

g. Show vugraph 11-5, Performance Standards.
Determine acceptable performance for
achieving each element. Performance of
each major element will then be measurable
at three levels: met, not met, exceeds.
Performance standards should be as specific
as the nature of the element permits. If
possible, each should be expressed as a

range of performance in terms of quality, 49
quantity, timeliness, or expected results.
Performance standards for acceptable
performance should be high enough to meet
the needs of the position and be attain-
able by a fully qualified employee.

STEP 4 - Distribute and discuss handout: Identifying
Major Job Elements, Critical Elements, and
Supporting Tasks.

Explain: 1-3. Importance of job description.

4. Job elements normally are
nouns. Critical elements for
supervisors: Personnel
Management Responsibilities
and Equal Employment Oppor-
tunity Responsibilities.

5. Supporting tasks are statements
of action (verbs).

6-8. Employee participation.

9-10. Each supporting task must be
measurable.

11. Ready to establish performance
standards.

STEP 5 - Distribute and discuss handout: Establishing
Performance Standards.

Explain: 2. Describe acceptable performance

3. Measurable

5. Attainable

7. Necessary level

9. Discuss standards with employee

13. Reviewer Approval

14. Transfer to DA Form 4968

STEP 6 - Show Chart 11-1 and explain: Personnel Manage-
ment and Equal Employment Opportunity and
Affirmative Action will be identified as
critical elements for all supervisory positions.

144

STEP 7 - Distribute and discuss handouts: Job Perform-   50
ance Planning Worksheet (2 pages) and Part II
Continuation.

The rating supervisor completes DA Form 4968
in duplicate at the beginning of rating
period. It is used by the supervisor and
employee throughout the rating period as a
guide to reach performance goals.

Part I - Administrative data shows the position
(item 1), the employing organization (item 2),
the employee occupying the position (item 3),
and the period (item 4) during which the
employee will be appraised. Rating period is
normally 1 year for annual appraisals, 8
months for probationary appraisals, and the
period of temporary assignment for special
appraisals .

Part II - Performance requirements, is completed
by the rating supervisor with the employee
taking part. At the beginning of the rating
period complete: major job elements (5a);
critical elements (5b) by entering "yes" or
"no"; supporting tasks (5c) for each element;
and performance standards (5d). If additional
space is needed, check "yes" in item 6 and
continue, using DA Form 4968-1. Otherwise,
check "no." A reminder, Personnel Management
and Equal Employment Opportunity, Affirmative
Action will be critical elements for all
supervisors.

Part III - Changes to performance requirements,
when necessary are made in Part II, after
discussion with the employee. Annotate the
applicable items in Part II (pen and ink change
on handout) and make new entries in item 7.
Show the approximate date the changes occurred,
enter the major element to which the change
applies, and have the employee, reviewer, and
supervisor initial the changes. Enter the
reason for each change in item 8.

Part IV - Authentication. Rating supervisor
signs and dates (item 9) the worksheet before
sending it to reviewer. The supervisor's
signature shows that the employee has been
given a chance to take part in identifying
critical elements and establishing performance
standards. The reviewer signs and dates (item
9b) both copies of the worksheet and returns
it to the rating supervisor. Reviewer signature

shows that the major job elements, critical   51
elements, and performance standards are correct.
The signature also attests that each is attain-
able, fair, and equitable compared to like or
similar jobs in the organization. The employee
signs and dates (item 9c) both copies of the
worksheet. Employee keeps the original and
returns the copy to the rating supervisor.
Employee's signature verifies that administra-
tive data in Part I are correct. The employee
signature does not necessarily indicate agree-
ment with the critical elements and performance
standards in Part II. The date in 9c will be
the official date the critical elements and
performance standards for the position were dis-
cussed with the employee.

DA Form 4968-1, Job Performance Planning Work-
sheet - Part II Continuation is completed at
the same time as DA Form 4968 and is also
prepared in duplicate. Fasten it to DA Form
4968 and indicate the page number and number
of pages in upper right hand corner of all
forms. Enter the same data in items 1, 3, and
4 as is on DA Form 4968. Continue listing
information in item 5 by following the instruc-
tions for completing DA Form 4968.

C. Review:

Insure participants can explain the following terms:
major job element, critical element, supporting tasks,
and performance standard. Insure they understand that
all supervisors must have Personnel Management and Equal
Employment Opportunity, Affirmative Action as critical
elements in their performance requirements. Insure
participants can properly complete DA Form 4968 and
4968-1.

147
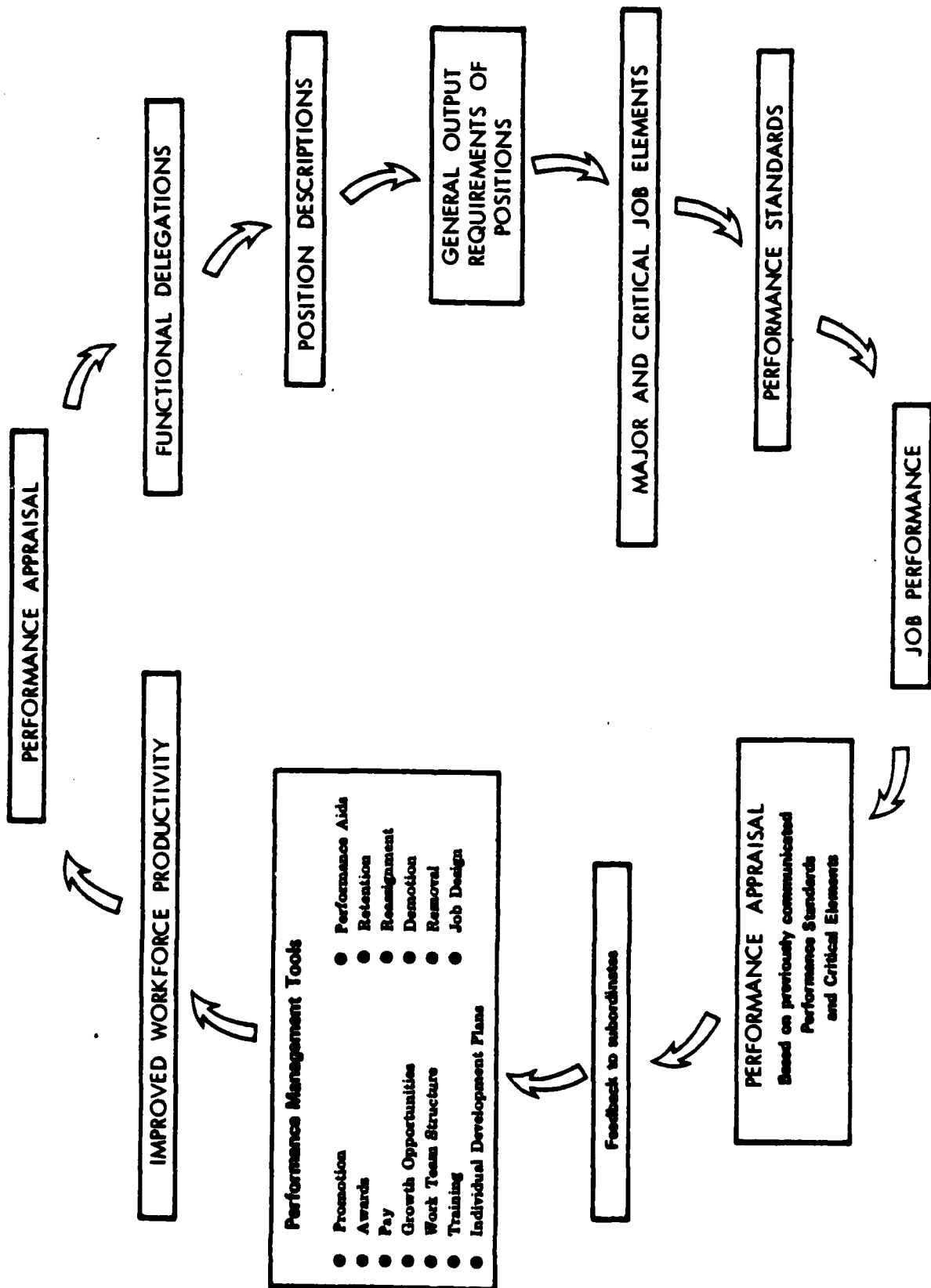
PERFORMANCE PLANNING

INPUT REQUIREMENTS
- MISSION FUNCTIONAL STATEMENTS
- DELEGATIONS OF AUTHORITY
- ORGANIZATIONAL OBJECTIVES
- POSITION DESCRIPTION
- PURPOSE OF POSITION
- CRITERIA FOR JOB ELEMENTS

START

- CRITICAL ELEMENTS & PERFORMANCE STANDARDS

I. ESTABLISH JOB ELEMENTS

OUTPUT
- JOB ELEMENTS LISTING DEPICTING ENTIRE POSITION

- JOB ELEMENTS LISTING FOR CRITICAL ELEMENTS CONSIDERATIONS

II. IDENTIFY CRITICAL ELEMENTS

- JOB ELEMENTS LISTING WITH CRITICAL ELEMENTS IDENTIFIED

- JOB ELEMENTS LISTING WITH CRITICAL ELEMENTS IDENTIFIED

III. LIST SUPPORTING TASKS

- SUPPORTING TASKS FOR EACH JOB ELEMENT

- JOB ELEMENTS LISTING WITH CRITICAL ELEMENTS AND SUPPORTING TASKS FOR EACH ELEMENT IDENTIFIED

IV. SET PERFORMANCE STANDARDS

- SET OF PERFORMANCE STANDARDS

END

- CRITICAL ELEMENTS & PERFORMANCE STANDARDS

148

<u>MAJOR JOB ELEMENT</u>:

A MAJOR DUTY OR RESPONSIBILITY OF AN EMPLOYEE'S

POSITION;   A MAJOR RESULT OR OUTPUT EXPECTED

FROM THE EMPLOYEE.

CRITICAL ELEMENT:

A COMPONENT OF AN EMPLOYEE'S JOB THAT IS OF

SUFFICIENT IMPORTANCE THAT PERFORMANCE BELOW

THE MINIMUM ESTABLISHED BY MANAGEMENT REQUIRES

REMEDIAL ACTION AND DENIAL OF A WITHIN-GRADE

INCREASE, AND MAY BE THE BASIS FOR REMOVING

OR REDUCING THE GRADE LEVEL OF THAT EMPLOYEE.

ALSO, THIS ACTION MAY BE TAKEN WITHOUT REGARD

TO PERFORMANCE ON OTHER COMPONENTS OF THE JOB.

SUPPORTING TASKS:

SPECIFIC TASKS OR ACTIVITIES IMPORTANT TO

EACH ELEMENT WHICH ARE DEVELOPED TO AID

ESTABLISHMENT OF PERFORMANCE STANDARDS.

PERFORMANCE STANDARDS:

A DESCRIPTION OF THE LEVEL OF ACCOMPLISHMENT
NECESSARY FOR ACCEPTABLE PERFORMANCE OF EACH
MAJOR JOB ELEMENT. STANDARDS WHICH HAVE NO
ALLOWANCE FOR DEVIATIONS OR ERROR ARE CALLED
ABSOLUTE STANDARDS. STANDARDS ARE EXPRESSED
IN TERMS OF

1. OBJECTIVES, SPECIFIC ACTIONS, PROJECT
    ASSIGNMENTS, AND

2. OTHER QUALITATIVE AND QUANTITATIVE
    REQUIREMENTS RELATED TO MAJOR JOB
    ELEMENTS.

**IDENTIFYING MAJOR JOB ELEMENTS
CRITICAL ELEMENTS, AND SUPPORTING TASKS**

1. Review Job Description

2. Accurate ?   NO   3. Revise

   YES

4. List Job Elements:
   The Products, Results,
   or Outcomes of the Job

5. List Supporting Tasks

6. Discuss With Employee

7. Additions or Deletions ?   YES   8. Revise List

   NO

9. Can You Measure Each Task ?   NO   10. Revise

   YES

11. Review Final Lists
    and
    Establish Performance Standards

153
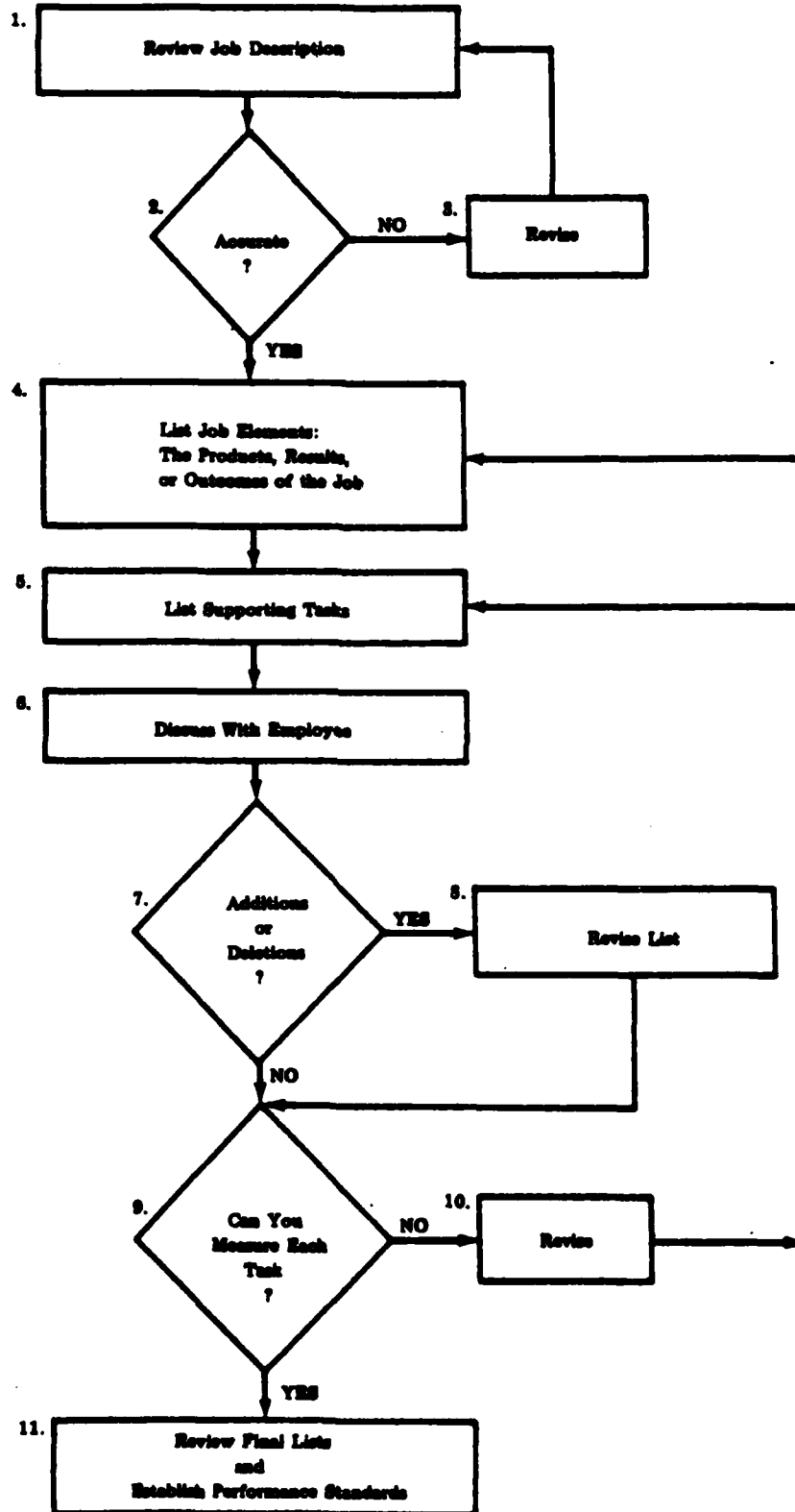
GUIDELINES

1 - 3   – It is important to start with an accurate job description.
If the job description needs to be rewritten, you should
do it before identifying JOB ELEMENTS and SUPPORTING
TASKS, or working on PERFORMANCE STANDARDS.

4   – JOB ELEMENTS are the results, end-products or outcomes
of the job. The description of the JOB ELEMENT will be
of a product or service - an outcome. It will be the name
of something (a noun). Some questions to consider when
identifying elements are: (a) What is the purpose of this
job? and (b) What are the outcomes of this job? List
MAJOR JOB ELEMENTS for the position. Using the
criteria for a CRITICAL ELEMENT, identify all CRITICAL
ELEMENTS.

           NOTE: For those employees who appraise the performance
of one or more subordinates, elements covering Personnel
Management Responsibilities and Equal Employment
Opportunity Responsibilities must be identified. These
elements must also be identified as CRITICAL ELEMENTS.

5   – For each element identified, list the duties, statements of
action (verbs), or activities that are done to accomplish the
element. Are the tasks clearly and simply stated? List
SUPPORTING TASKS for each major job element.

6   – This may be a good time to discuss what you have
written with the employee. He or she may be able to
identify additional elements or supporting tasks.

7 - 8   – Based on any additions or deletions made during the
discussion with the employee, revise the job element and
tasks as needed.

9 - 10   – We are not asking that you actually measure the tasks
now, but just be sure you could measure what you have
written down. Some of you will be saying, 'I can't
measure the kind of work my employees perform.'
Every job has some kind of end-product which can be
measured in some way. Consider such questions as:
(a) How can I tell if the employee is doing his or her
job? (b) If I didn't have an employee to do this work,
how would my mission suffer? If you cannot definitely
answer these questions, consider revising the tasks.

11   – When you and the employee have a final list of MAJOR
JOB ELEMENTS, CRITICAL ELEMENTS, and SUPPORTING
TASKS, you are ready to establish performance standards
for the position. Before doing that, however, you may
wish to discuss the elements and supporting tasks with the
reviewer.

ESTABLISHING PERFORMANCE STANDARDS

1. Select a Job Element
   And Supporting Basis

2. Describe Acceptable
   Performance

3. Can You Measure ? — NO → 4. Revise Standard

   YES

5. Attainable ? — NO → 6. Revise Standard

   YES

7. Necessary Level Covered ? — NO → 8. Revise Standard

   YES

9. Discuss Standards with Employees

10. Agree ? — NO → 11. Should Standard Be Changed ? — YES → 12. Revise Standard

    YES

13. Finalize Standard

14. Complete DA Form 4968

155
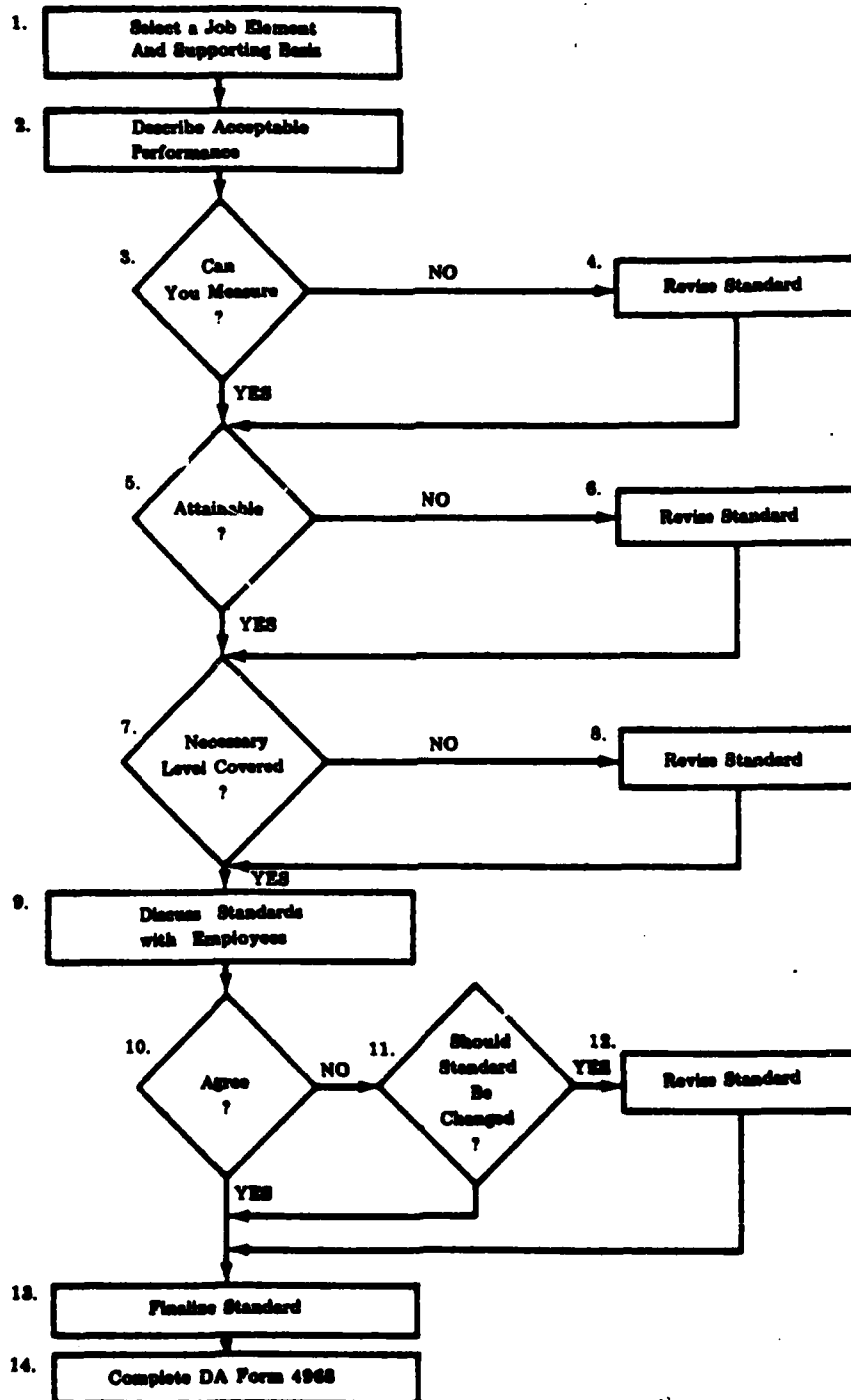
GUIDELINES

1   - Self explanatory.

2   - Write down what you consider to be acceptable performance for each task. Think of such things as how long it should take; how well it should be done; how many; how fast; is cost effectiveness a factor; are there regulations or laws that make specific demands? Also think of examples of very good work and very poor work. What made it good? What made it poor?

3 - 4   -- If you set a standard, you MUST be able to measure it. If you are not already measuring this performance, you need to decide how to measure it. Do you have time to measure it? If the standard is too difficult to measure, try revising it.

         If you are still having trouble, maybe there is something wrong with the task. Make sure you have identified what is really important to measure. Try rephrasing or rewriting. If necessary, go back and look at the overall JOB ELEMENT. Make sure the SUPPORTING TASKS you have listed are related to the ELEMENT.

5 - 6   -- Can you expect a journeyman employee to meet this standard? Is it to high? If so, revise it. Remember, when establishing a performance standard for acceptable performance, DO NOT set it too high or too low.

7 - 8   -- Now that you have written standards for acceptable performance, can you tell when performance exceeds or does not meet the standard?

9 - 12   -- You should discuss the standards with the employee. He or she may be able to help identify ways to measure the tasks you have listed.

         Since it is a management responsibility to develop performance standards, it is not a requirement that employees agree with your description of 'acceptable performance.' However, it may be helpful to come to some degree of understanding on as many standards as possible. Also, disagreement on the part of the employee may be an indication that the standard needs to be changed. Perhaps it's just worded improperly, or it isn't clear to the employee.

13 - 14   -- When you and the employee have a final list of standards, you have completed performance planning for the next performance rating period. Obtain approval of the employee's performance requirements from the reviewer and transfer the performance requirements to DA Form 4968 (Job Performance Planning Worksheet).

Chart 11-1   62

MANDATORY CRITICAL ELEMENTS FOR SUPERVISORS

*   Personnel Management

*   Equal Opportunity Employment and Affirmative Action

JOB PERFORMANCE PLANNING WORKSHEET

For use of this form, see AR 690-400, Chapter 430; the proponent agency is DCSPER.

	PAGE NO.	NO. OF PAGES
	1	2

PART I - ADMINISTRATIVE DATA

1. POSITION TITLE, PAY PLAN, SERIES, GRADE, AND JOB DESCRIPTION NO.

Electrician WG-2805-10 DA-108-C

2. NAME AND LOCATION OF EMPLOYING ACTIVITY

DPAE, Fort Swampy, Mississippi

3. NAME (Last, First, MI) AND SSN

Sparks, John MI 111-00-1111

4. RATING PERIOD

FROM: 1 Sep 81   THRU: 31 Aug 82

PART II - PERFORMANCE REQUIREMENTS

a. MAJOR JOB ELEMENTS	b. CRITICAL ELEMENT	c. SUPPORTING TASKS	d. PERFORMANCE STANDARDS
(1) Secondary power distribution systems installation and maintenance.	Yes	(1) Installs and maintains electric wiring systems, related switches, distribution panels, and outlet boxes.	(1a) Complete installation within 2 hours of estimated work order time. (1b) Complete installation to meet National Electric Codes with no major or safety violations discovered by spot checks, complaints, or inoperative equipment. (1c) Make installations according to plans, blueprints, or verbal instructions. No major deviations are permitted without prior approval of the supervisor. (1d) Observe maintenance schedules according to set priorities and instructions 90 to 95% of the time. (1e) Make on-the-spot corrections to defects found during maintenance checks. Inform correct personnel or office of the defects.
(2) Central power systems inspection and maintenance.	Yes	(2a) Diagnoses power systems for operation or malfunctions. (2b) Repairs systems as required.	(2a) Run required inspections and tests of critical central system and equipment without deviation from schedules unless prior supervisory approval is granted. (2b) Complete all repairs within 93 to 95% of scheduled time, according to preventive maintenance, test schedules, and work order requests.

5. DA FORM 4998-1 (JOB PERFORMANCE PLANNING WORKSHEET - PART II CONTINUATION) ATTACHED   ☒ YES   ☐ NO

DA FORM 4998
APR 81

PART III - CHANGES TO PERFORMANCE REQUIREMENTS

7. MAJOR JOB ELEMENTS (including critical elements and performance standards) CHANGED DURING RATING PERIOD

Change to Major Job Element 5a(1) on 24 Jan 82.
Performance Standard 5d(1a) changed to read:
(1a) All installations completed within 98 to 110% of estimated work order time.

Supervisor _Ras_
Reviewer _HB_
Employee ___

8. RATIONALE FOR CHANGES MADE

The change to Performance Standard 5d(1a) was made after review of all completed installations showed the preparers of work orders were underestimating work and installers could not meet the original performance standard. The time frame to train estimators to give better estimates will not be before Oct 82. Therefore, this performance standard is changed for this rating period.

PART IV - AUTHENTICATION

SIGNATURES	NAME, GRADE (if any), TITLE, & ORGANIZATION	DATE
a. RATING SUPERVISOR	Ralph A. Johnson, Foreman, DFAE	2 Aug 81
b. REVIEWER	Harvey Henry, General Foreman, DFAE	26 Aug 81
c. EMPLOYEE	John Sparks, Electrician DFAE	26 Aug 81

JOB PERFORMANCE PLANNING WORKSHEET - PART II CONTINUATION

For use of this form, see AR 690-400, Chapter 430; the proponent agency is DCSPER.

		PAGE NO. 2	NO. OF PAGES 2

PART I - ADMINISTRATIVE DATA

1. POSITION TITLE, PAY PLAN, SERIES, GRADE, AND JOB DESCRIPTION NO.
Electrician WG-2805-10 DA-108-C

3. NAME (Last, First, MI) AND SSN
Sparks, John NMI 111-00-1111

4. RATING PERIOD
FROM: 1 Sep 81 THRU: 31 Aug 82

PART II - PERFORMANCE REQUIREMENTS (Continued)

a. MAJOR JOB ELEMENTS	b. CRITICAL ELEMENT	c. SUPPORTING TASKS	d. PERFORMANCE STANDARDS
(3) Test equipment operation	No	(3) Uses Volt, OHM, Amp, and watt meters to test circuits and components.	(3a) Use test equipment suitable for the job being done. At all times, use only current calibrated test equipment. (3b) Use test results to diagnose malfunctions and determine extent of needed repairs.
(4) Compliance with safety rules and instructions.	No	(4a) Uses required safety equipment. (4b) Complies with safety instructions. (4c) Observes unsafe working areas and conditions.	(4a) Always wear required protective gear. Use only approved tools and equipment. (4b) Follow safety instructions when working with electrical systems and equipment. (4c) Report unsafe areas, activities, or equipment to proper personnel immediately when observed.

DA FORM 4969-1

Time Required	Outcome	Method
120 min.	Improvement of existing performance standards for subordinate employees.	1. Individual review using charts and vugraphs as a guide. 2. Group member review of performance standards. 3. Individual and/or group effort to improve existing performance standards. 4. Group reports and significant learnings from exercise.

A. Objective:

Participants will be able to improve existing performance standards for a subordinate employee by working individually and as part of a small group. Improvement will be judged by the instructors based on predetermined criteria and comparison of the previously developed performance standards with the refined ones.

B. Instructor Notes:

STEP 1 - Review charts 12-1, 12-2, 12-3, 12-4 and vugraph 12-1.

STEP 2 - Allow individual participants to review their previously developed performance requirements using the charts for guides to help improve them. (Approx. 30 min.)

STEP 3 - Divide large group into small groups of 4 or 5 people. Have the small group take turns sharing their performance requirements with each other, with feedback provided from other group members. As an example, one person from the small group writes a major job element, tells whether it's critical or not, writes supporting tasks for the element, and writes the performance standard for each task on chart paper or on chalkboard. The other group members then critique what has been written and help improve it, if necessary. Other persons in the group then repeat the above procedure, until everyone has shared at least one major job element, etc. (Approx. 40 min.)

STEP 4 - Based on the above exercise, participants   67
either individually or in the small groups
will work on improving the performance
requirements they brought with them to the
workshop. (Approx. 30 min.)

STEP 5 - Direct attention to the front and have a group
representative from each small group discuss
the significant learning that took place
during the exercise. Ask for a representative
of each group to present a major job element,
supporting tasks, and performance standard
that has been improved during the exercise.
Have them use one developed by someone else
in the group. Ask, does a small group setting
make writing performance standards easier?
Is there a role for the employee in helping to
develop the standards? (Approx. 20 min.)

C. Review:

Be sure to allow some flexibility in time allotted for
each step and allow participants a choice in how to
break into small groups and how much time they want to
work individually or in the small groups. This is
probably the most important exercise in the workshop.
Allow more time as appropriate.

Chart 12-1   68

MAJOR JOB ELEMENTS

*   Derived from Organization

    -    Mission

    -    Function

    -    Goals

*   Covered in Position Description

*   Primary Reasons for the Job

Chart 12-2   69

CRITICAL ELEMENTS

*   The most important major job element

*   Unacceptable performance is basis for removal

*   A supervisory judgement

Chart 12-3   70

SUPPORTING TASKS

*   Grouped by major job element

*   Show actions necessary for results

*   Aid in setting standards

Chart 12-4

71

CHARACTERISTICS OF A STANDARD

*   Differentiates between acceptable and unacceptable results

*   Presents a challenge

*   Is realistic (attainable)

*   States conditions that will exist

*   Measures a major job element when performed acceptably

*   Expresses or relates to a time frame for accomplishment

*   Allows observation and documentation

SAMURAI METHOD

Goal Writing Guidelines

S PECIFIC   - single well-defined outcome

A TTAINABLE   - realistic and challenging

M EASURABLE   - when, where, how much, milestones

U NDERSTANDABLE - written clearly, concisely

R EVIEWED .   - updated, changed, kept current

A GREED UPON   - expectations of all solicited and negotiated

I NDIVIDUALIZED - specific tasking by person

.

Time Required	Outcome	Method
10 min.	Feedback from participants on Day 1 activities of the workshop.	Discussion.

A. Objective:

Participants will provide feedback to the instructors and other group members to answer 4 questions, provided by instructors, on the assessment of the day's activities.

B. Instructor Notes:

STEP 1 - Have participants reform into one large group and have them answer the following questions. (Place on chalkboard or chart paper.)

1. What activities did you like today?

2. What activities didn't you like? Why?

3. What did you learn?

4. How can Day 1 be improved? What would you change?

C. Review:

Insure participants have an opportunity to reflect on the activities of the day and provide their feedback to the instructors. Instructors should not be defensive.

Time Required	Outcome	Method
10 min.	Participants know what they can expect for 2nd day of workshop.	Discussion.

A. Objective:

Participants will be able to verbally state at least two activities on the agenda for day 2 of the workshop, based on information presented by the instructors.

B. Instructor Notes:

STEP 1 - Show chart 14-1, the agenda for day 2 of the workshop.

STEP 2 - Ask, does the agenda meet your needs as a participant? Lead discussion, if necessary.

C. Review:

Insure participants know what activities are scheduled for day 2. Allow opportunity for revisions, if group consensus favors the changes.

Chart 14-1   75

Workshop Agenda

__Day 2__

    Review

    Role playing exercise 1

    Communication skills

    Counselling Appraisal Session

    Film - Part III "Performance Appraisal"

    Role playing exercise 2

    The Appraisal Process

    Completing Forms

    Post-test

    Assessment

Time
Required   Outcome   Method

15 min.   Participants will have   1. Discussion,
                 reviewed Day 1 activities   questions and
                 and understand how they   answers.
                 relate to Day 2 activities.   2. Charts 12-1,
                                                    12-2, 12-3,
                                                    12-4.

A.   Objective:

     Participants will be able to verbally state, with or
     without reference to notes, the key definitions from
     Day 1 activities as presented by the instructor.

B.   Instructor Notes:

     STEP 1 - Ask participants if they have any questions or
              comments regarding the first day's activities.

     STEP 2 - Post charts 12-1, 12-2, 12-3, and 12-4 in the
              front of the room. Allow participants time
              to read each chart. Address each chart
              individually, briefly covering the main points
              on each chart.

     Note: It may be advisable to give the participants
              some additional time to work in their groups
              on writing performance standards. This will
              depend on how quickly the participants moved
              through the first day's activities and the
              progress made on writing performance standards.
              This is a very important aspect of the workshop
              so instructors and participants should be fully
              satisfied with the progress made in this area
              before moving on.

C.   Review:

     Be sure you have answered all of the participants'
     questions, addressed their comments, and that all
     participants understand the material from Day 1 before
     moving on to the next activity.

Time Required	Outcome	Method
120 min.	Participants will be comfort- able in conducting an in- progress review counselling session.	1. Lecture. 2. Role playing exercise. 3. Discussion.

A. Objectives:

  1. Participants will be able to correctly list, without the use of notes, at least two of the three occasions when in-progress review discussions are required by the regulation.

  2. Participants will be able to discuss, with or without the use of notes, at least two behaviors that help supervisors conduct counselling/interview sessions and at least two behaviors that hinder supervisors in conducting counselling/interview sessions.

B. Instructor Notes:

  STEP 1 - Now that you have written good objectives and given them to the employee, you can relax, right? (Hopefully the participants will respond; Wrong!) Unless good objectives are used on the job and ultimately in the appraisal process, you have wasted your time. How to effectively use the objectives will be the topic of discussion for today. We will start by talking about in-progress review counselling or interviewing.

  STEP 2 - Show vugraph 16-1. Simply stated, in-progress review means periodic discussions. AR 690-400 requires periodic discussions take place as a minimum at the mid-point of the appraisal period and when an employee's performance has become marginal or unsatisfactory. Discussions should also occur whenever an employee's job elements change or the standards for elements already identified change. Ask the question: To most effectively supervise an employee, when should in-progress reviews take place? (Make a list of participant responses on chart paper.)

  STEP 3 - Set the stage for the role playing activity.

      a. Ask the participants to break up into the same groups used in the performance standards exercise from day 1. Each group

will select one person to play the role
of supervisor and one person to play the
role of employee. The rest of the group
will be observers for the first role play.
Observers will use the checklist provided
by instructors (handout 16-1) as a guide-
line to assess the effectiveness of the
interview and provide feedback to the
person in the supervisory role.

b. Instructors pass out the supervisor and
employee instructions sheets (Handouts 16-2
and 16-3) and the observer checklists
(Handout 16-1) to the appropriate people
in each group.

Note: Job descriptions and performance
standards to be used for role playing will
be selected from the materials already used
by the groups to write the performance
standards. Selection of which job descrip-
tions and standards to use can be done
beforehand by the instructors or can be
left to the groups to decide.

c. Begin the first role play. Allow 10-15
minutes for the role play and 5 minutes
for feedback. (Employee reactions, super-
visor reactions, then observer feedback.)

d. Have participants switch roles within each
group and do a second role play using the
same job description and performance
standards. Different supervisor and
employee instruction sheets should be used
(Handouts 16-4 and 16-5). Allow 10-15
minutes for the role play and 5 minutes for
feedback.

e. Give each group 10 minutes to develop one
or more general'zations about supervisory
behaviors that help or hinder the counselling
process.

STEP 4 - Reform the entire group and discuss the generali-
zations about supervisory behaviors the groups
came up with. (Write responses on chart paper.)

C. Review:

The discussion should elicit comments concerning communica-
tion skills such as observing nonverbal messages, active
listening, barriers to communication, giving feedback,
proper preparation for the session, etc. Module 17

contains short discussions/lecturettes of these
subjects to be used as needed to maximize participants'
learning of skills to provide effective counselling/
interviewing. If equipment is available, video taping
the role playing exercise and allowing participants to
review the tapes can be particularly enlightening.
Video taping, however, will increase the amount of time
needed for the exercise.

IN-PROGRESS REVIEW

*   PERIODIC DISCUSSIONS

*   MIDPOINT REVIEW MANDATORY

*   MORE OFTEN FOR EMPLOYEES NOT MEETING STANDARDS
        (MARGINAL OR UNSATISFACTORY)

*   DISCUSSION WHEN ELEMENTS OR STANDARDS CHANGE

Role Playing
Observer Instructions

During the role play activity take note of the following:

1. Observe the manner in which the supervisor begins the counselling session/interview.

    a. What, if anything, did the supervisor do to make the employee feel comfortable?

    b. What, if anything, did the supervisor do to create a participative atmosphere?

    c. Did the supervisor state the purpose of the interview early in the session?

    d. Was the purpose stated clearly and concisely?

2. Observe how the counselling session/interview is conducted.

    a. Did the supervisor use broad, general questions?

    b. Did the supervisor try to find out how the employee feels about the job in general?

    c. Did the supervisor criticize?

    d. Did the supervisor praise?

    e. Did the supervisor accept the employee's feelings and ideas?

    f. Which one talked the most, the supervisor or the employee?

3. Observe and evaluate the outcome of the interview.

    a. What things did the supervisor do to motivate the employee to improve?

    b. Were relations better or worse at the end? Why?

    c. In what ways could the supervisor have done a better job with the interview?

Comments:

Role Playing

Supervisor's Instructions #1

You have been the supervisor of this employee for the past 8 months. Six months ago you and the employee discussed and accepted the job performance standards. Initially, the employee started out like a house afire and did an exceptional job for about two months. Over the last four months you have noticed a steady decline in performance. The interview today is the mandatory mid-point in-progress review session and you are going to have to tell the employee that his/her performance is marginal.

Role Playing

Employee's Instruction #1

You have been working for the same supervisor for the last 8 months. Six months ago you and your boss discussed and accepted the job performance standards for your job. Initially, you were very pleased with the standards and for the first two months you did an exceptional job. You have been in the job for 6 years. Four months ago you found out that a job you have been hoping to be promoted into someday would become vacant in a few months because the incumbent is going to retire early due to poor health. You have had to double your night school workload to try to complete the educational requirements for the new job.

Role Playing

Supervisor's Instructions #2

You have been on the job for one month. The interim report left to you by the previous boss indicates that this employee borders on marginal performance. You have observed him/her for the last 30 days and this is your first formal counselling session. The employee's performance has been marginal bordering on unsatisfactory. You have reviewed the job's performance standards and they appear to be reasonable and attainable to you.

Role Playing

Employee's Instructions #2

You have been in the same job for 19 years. Before GPAS came along, your evaluations were usually pretty good. You even got an outstanding rating several times. Now that GPAS is around you have been having a hard time. You have not done too well on meeting your objectives. Your last boss and you got into a big argument because you felt his objectives were unreasonable and unfair. You are pretty sure his interim evaluation of you was not a good one. This will be your first real opportunity to talk to the new boss about your objectives and you are hoping he/she will listen to reason.

Time
Required   Outcome   Method

0-30 min.   Participants will be   Discussion, ques-
                   provided with informa-   tions and answers.
                   tion concerning counsel-
                   ling skills.

A.   Objective.

Participants will be aware of the various skills that can
enhance their ability to conduct performance counselling
sessions.

B.   Instructor Notes:

(The following sections are available to use as needed
depending on the background, needs, and interests of the
participants. All or parts of the following may be used
to augment the discussion begun in module 16.)

Communication

Barriers to Communication

STEP 1 - Briefly discuss "What is communication?"
         Possible responses will be:
         1. Hearing what another person says.
         2. Being able to understand another person.
         3. Expressing yourself or your own ideas.
         4. Verbal, non-verbal and written means in
            order to express your thoughts and ideas.
            Communication involves a sender and a
            receiver.

STEP 2 - Ask the questions: What are barriers to
         communication? Can you think of some barriers
         to communication?

STEP 3 - Show vugraph 17-1 and discuss barriers that
         participants didn't think of.

         Listening: The receiver must not only hear
                    what is said but must also
                    understand what is said.

         Semantics: Is the science that deals with the
                    meaning of words. Sometimes
                    meanings vary between people
                    because of different cultures,
                    different backgrounds, different
                    experiences, different values, etc.

Trust and Credibility: Communication is   87
    usually easier between people who trust
    and believe in each other. If the
    receiver distrusts the sender or the
    sender has no credibility with the receiver,
    then the receiver may ignore or distort
    the message.

Evaluation: People have a natural tendency
    to make judgments. Premature judgments
    about what is being said may cause you to
    ignore factual data and formulate a
    response before the message is completed.

Noise: Is any factor that interferes with,
    distorts or confuses the communication.
    Things such as background or environmental
    noise, telephone line static, the receiver
    being under stress or ill, etc., can be
    noise.

Message: Sometimes the message may be too
    complex or abstract for the receiver.
    Messages can be poorly expressed due to
    disorganized ideas, clumsy sentence ·
    structure, too much information, etc.

Selective Listening: People have a natural
    tendency to reject information that is at
    variance with the existing structure of
    reality. "We hear what we want to hear."

Rank: Most supervisors are not aware that
    rank is a barrier. They feel they are
    accessible. There is a general reluctance
    by subordinates to discuss job problems
    with their superiors. Handout 17-1 can be
    provided to participants for them to do
    at their leisure or in the workshop.

Active Listening

STEP 1 - Show vugraph 17-2. Active listening means
    that you (the receiver) provide indicators
    to the sender that you have in fact been
    listening. The vugraph indicates ways in
    which you can do that.

    Paraphrasing: Restating what the person has
        said using different words.

    Nonverbal Cues: Actions that indicate you
        are listening such as nodding the head,
        leaning toward the speaker, etc.

Summarizing: Statements such as "You feel 88 then that..." or "We've talked about ... and ..." They are re-statements of what has already been said.

Interpreting: Comments such as "By that you mean..."

Clarifying: Asking questions like "I'm not sure I understand ... could you explain that for me?" or "What do you mean when you say ...?"

STEP 2 - Give participants handout 17-2.

Nonverbal Messages

STEP 1 - What are nonverbal messages?

STEP 2 - Show vugraph 17-3.

Giving Good Feedback

STEP 1 - Providing timely and regular feedback to employees is very important in the total appraisal process. Supervisors should frequently praise and encourage the employee who is meeting objectives and assist and guide the employee who is not. The employee should be told of a problem as soon as the supervisor becomes aware of it. Do Not Wait until the formal performance appraisal (end of the rating period) to tell an employee that performance is unacceptable.

STEP 2 - Show vugraph 17-4.

a. Focus on behavior not the person: Discuss what the employee does rather than what you think he is. Example: Say "the employee talked for 45 minutes in the meeting" rather than "he is a loudmouth."

b. Focus on observation not opinion: What did you see or hear in the employee's behavior? For instance, "You hesitated for several minutes before making your presentation" rather than "You don't seem to know your subject." When you do offer an opinion, and it may be valuable to do so sometimes, it is important that you identify it as opinion. Be descriptive, not evaluative.

183

c. Focus on what not why: When you relate   89
the discussion to the how, when, or what
was done, it is related to observable
behavior. If you relate the discussion
to "why" things were done, you are
focusing on intent and this can lead to
hard feelings. Do not assume intent.

d. Focus on a specific situation: Discussions
will be most meaningful if the feedback
is given as soon as the performance is
observed and is in reference to a parti-
cular situation.

e. Focus on sharing: By sharing ideas and
information, the supervisor leaves the
employee free to decide how to use the
ideas in light of his/her own objectives.
On the other hand, when the supervisor
gives advice, the employee is told what
to do with the information. By giving the
employee the freedom to choose his/her
course of action, usually more commitment
to succeed is the result.

f. Focus on appropriate time: Because
receiving and using feedback may involve
emotional reactions, it is important for
the supervisor to be sensitive to the
"right" time and place to give his feed-
back/evaluation. Excellent performance
information given at an inappropriate
time may do more harm than good.

g. Self-explanatory.

C. Review:

Participants should be comfortable with the material and
understand its application to the counselling/appraisal
process prior to moving on to the next module. Partici-
pants are expected to demonstrate communication skills
in the next role playing exercise.

184

BARRIERS TO COMMUNICATION

*   LISTENING

*   SEMANTICS

*   TRUST AND CREDIBILITY

*   EVALUATION

*   NOISE

*   MESSAGE

*   SELECTIVE LISTENING

*   RANK

IS YOUR DOOR REALLY OPEN?

		Usually	Sometimes	Seldom
1.	Do your subordinates voluntarily bring early-stage problems to you?	10	5	0
2.	Do they seek your advice on ways to do their jobs better?	10	5	0
3.	Do you have to check up on them frequently?	0	5	10
4.	Do most of the new ideas originate with your subordinates?	10	5	0
5.	If one of them makes a costly mistake, will he/she try to cover it up?	0	5	10
6.	Do you frequently have to "referee" squabbles?	0	5	10
7.	Do your subordinates grumble and "bitch" among themselves?	0	5	10
8.	In conferences, do you do most of the talking?	0	5	10
9.	Do you frequently ask your subordinates for their opinions?	10	5	0
10.	Do you stop to chat with your subordinates for no special reason?	10	5	0
	Totals	___	___	___

Score: _____

0	50	100
0_____	0 _____	0
Your "door" is a brick wall!	It's "ajar"	Your door is open

ACTIVE LISTENING

* PARAPHRASING

* USING NONVERBAL CUES

* SUMMARIZING

* INTERPRETING WHAT IS SAID

* CLARIFYING

* TAKING NOTES

* MAINTAINING EYE CONTACT

TEN COMMANDMENTS FOR GOOD LISTENING

1. <u>Stop Talking</u>.

    You can't listen if you are talking. Polonius (Hamlet):
    "Give every man thine ear, but few they voice."

2. <u>Put The Talker At Ease</u>.

    Help them feel that they are free to talk. This is
    often called a "permissive environment."

3. <u>Show Them That You Want To Listen</u>.

    Look and act interested. Do not read your mail while
    they talk. Listen to understand rather than to reply.

4. <u>Remove Distractions</u>.

    Don't doodle, tap, or shuffle papers. Will it be quieter
    if you shut the door?

5. <u>Empathize With Them</u>.

    Try to put yourself in their place so that you can see
    their point of view.

6. <u>Be Patient</u>.

    Allow plenty of time. Do not interrupt. Don't start
    for the door or walk away.

7. <u>Hold Your Temper</u>.

    An angry person gets the wrong meaning from words.

8. <u>Go Easy On Argument And Criticism</u>.

    This puts people on the defensive. They may "clam up"
    or get angry. Do not argue, even if you win, you lose.

9. <u>Ask Questions</u>.

    This encourages them and shows you are listening. It
    helps to develop points further.

10. <u>Stop Talking</u>.

    This is first and last, because all other commandments
    depend on it. You just can't do a good listening job
    while you are talking.

NONVERBAL MESSAGES

*   FACIAL EXPRESSIONS

*   POSTURE

*   FOCUS OF EYES

RULES FOR GIVING FEEDBACK

1. Focus discussion on <u>behavior</u> rather than the person.

2. Focus discussion on <u>observations</u> rather than opinions.

3. Focus discussion on <u>what</u> was done rather than why it was done.

4. Focus discussion on behavior related to a <u>specific</u> situation (preferably the "here and now").

5. Focus discussion on the <u>sharing</u> of ideas and information.

6. Focus performance appraisal/counselling discussion at the appropriate time.

7. Focus comments only on those things the employee has the power to change.

Time Required	Outcome	Method
45 min.	Participants will be able to properly prepare for a counselling/appraisal session with an employee.	1. Lecture, questions and answers. 2. Show Part III: "Performance Appraisal" of film, "MBO and Performance Appraisal."

A. Objective:

Participants will be able to list correctly at least 5 steps to be taken in preparing for a counselling/appraisal session without the use of notes.

B. Instructor Notes:

STEP 1 - Properly preparing for the counselling or appraisal session can enhance the effectiveness of the discussion. The goal of the discussion is mutual understanding of actual performance results by the employee (in comparison to the supervisor's expectations as stated in the established standards) and future actions to improve performance.

STEP 2 - Show vugraph 18-1.

a. Review the employee's performance standards. Look at the Job Performance Planning Worksheet.
b. Review your notes from previous discussions and observations of performance. Have these available to back you up during the discussion.
c. Notify the employee of the time of the discussion far enough in advance so that he/she can properly prepare.
d. Hold the discussion at a place and time that will assure an uninterrupted meeting. Allow enough time so the discussion is unhurried.
e. Help the employee to feel comfortable so he/she will be at ease and feel free to talk.
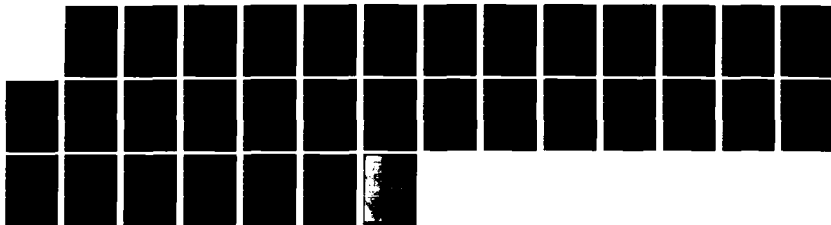f. Avoid getting into an argument.

191
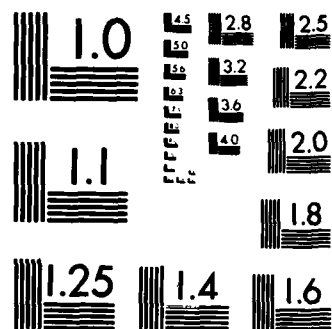
MICROCOPY RESOLUTION TEST CHART
NATIONAL BUREAU OF STANDARDS-1963-A

g. Be sure you understand each other. Use words suitable to the employee's level of experience. Ask questions and encourage the employee to ask questions.

h. If you are going to take notes, do it openly and with the employee's permission.

STEP 3 - Introduce the film, Part III - "Performance Appraisal" by saying: Over the last day and a half we have worked on writing good performance standards/objectives and counselling employees as they move through the rating period to help them be successful. Appraising performance is often a difficult process. We have attempted to provide you with some methods and ideas that can make the appraisal process a little easier. The film is going to emphasize the steps we've just talked about to make the appraisal process more effective.

STEP 4 - Show the film.

STEP 5 - Process the film. The film ended with a thought-provoking "unless we've stopped caring too..." Do you think it's important that a supervisor be concerned about employees' thoughts and feelings? Discuss this question with participants. Additional questions that may be asked are:

a. Why are work habits so hard to change?

b. People like Charlie, who try to change the way things are done, often run into frustrating barriers. Has that ever happened to you? What did you do?

c. Charlie said that the best boss he ever had was one "who knew how to shut up and listen..." How well are people listened to in your organization? What can you do to improve the situation?

C. Review:

The film emphasizes the points brought up in the opening discussion. Participants should understand the importance of thorough preparation for a counselling/appraisal session.

THE COUNSELLING/APPRAISAL PROCESS

1. Prepare in advance.

2. Have facts available to back up comments.

3. Give the employee time to prepare.

4. Set aside 1-2 hours for the talk.

5. Put the employee at ease.

6. Explain why you are having the session.

7. Have the employee review performance against the
    objectives.

8. Compare your assessment/evaluation with the employee's
    and back it up with facts.

9. Find out what the employee's improvement plans are and
    get commitment to action.

10. Keep the talk positive. Do not damage the employee's
    self-esteem.

11. Write up the appraisal and the new objectives (when a
    formal appraisal is due).

Time Required	Outcome	Method
40 min.	Participants will be comfortable in conducting an appraisal interview.	Role playing exercise.

A. Objective:

Participants will be able to estimate the effectiveness of an appraisal interview by indicating on the counselling/appraisal checklist the presence or absence of acceptable procedures during a role playing experience.

B. Instructor Notes:

STEP 1 - Now that you have been provided with a wealth of information to assist you in performing your duties as a supervisor, we are going to give you an opportunity to test how effective these methods are in conducting an appraisal interview. Charlie's boss provided you with a pretty good role model.

STEP 2 - Set the stage for the role playing activity.
a.   Ask the participants to break up into the same groups again. Each group will select one person to play the role of the supervisor and one person to play the role of the employee. All other members of the group will observe using the counselling/ appraisal checklist provided by the instructors. (Handout 19-1)
b.   Instructors pass out the supervisor and employee instruction sheets (Handouts 19-2 and 19-3) and the appraisal checklist (Handout 19-1) to the appropriate people in each group.
Note: Each person who assumes the supervisory role will use the same description and performance standards that were used in the first role playing situation earlier in the day.
c.   Give people in the supervisory role about 5 minutes to make some notes concerning the employee's performance before beginning the role play.
d.   Begin the first role play, using handouts 19-1, 19-2, 19-3. Allow 10-15 minutes for

the role play and 5 minutes for feedback   100
(employee reactions, supervisory reactions,
then observer feedback).

e. Have participants switch roles within each
group and do a second role play using the
same job description and performance
standards and handouts 19-1, 19-4, and 19-5.
Allow 10-15 minutes for the role play and
5 minutes for feedback.

f. Give each group 10 minutes to discuss what
was helpful, what they did better in the
second role play and any other issues they
feel are relevant.

STEP 3 - Re-form the group and ask a representative from
each group to report out on how the group felt
and the issues they discussed.

C. <u>Review</u>:

It is important to give the participants adequate time to
reflect on the role playing experience. Sharing comments
with the entire group gives everyone an opportunity to
consider other ideas/learning. Allow enough time at the
end of the exercise for everyone to participate who may
want to do so.

If equipment is available, video taping the role playing
exercise and allowing participants to review the tapes
can be particularly enlightening. Video taping, however,
will increase the amount of time needed for the exercise.

COUNSELLING/APPRAISAL CHECKLIST

YES   NO

_____ _____   1.   Did the supervisor's actions indicate he/she had prepared in advance?

_____ _____   2.   Did the supervisor have facts available to back up his/her comments?

_____ _____   3.   Was there evidence that the supervisor had given the employee time to prepare?

_____ _____   4.   Did the supervisor provide for an uninterrupted discussion and allow enough time to thoroughly discuss important issues?

_____ _____   5.   Did the supervisor attempt to put the employee at ease and encourage a participative atmosphere?

_____ _____   6.   Did the supervisor explain the purpose of the session?

_____ _____   7.   Did the supervisor ask the employee to review his/her performance against the objectives (standards)?

_____ _____   8.   Did the supervisor compare his/her assessment/evaluation with the employee's and back it up with facts?

_____ _____   9.   Did the supervisor find out what the employee's improvement plans are and get commitment to action?

_____ _____ 10.   Did the supervisor keep the talk positive and try to prevent damage to the employee's self-esteem?

_____ _____ 11.   (For formal/final appraisal session only) Did the supervisor indicate when the employee would receive the final written appraisal? Did the supervisor ask the employee to write up new objectives and set a date for reviewing them?

COMMENTS:

Role Playing (2)

Supervisor's Instructions #1

You have been the supervisor of this employee for the past 14 months. Six months ago at the midpoint in-progress review session you evaluated this employee as marginal. At that time he/she told you that the reason he/she was not meeting some objectives was because of night school and that you would see improvement for the rest of the rating period. Although some improvement was demonstrated, the employee is barely meeting the standards for the critical elements of the job.

Role Playing (2)

Employee's Instructions #1

You have been working for the same supervisor for the last 14 months. At the midpoint in-progress review session you were evaluated as marginal because you were barely meeting the standards on two critical elements of your job. You were taking a double load of classes to finish night school so that you could qualify for a promotion. You promised the boss you would not let night school interfere with your job performance anymore and that you would reduce your class load if that's what you had to do to improve your job performance. You did not reduce your class load at night school because you want to qualify for the promotion very badly and you thought you could handle the load. You have not been able to handle school and your job and you are barely meeting the standards for the critical elements of your job. To make matters worse, you have been absent from work quite a bit lately because you have been getting sick a lot because you are so run down from trying to do too much.

Role Playing (2)

Supervisor's Instructions #2

You have supervised this employee for 6 months. You have
an interim appraisal from the previous boss that indicates
the employee's performance was marginal. You had your first
counselling session with the employee after you had been in
the job for one month. At that time, based on some reasonable
complaints from the employee, you agreed to adjust several of
the performance standards. Since then, the employee has shown
tremendous improvement. He/she is exceeding several standards
and you are considering giving him/her a highly successful
rating. You do not feel you can give an exceptional rating
because of the previous boss's marginal interim report but
you want this employee to continue to do well.

Role Playing (2)

Employee's Instruction #2

You have been in the same job for over 19 years. You had some problems with your previous boss because you didn't agree with his performance standards. When he left, you were given an interim appraisal that indicated your performance was marginal. About a month after your new boss arrived, you had a long talk with him and he adjusted several of your performance objectives to make them more reasonable. Since then you have been doing exceptionally well. Your boss has been very helpful and supportive of you and you get along with him very well. You are hoping that he is going to give you an exceptional rating.

Time Required	Outcome	Method
10 min.	Participants will under-stand the types of appraisals, performance rating levels, and link between appraisals and personnel decisions.	1. Vugraph 20-1. 2. Vugraph 20-2. 3. Vugraph 20.3.

A. **Objectives:**

1. Participants will be able to verbally explain the four types of appraisals in the GPAS to an audience of their peers, with or without notes, as given in vugraph 20-1.

2. Participants will be able to list (in writing) the five performance rating levels in the GPAS, with or without notes, as given in vugraph 20-2.

3. Participants will be able to explain at least four ways that appraisals are linked to personnel decisions, to an audience of their peers, with or without the use of notes, as given in vugraph 20-3.

B. **Instructor Notes:**

STEP 1 - Show vugraph 20-1, types of appraisals.

   a. **Annual** - Normally, the rating period will cover a one year period, but in no case will it be reduced to less than 120 days. Employees assigned a "marginal" rating will be re-evaluated in 6 months. This will not affect the next regular annual appraisal which will be done 12 months after the original marginal rating.

   b. **Probationary** employees' (including new super-visors/managers) appraisals will be completed at the end of the fourth and eighth month of the probationary period. They are due 30 days following the end of each rating period.

   c. **Interim** appraisals will be completed for sub-ordinate employees when the supervisor is leaving the position or when an employee is reassigned to a position at the same grade level with essentially identical duties and responsibilities.

d. <u>Special</u> appraisals are to be completed during the last week of a temporary assignment exceeding 120 days.

e. <u>Postponed Appraisals</u> - Ratings <u>must</u> be postponed when the employee has not served 120 days in a position. A rating <u>may</u> be postponed when the supervisor is newly assigned (less than 120 days) or an employee's performance is temporarily marginal or unsatisfactory and shows evidence of improvement. Postponed appraisals will not normally exceed 120 days.

STEP 2 - Show vugraph 20-2, performance rating levels.

<u>Exceptional</u>. Performance that exceeds performance standards (other than absolute standards) for all major job elements. Performance in relation to standards is of such quality that it could only be achieved by the most exceptional employee. This employee deserves special recognition.

<u>Highly Successful</u>. Performance that exceeds performance standards (other than absolute standards) for all critical elements and meets standards for all other major job elements. Performance in relation to performance standards is of such quality that it could only be achieved by employees who are above average.

<u>Fully Successful</u>. Performance that at least meets performance standards for all major elements. Performance in relation to standards is of such quality that it would be expected only of a proven, competent employee.

<u>Marginal</u>. Performance that meets performance standards for all critical elements and fails to meet the standards for one or more other major job elements. Performance compared to standards is less than that expected of a proven, competent employee.

<u>Unsatisfactory</u>. Performance that fails to meet performance standards for one or more critical elements. Performance is clearly unacceptable, and corrective action is required.

STEP 3 - Show vugraph 20-3, linking appraisal to personnel decisions.

Since one of the primary purposes of performance appraisal is as a basis for related personnel decisions, the completed employee appraisal may trigger action to:

- Provide additional needed training.
- Award or deny a within-grade increase.
- Recognize performance, either monetary or honorary recognition.
- Evaluate employees for promotions.
- Remove an employee from or retain in a position during the probationary period.
- Retain an employee during reduction-in-force. Current exceptional rating - 4 years added to creditable service for RIF purposes; current highly successful rating - 2 years added to creditable service.
- Reassign, reduce in grade, or remove an employee who continues to demonstrate unacceptable performance after being given assistance and an opportunity to improve.

C. Review:

Insure participants understand the types of appraisals, performance rating levels, and link between appraisals and personnel decisions.

TYPES OF APPRAISALS

*   ANNUAL

*   PROBATIONARY

    -   END OF FOURTH AND EIGHTH MONTH

    -   DECISION TO RETAIN/REMOVE IN 9TH MONTH

*   INTERIM

    -   SUPERVISOR LEAVING

    -   EMPLOYEE REASSIGNED

*   SPECIAL

    -   TEMPORARY ASSIGNMENTS

    -   SPECIAL PROJECTS

*   POSTPONED APPRAISALS

RATING LEVELS

* EXCEPTIONAL

   * HIGHLY SUCCESSFUL

    * FULLY SUCCESSFUL

     * MARGINAL

      * UNSATISFACTORY

PERSONNEL DECISIONS BASED ON APPRAISAL

*   TRAINING

  *   WITHIN-GRADE INCREASE

    *   RECOGNITION

      *   PROMOTION

        *   RETENTION

          *   REDUCTION-IN-FORCE

              -:   EXCEPTIONAL = 4 YEARS

              -:   HIGHLY SUCCESSFUL = 2 YEARS

          *   REASSIGNMENT, REDUCTION IN GRADE, REMOVAL

Time Required	Outcome	Method
20 min.	Understand how to complete DA Form 4969 and DA Form 4969-1.	Hand out sample forms and discussion.

A. Objective:

Participants will be able to accurately complete DA Form 4969 after reviewing the handouts and listening to the discussion.

B. Instructor Notes:

STEP 1 - Distribute handouts, sample DA Form 4969 and sample DA Form 4969-1.

STEP 2 - Part I - Administrative Data: 1, 3, 4, 5 self-explanatory; Item 2 - Dates must cover the total period being rated; Item 6 - Rating supervisor completes item during the ninth month for probationary employee. If separation block is checked, see CPO first.

STEP 3 - Part II - Major Elements Summary: Items 7a, b, c - attach copy of worksheet to DA Form 4969. Item 7d - Describe results achieved by employee, how he or she met, exceeded, or did not meet performance standards. Indicate strengths and weaknesses related to the major element being appraised. Item 7e - Compare results against performance standards and enter exceeded, met, not met, or N/A if employee had no opportunity to demonstrate performance for a major job element due to reasons beyond the employee's control. Discuss ratings with reviewer. Item 8 - Check "yes" or "no."

STEP 4 - Part III - Individual Development Plan: Item 9 - During performance appraisal discussion with employee discuss most recent IDP and in item 9, explain to what extent the current IDP was accomplished. Item 10 - Identify training needed by employees to reach or improve the desired level of competence to perform their present jobs at a fully successful or better level. Include course titles, place, dates, if known. Item 11 - Indicate the type of assignment(s) or cross-training needed to improve

competence, to develop qualifications for   113
present job, or to perform new missions given
organization. <u>Item 12</u> - What can employee
do on own to improve level of competence?

STEP 5 - Part IV - Performance Level: Completed only for
annual appraisals. Check the rating level which
best describes the employee's overall performance
as described in Part II - item 7d.

STEP 6 - Part V - Employee Comments: Provide the employee
a reasonable amount of time to review the form
and enter any comments regarding parts II, III,
and IV. Employee does <u>not</u> sign 15d, yet.

STEP 7 - Part VI - Authentication: <u>Item 15a</u> - Rating
supervisor signature certifies that the appraisal
has been discussed with the employee and that
the employee has been given the opportunity to
enter comments in Part V. Dated within 30 days
of the end of the rating period. <u>Items 15b,
15c</u> - Dated and returned to supervisor within 15
days of receipt. <u>Item 15d</u> - Employee signs and
dates all copies (3), keeping the original and
returning copies to rating supervisor.

C. <u>Review</u>:

Do participants have any questions?

EMPLOYEE PERFORMANCE APPRAISAL
For use of this form, see AR 690-400, Chapter 430; the proponent agency is DCSPER.

PAGE NO. 1 **NO. OF PAGES** 2

PART I - ADMINISTRATIVE DATA

1. NAME (Last, First, MI) AND SSN
Sparks, John NMI 111-00-1111

2. RATING PERIOD
FROM: 1 Sep 81   THRU: 31 Aug 82

3. POSITION TITLE, PAY PLAN, SERIES, GRADE, AND JOB DESCRIPTION NO.
Electrician WG-2805-10 DA-108-C

4. NAME AND LOCATION OF EMPLOYING ACTIVITY
DFAE Fort Swampy, Mississippi

5. TYPE OF APPRAISAL
☒ ANNUAL ☐ INTERIM
☐ PROBATIONARY ☐ SPECIAL

6. PROBATIONARY PERIOD RECOMMENDATION (For probationary employees, including new supervisors or managers)
☐ RETENTION IN POSITION IS RECOMMENDED.
☐ SEPARATION FROM POSITION IS RECOMMENDED. (See enclosed 67 31)

PART II - MAJOR ELEMENTS SUMMARY

7. a. MAJOR JOB ELEMENT	b. CRITICAL ELEMENT	c. PERFORMANCE STANDARDS	d. RESULTS ACHIEVED	e. ELEMENT RATING
(1) Secondary power distribution systems installation and maintenance.	Yes	(1a) Complete installations with-in 90-110% of estimated work order time.	(1a) Employee completed 850 installations and only 15 ran over the given standard. These were reviewed with the employee and corrective actions have been taken which mainly were outside the actions of the employee.	Met
		(1b) Complete installations to meet National Electric Codes with no major or safety violations discovered by spot checks, complaints, or inoperative equipment.	(1b) No major safety code violations were found on any work done by this employee. Ten minor violations were found, but all were corrected by the employee and caused no breakdown of equipment, unsafe working conditions, or reduction to DFAE mission requirements.	
		(1c) Make installations according to plans, blueprints, or verbal instructions. No major deviations are permitted without prior approval of the supervisor.	(1c) Performance in this area met standards. All deviations were cleared with supervisor.	
		(1d) Observe maintenance schedules according to set priorities and instructions 90 to 95% of the time.	(1d) All priority maintenance schedules were met, however, routine checks were at the 90% standard many times. This will be reviewed to see if standard needs to be changed or if corrective action can be taken by the employee.	

8. DA FORM 4846-1 (EMPLOYEE PERFORMANCE APPRAISAL - PART II CONTINUATION) ATTACHED ☒ YES ☐ NO

DA FORM 4969, APR 81 REPLACES DA FORM 1982, 1 MAY 69, WHICH IS OBSOLETE.

PART III - INDIVIDUAL DEVELOPMENT PLAN (IDP)

9. STATUS OF PREVIOUS PLAN (Briefly extent to which previous IDP was completed)

The employee was only scheduled for one course on power switching equipment for Digital Systems. Due to a priority requirement he was unable to attend.

10. FORMAL TRAINING NEEDED OR RECOMMENDED

A. TMDE Alarm System, 1st Qtr, FY 83, 5 days, TMDR Factory.

B. Automatic Power Switching Equipment, 1st Qtr, FY 83, 10 days, Buss Switching Co.

C. Electrical testing devices, 2nd Qtr, FY 83, 10 days, Ft. Rucker (Course PRTS-SSW).

11. DEVELOPMENTAL ASSIGNMENTS

30-day detail to Diagnostic Section for OJT on new test equipment. 2nd Qtr, FY 83 (after Ft. Rucker course).

12. SELF-DEVELOPMENT ACTIVITIES

Correspondence course from National Schools on Digital Test Equipment.

NOTE: PROMPTLY FORWARD INFORMATION IN COMPLETED IDP TO CPO, ATTN: T&D BR

PART IV - PERFORMANCE LEVEL

13. OFFICIAL RATING		EXCEPTIONAL		HIGHLY SUCCESSFUL		FULLY SUCCESSFUL	X	MARGINAL		UNSATISFACTORY

PART V - EMPLOYEE COMMENTS

14. EMPLOYEE COMMENTS (Provide comments on your supervisor's appraisal of your performance and your jointly planned IDP)

I recognize my need for improvement in power switching and overload devices and feel the programmed training will allow me to perform to all desired standards.

PART VI - AUTHENTICATION

15. SIGNATURES	NAME, GRADE (if civilian), TITLE & ORGANIZATION	DATE
a. RATING SUPERVISOR	Ralph A. Johnson, Foreman, DFAE	24 Sep 82
b. REVIEWER	Harvey Henry, General Foreman, DFAE	5 Oct 82
c. APPROVING OFFICIAL	Harvey Henry, General Foreman, DFAE	5 Oct 82
d. EMPLOYEE	John Sparks, Electrician	7 Oct 82

116

EMPLOYEE PERFORMANCE APPRAISAL - PART II CONTINUATION

For use of this form, use AR 690-400, Chapter 430; the proponent agency is DCSPER.

PART I - ADMINISTRATIVE DATA

PAGE NO.	NO. OF PAGES
2	2

1. NAME (Last, First, MI) AND SSN
Sparks, John NMI 111-00-1111

2. RATING PERIOD
FROM: 1 Sep 81   THRU: 31 Aug 82

3. POSITION TITLE, PAY PLAN, SERIES, GRADE, AND JOB DESCRIPTION NO.
Electrician WG-2805-10 DA-108-C

PART II - MAJOR ELEMENTS SUMMARY (Continued)

a. MAJOR JOB ELEMENT	b. CRITICAL ELEMENT	c. PERFORMANCE STANDARDS	d. ACTUAL RESULTS ACHIEVED	e. ELEMENT RATING
		(1e) Make on-the-spot corrections to defects found during maintenance checks. Inform correct personnel or office of the defects.	(1e) Excellent performance. On one occasion the repair of a defective circuit resulted in large savings on repair cost and downtime. This also allowed this organization to complete a critical mission.	Met
(2) Central power systems inspection and maintenance.	Yes	(2a) Run required inspections and tests of critical central system and equipment without deviation from schedule unless prior supervisory approval is granted.	(2a) He always met approved schedules for system tests. Whenever a deviation from the schedule was required, he made recommendations for corrections. These always were accepted by the supervisor or units requiring the power systems.	
		(2b) Complete all repairs within 93 to 95% of scheduled time, according to preventive maintenance, test schedules, and work order requests.	(2b) While many repairs were done within this standard, he needed too much of his supervisor's time for guidance to maintain automatic power switching systems and overload devices. Employee needs more training or OJT on this equipment. This should allow him to reach this standard. The standards for this element were reviewed against other employees doing like work. Therefore, the supervisor feels the standard is correct for this task.	
(3) Test equipment operation.	No	(3a) Use test equipment suitable for the job being done. At all times use only current calibrated test equipment.	(3a) Employee had trouble using some of the latest test equipment, and understanding the THCR alarm system. While he had OJT on these, it is felt formal training on this equipment would allow him to meet desired standard for this task. Every effort will be made to provide him with this training ASAP. In the meantime, some more OJT will be given on the equipment he has problems with.	Not Met

DA FORM 4969-1
APR 80

211

MAJOR ELEMENT SUMMARY (Continued)

a. MAJOR JOB ELEMENTS	b. CRITICAL ELEMENT	c. PERFORMANCE STANDARDS	d. ACTUAL RESULTS ACHIEVED	e. ELEMENT RATING
(4) Compliance with safety rules and instructions.	No	(3b) Use the test results to diagnose malfunctions and determine extent of needed repairs.	(3b) He had no problem meeting desired standards of task with the exception mentioned in (3a) above. When that is completed, he should fully meet this standard.	Exceeded
		(4a) Always wear required protective gear. Use only approved tools and equipment.	(4a). Has fully met all standards in this area. Because of his personal interest in safety, he volunteered for the safety committee. After reviewing his performance the General Foreman selected him to be Chairman of the Employee Safety Committee for DPAE.	
		(4b) Follow safety instructions when working with electrical systems and equipment.	(4b) He exceeded all requirements for this task. He made many recommendations for improving safety instructions and methods. They were approved by the Director 97% of the time.	
		(4c) Report unsafe areas, activities, or equipment to proper personnel immediately when observed.	(4c) Always insured unsafe areas and conditions were reported and corrective actions taken. Thru his efforts in this task, DPAE's safety record improved over this rating period. He initiated and has given instructions to fellow workers on first aid for electrical shock victims. This was well received by all in DPAE.	

Time
Required	Outcome	Method
20 min.	Means to measure cognitive and attitude difference of participants from pre-test.	Paper and pencil exercise.

A. Objective:

Participants will answer, in writing, their responses to the questions on the post-test provided to them, without the use of notes.

B. Instructor Notes:

STEP 1 - Pass out the post-test to all participants. Participants who took version A in the pre-test will take version B in the post-test and vice-versa. Explain the test is designed to give the instructors and participants a means to determine the level of knowledge and general attitude of the participants toward the GPAS, after the workshop has been presented.

STEP 2 - Allow 15 minutes to complete post-test and then collect them.

STEP 3 - Go over answers to both versions of test.

C. Review:

Insure participants know why a pre- and post-test were given.

Name _____

1. Briefly describe what a major job element is under the
    General Performance Appraisal System (GPAS).

    _____

    _____

    _____

    _____

    _____

2. Briefly define what is meant by supporting tasks under
    the GPAS.

    _____

    _____

    _____

    _____

    _____

3. List at least 3 of the 4 types of appraisals described
    in AR 690-400, DA GPAS.

    1. _____

    2. _____

    3. _____

    4. _____

4. Circle True or False

    An acceptable performance standard is measurable, under-
    standable, attainable, and it covers the necessary level
    (you can tell when performance meets, exceeds, or does
    not meet the standard).

                                        True   or   False

5. Circle True or False

    To maximize usefulness when giving feedback, evaluative
    feedback should be given rather than descriptive
    information.

                                        True   or   False

Note: Questions 6-10 are to be answered by circling
        the number to the right that most accurately
        describes how <u>you feel</u> about the statement.

	Strongly Agree	Agree	No Strong Opinion	Disagree	Strongly Disagree
6. People at work really want to do their best.	5	4	3	2	1
7. People who have a say in what they do, work more efficiently.	5	4	3	2	1
8. Writing performance standards is worth the supervisor's effort.	5	4	3	2	1
9. In performance counselling it is important to find out how the employee thinks he or she did.	5	4	3	2	1
10. The role of supervisors/ managers today should be as a coach and counsellor.	5	4	3	2	1

Name _____

1. Briefly define what is meant by a critical element under the General Performance Appraisal System (GPAS).

   _____

   _____

   _____

   _____

   _____

2. Describe at least 2 of the 3 conditions when in-progress reviews are required under the GPAS.

   1. _____

   2. _____

   3. _____

3. List at least 3 types of civilian personnel decisions that are influenced by the GPAS.

   1. _____

   2. _____

   3. _____

4. List at least 4 steps in preparing for a performance counselling session.

   1. _____

   2. _____

   3. _____

   4. _____

5. Circle True or False

   AR 690-400, DA GPAS mandates that the major job elements of Personnel Management and Equal Employment Opportunity/ Affirmative Action will be designated as critical elements for all civilian supervisory positions.

                                   True   or   False

Note: Questions 6-10 are to be answered by circling the number to the right that most accurately describes how <u>you feel</u> about the statement.

	Strongly Agree	Agree	No Strong Opinion	Disagree	Strongly Disagree
6. People at work really want to know where they stand.	5	4	3	2	1
7. People should help make decisions affecting their work.	5	4	3	2	1
8. Writing performance standards takes time, but it is worth the effort.	5	4	3	2	·1
9. Performance counselling improves productivity.	5	4	3	2	1
10. It is important for supervisors to actively listen during performance counselling.	5	4	3	2	1

Time
Required	Outcome	Method
10 min.	Participants provide feedback on workshop.	Written evaluation form.

A. Objective

Participants will complete the workshop evaluation form, to provide feedback to instructors.

B. Instructor Notes:

STEP 1 - Pass out the course evaluation form. Allow 10 minutes or more to complete and then collect them.

STEP 2 - Explain how comments will be used.

C. Review:

Insure all forms are collected from participants.

Workshop Evaluation

Directions: Please give your candid reactions to this work-
shop by rating its characteristics on the seven-point scale
shown below. Circle the appropriate number on each scale to
represent your evaluation. Your comments are appreciated.

1. Objectives. For me, the objectives of this course were
    reached:

    Not at all   1   2   3   4   5   6   7   Completely

    Comments:

2. Utility. In terms of practical application and utility
    this course was:

    A waste   Highly
    of time   1   2   3   4   5   6   7   Useful

    Comments:

3. Instructors. The instructors were:

    Not well   Well
    prepared   1   2   3   4   5   6   7   Prepared

    Comments:

4. Recommendations for improvement of the course:

5. Comments on components of the course. 125

A/V Cassette - Films:

Role Playing:

Lectures:

Discussions:

Skill-Practice Activities (writing performance standards):

INITIAL DISTRIBUTION LIST

No. Copies

1. Defense Technical Information Center   2
   Cameron Station
   Alexandria, Virginia   22314

2. Library, Code 0142   2
   Naval Postgraduate School
   Monterey, California   93940

3. Associate Professor Richard A. McGonigal   1
   Code 54Mb
   Department of Administrative Sciences
   Naval Postgraduate School
   Monterey, California   93940

4. CPT (P) Rebecca S. Enck   1
   P. O. Box 164
   West Oneonta, New York   13861

5. CPT Kenneth C. Robertson, Jr.   1
   1007 Halsey Drive
   Monterey, California   93940

6. Assistant for Analysis, Evaluation (NMPC-6C)   1
   Human Resource Management & Personal Affairs Dept.
   Naval Military Personnel Command
   Washington, DC   20370

7. Director, Human Resource Management Division   1
   (NMPC-62)
   Human Resource Management & Personal Affairs Dept.
   Naval Military Personnel Command
   Washington, DC   20370

8. Director for HRM Plans and Policy (OP-150)   1
   Human Resource Management Division
   Deputy Chief of Naval Operations (Manpower,
       Personnel & Training)
   Washington, DC   20370

9. Commanding Officer   1
   Human Resource Management School
   Naval Air Station Memphis
   Millington, Tennessee   38054

10. Commanding Officer   1
    Human Resource Management Center London
    Box 23
    FPO New York   09510

221

11. Commanding Officer   1
     Human Resource Management Center
     5621-23 Tidewater Drive
     Norfolk, Virginia   23509

12. Commanding Officer   1
     Human Resource Management Center
     Pearl Harbor, Hawaii   96860

13. Commanding Officer   1
     Human Resource Management Center
     Naval Training Center
     San Diego, California   92133

14. Commanding Officer   1
     Organizational Effectiveness Center & School
     Fort Ord, California   93941

15. Commanding Officer   1
     Human Resource Management Center
     Commonwealth Building, Room 1144
     1300 Wilson Blvd.
     Arlington, Virginia   22209

16. Defense Logistics Studies Information Exchange   1
     U.S. Army Logistics Management Center
     Fort Lee, Virginia   23801

17. CDR J. A. Hough   1
     Commanding Officer
     Assault Craft Unit One
     Naval Amphibious Base
     Coronado, California   92155

18. Professor John W. Creighton, Code 54Cf   1
     Department of Administrative Sciences
     Naval Postgraduate School
     Monterey, California   93940

19. Headquarters, Department of the Army (DAPE-CPL)   1
     ATTN: D. Parker, Room 2C655 Pentagon
     Washington, DC   20310

20. U.S. Army Civilian Personnel Center   1
     ATTN: PECC-PE (R.H. Thornhill)
     200 Stovall Street
     Alexandria, Virginia   22332

21. Commander   1
     7th Infantry Division and Fort Ord
     ATTN: AFZW-CP (H. Onaka)
     Fort Ord, California   93941

22. Commandant   1
    Defense Language Institute
    ATTN: ATFL-CP (C. Middaugh)
    Presidio of Monterey, California   93940

23. Mr. Warren G. Watkins, Code 0041   1
    Civilian Personnel Office
    Naval Postgraduate School
    Monterey, California   93940

24. Mr. Hal Viereck   1
    Wiesbaden-Mainz Community CPO
    U.S. Military Community Wiesbaden
    APO New York   09457

END

FILMED

6-83

DTIC