

April 1989

MILITARY
PERSONNEL

Implementation Status
of Joint Officer
Personnel Policies



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National Security and
International Affairs Division

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April 7, 1989

The Honorable Sam Nunn
Chairman, Committee on
Armed Services
United States Senate

The Honorable Nicholas Mavroules
Chairman, Subcommittee on
Investigations
Committee on Armed Services
House of Representatives

The Senate Committee on Armed Services and the Subcommittee on Investigations, House Committee on Armed Services, asked us to report on the status of Department of Defense (DOD) implementation of selected provisions of title IV of the Goldwater-Nichols DOD Reorganization Act of 1986. Title IV sought to improve the quality of officers assigned to joint duty,¹ increase their education and experience levels, and expand their exposure to joint (multiservice) matters.

To improve the preparation of officers assigned to joint duty, title IV established a category of officers known as joint specialty officers who are educated and experienced in the employment of unified forces. Further, it established a category of positions, called critical billets, that can only be filled by joint specialists. The act also set promotion objectives for joint specialists and other officers assigned to joint duty to ensure that high quality officers are selected for joint duty positions. In addition, it set requirements for career guidelines and established minimum tour lengths for joint duty assignments.² Title IV also required policies emphasizing education and experience in joint matters to be established for reservists.

We examined (1) the quality of officers assigned to joint duty, (2) the quality of officers selected for the joint specialty, (3) achievement of promotion targets, (4) application of the Reorganization Act to reservists, (5) career guidance, and (6) efforts undertaken to meet reporting requirements.

¹A joint duty assignment is an assignment to a designated position in a multiservice or multinational command or activity.

²For a detailed discussion of these requirements see Military Personnel: Impact of Joint Duty Tours on Officer Career Paths (GAO/NSIAD-88-184BR, June 6, 1988); and Military Personnel: Proposals to Modify the Management of Officers Assigned to Joint Duty (GAO/NSIAD-88-78BR, Apr. 19, 1988).

Quality can be viewed in several different ways, including, for example, the act's concern with improving quality by increasing the preparation of officers for joint duty. For our report, we focused on several indicators that the services commonly use to identify high potential officers. These include completion of intermediate and senior service schools, selection for command, and promotion at a faster than normal rate. We also looked at officers previously considered and passed over for promotion, which is an indicator of lower potential officers.

Results in Brief

We found that the level of progress in implementing title IV varies.

- Generally, quality officers are being selected as joint specialists and assigned to joint duty but quality differs by grade and service. Of particular concern was the quality of Air Force, and to a lesser extent, Navy officers assigned to critical billets.
- The services are not consistently meeting promotion targets established by the act. Shortfalls are particularly common for promotions to colonel/Navy captain. DOD officials believe these shortfalls reflect assignment practices that existed prior to enactment of the Reorganization Act and that given the quality of officers currently being assigned to joint duty, these shortfalls will disappear in the future. If DOD's reasoning is correct, these shortfalls should disappear by 1991 or 1992.
- DOD has initiated efforts to analyze title IV's applicability to reservists, but it has not yet established personnel policies for reserve officers.
- Although no formal directives have been published, career guidance has been issued by DOD, and the services are updating career handbooks.
- The services have devoted considerable effort to developing data systems to meet reporting requirements established by title IV and subsequent amendments.

Overall, we believe DOD is making significant progress in implementing provisions of title IV, including the quality of officers being assigned to joint duty and the development of information systems to govern the management of joint officers. Implementation will be facilitated by finalizing directives and guidelines (expected by the end of 1989) and developing policy for reserve officers.

Detailed information on these issues is presented in appendix I. Appendix II contains additional data on promotion targets. Our objectives, scope and methodology is discussed in appendix III.

Agency Comments

DOD concurred with our report (see app. IV). DOD found the quality indicators we selected acceptable. However, they noted that these indicators apply differently to each of the services, and that promotion indicators provide the strongest common basis for comparison.

We agree that quality indicators apply differently to each service. For this reason, we included officers considered for assignment to executive officer tour as a quality indicator for the Navy, rather than intermediate service school. The Navy considers an executive officer tour a more important indicator of quality while the other services place more emphasis on service school.

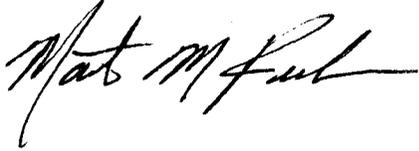
DOD noted that the quality of officers selected for the joint specialty during the first nine months of 1988 meets or exceeds the requirements of title IV in almost every area. DOD believes that a more representative mix of joint specialists will be assigned to critical billets in the future.

DOD stated it was continuing to develop joint officer management policy for reserve officers. The primary emphasis in the Reserves will be on officer education programs as an effective way to increase their exposure to joint matters. According to DOD, a review of programs affecting reserve officers will be completed by mid-May 1989 and any required personnel policy changes will be included in a DOD directive addressing joint officer management policy.

DOD also offered technical clarifications to the report which were incorporated as appropriate.

As arranged with your offices, unless you publicly announce its contents earlier, we plan no further distribution until 30 days from the date of this report. At that time, we will send copies to the Secretaries of Defense, the Army, Navy and Air Force; and other interested parties. We will also make copies available to other parties upon request.

GAO staff members who made contributions to this report are listed in appendix V.



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Contents

Letter		1
Appendix I		8
Implementation of	Quality of Officers Assigned to Joint Duty	8
Joint Officer	Quality of Officers Selected as Joint Specialty Officers	10
Personnel Policies	Promotion Targets Being Met but Some Gaps Exist	14
	Reserve Policies Have Not Been Established	18
	Implementing Guidance Has Been Issued	20
	Initiatives Taken to Implement Title IV	21
	The Joint Duty Assignment Management Information System	21
Appendix II		23
Analysis of Promotion	Army	23
Targets on Officers	Navy	24
Assigned to Joint Duty	Air Force	25
	Marine Corps	26
Appendix III		28
Objectives, Scope, and		
Methodology		
Appendix IV		30
Comments From the		
Department of		
Defense		
Appendix V		32
Major Contributors to		
This Report		
Tables		
	Table I.1: Quality of Officers Assigned to Joint Duty	9
	Table I.2: Number of Joint Specialty Officers	11
	Table I.3: Quality of Joint Specialists	12
	Table I.4: Quality of Officers Assigned to Critical Billets	13
	Table II.1: Promotion Target Comparison—Army, In-Zone (1985-1988)	24

Table II.2: Promotion Target Comparison—Navy, Unrestricted Line, In-Zone (1985-1988)	25
Table II.3: Promotion Target Comparison—Air Force, In- Zone (1985-1988)	26
Table II.4: Promotion Target Comparison—Marine Corps, In-Zone (1985-1988)	27

Figures

Figure I.1: Promotions of Officers Assigned to Joint Duty—1988 Promotions to Colonel/Navy Captain (In-Zone)	15
Figure I.2: Promotions of Officers Assigned to Joint Duty—1988 Promotions to Lieutenant Colonel/ Commander (In-Zone)	16
Figure I.3: Promotions of Officers Assigned to the Joint Staff—1988 Promotions to Colonel/Navy Captain (In-Zone)	17
Figure I.4: Promotions of Officers Assigned to Joint Staff—1988 Promotions to Lieutenant Colonel/ Commander (In-Zone)	18
Figure I.5: Promotions of Navy Joint Specialty Officers— 1988 Promotions to Commander and Captain (In- Zone)	19

Abbreviations

DOD	Department of Defense
GAO	General Accounting Office
JCS	Joint Chiefs of Staff
OSD	Office of the Secretary of Defense

Implementation of Joint Officer Personnel Policies

Recent emphasis on better qualified joint officers stems from a series of studies and reports that found the quality of staff assigned to joint duty could be improved. A 1986 House Committee on Armed Services report described a weak joint organization structure that had existed for years accompanied by an "equally unsatisfactory personnel management system that fails to man joint positions with officers possessing the required capabilities in terms of talent, education, training and experience."¹ Moreover, the problem was not limited to the members of the Joint Staff, but extended to joint positions throughout the U.S. military structure. A 1985 Senate staff study contains similar findings. According to the study, officers' lack of needed skills and talents, education and experience, and sufficiently long tours of duty ultimately impeded their ability to provide adequate unified military advice on national security matters.²

Title IV of the Department of Defense (DOD) Reorganization Act of 1986 is intended to improve the quality of officers assigned to joint duty. This appendix discusses the status of (1) the quality of officers assigned to joint duty, (2) the quality of officers selected for the joint specialty, (3) achievement of promotion targets, (4) application of the Reorganization Act to reservists, (5) career guidance, and (6) efforts undertaken to meet reporting requirements.

Quality of Officers Assigned to Joint Duty

In 1987 testimony before the House Committee on Armed Services, service officials reported that title IV had a significant impact on assignment of officers to joint duty. Specifically, they stated that higher quality officers were being assigned to joint duty.

Quality can be viewed in several different ways, including, for example, the act's concern with improving quality by increasing the preparation of officers for joint duty. For our report, we focused on several indicators that the services commonly use to identify high potential officers. These include completion of intermediate and senior service schools, selection for command, and promotion at a faster than normal rate (referred to as "below-the-zone"). We also looked at officers previously considered and passed over for promotion, which is an indicator of

¹H.R. 99-700, 99th Cong., 2nd Sess., Report of the Committee on Armed Services, U.S. House of Representatives on H.R. 4370, July 21, 1986, Bill Nichols Department of Defense Reorganization Act of 1986.

²Defense Organization: The Need for Change, Staff Report to the Committee on Armed Services, United States Senate, Oct. 16, 1985.

**Appendix I
Implementation of Joint Officer
Personnel Policies**

lower potential officers. We compared officers assigned to joint duty from January 1, 1988, to September 30, 1988 to (1) officers currently on the staffs of their service headquarters and (2) the service average for all officers. The comparison to headquarters staff was used because the service headquarters staff is traditionally thought of as representing high quality staff. The Reorganization Act creates the expectation that officers assigned to joint duty will be at least equivalent in quality to the service average, although some groups (joint specialists and the Joint Staff) are expected to be equivalent in quality to the headquarters staff. The results of our analysis are summarized in table I.1.

Table I.1: Quality of Officers Assigned to Joint Duty

	Compared to headquarters staff				Compared to service average			
	Army	Navy	Air Force	Marine Corps	Army	Navy	Air Force	Marine Corps
Major/Lieutenant commander								
Intermediate service school/executive officer screened ^a	E	L	H	H	H	L	H	H
Below zone promotion	E	^c	L	^d	E	^c	E	^d
Previously considered for promotion ^b	E	L	E	H	H	E	H	H
Lieutenant colonel/commander								
Intermediate service school/executive officer screened ^a	E	E	E	E	H	E	H	E
O-5 command	H	L	E	^c	H	L	L	^c
Previously considered for promotion	H	L	L	E	H	E	H	H
Colonel/Navy captain								
Senior service school	L	E	L	E	E	H	H	E
O-6 command	L	E	E	^c	L	E	L	^c

E = equivalent H = higher than comparison group L = lower than comparison group

^aExecutive officer screening data were used instead of intermediate service school for the Navy because not all quality officers have had the opportunity to attend either an intermediate or senior service school. Percentage was computed against total nonaviators since aviation officers do not serve executive officer tours until the grade of commander.

^bFor those previously considered for promotion, a lower percentage than the comparison group indicates higher quality and was therefore scored as H.

^cData are not available.

^dOnly one officer at this grade was promoted from below the zone.

We found that, generally, joint duty officers were at least equivalent³ on most quality indicators to the headquarters staff and the average for all officers.

- Army officers were generally equivalent or higher on quality indicators when compared with officers assigned to the headquarters staff and the service average. However, Army colonels tended to be lower on key quality indicators compared to headquarters staff.
- Navy officers tended to be equivalent on most quality indicators when compared to the service average. However, Navy lieutenant commanders and commanders were lower on quality indicators when compared to the headquarters staff.⁴
- Air Force officers assigned to joint duty, although lower in some areas, generally compared favorably to both headquarters staff and the service average.
- Marine Corps officers were equivalent or higher on quality indicators when compared to both headquarters officers and the service average.

Quality of Officers Selected as Joint Specialty Officers

The act established a category of officers known as joint specialty officers. The act requires that half of all joint duty positions be filled by joint specialists or nominees for the joint specialty. To qualify as a joint specialist, officers must complete a program at a joint professional military education school followed by a full tour of duty in a joint duty assignment. However, during an initial transition period,⁵ officers can qualify as joint specialists based on either joint education or a joint tour. The Reorganization Act sought to ensure that high quality officers are selected for the joint specialty by requiring joint specialists to be promoted at a rate equivalent to or better than the rate at which headquarters staff are promoted.

³We considered officers assigned to joint duty to be equivalent to the comparison group (headquarters or service average) if the percentage of officers meeting a quality indicator was within 5 percentage points of the comparison group.

⁴We reviewed data provided by the Navy on the number of unrestricted line officers assigned to joint duty, service headquarters, and Navy-wide who had additional opportunities to be screened for command or in-zone promotion consideration. The Navy believed that the presence of a disproportionate share of such (more junior) officers in joint duty would lead to lower percentages selected for command as compared to the headquarters staff or service average. However, we found that the differences were not significant enough to affect the results of our analysis.

⁵The Reorganization Act established a 2-year transition period ending October 1, 1988. The Fiscal Year 1989 Defense Authorization Act authorized an extension of the transition period for an additional year.

**Appendix I
Implementation of Joint Officer
Personnel Policies**

The act also requires that a minimum of 1,000 joint duty positions be designated as critical billets which can be filled only by joint specialists. Currently, there are over 8,300 joint positions, including 1,020 critical positions.

The services began holding selection boards for joint specialty officers in 1987. The Secretary of Defense approves joint specialists after reviewing the service board selections. As shown in table I.2, as of September 30, 1988, 12,156 field grade and general/flag officers⁶ have been approved as joint specialty officers. The services believe this number is needed to create an inventory of officers to fill critical and other joint duty assignments over the next 4 to 7 years. It takes about 4 years for an officer to qualify as a joint specialist. Table I.2 shows the number of officers designated for each service.

Table I.2: Number of Joint Specialty Officers

	Army	Navy	Air Force	Marine Corps	Total ^a
Field grade	4,315	2,693	3,569	918	11,495
General/flag officer	127	187	278	69	661
Total					12,156

^aTotals are as of September 30, 1988.

Since the act intended for joint specialists to be a high quality group, we compared the quality of officers selected as joint specialists to headquarters staff and the service average. Table I.3 presents our analysis of the quality of joint specialists.

⁶Field grade refers to the grades of major/lieutenant commander, lieutenant colonel/commander, and colonel/Navy captain. General/flag officer refers to the grades of brigadier general/rear admiral (lower half), major general/rear admiral (upper half), lieutenant general/vice admiral, and general/admiral.

**Appendix I
Implementation of Joint Officer
Personnel Policies**

Table I.3: Quality of Joint Specialists

	<u>Compared to headquarters staff</u>				<u>Compared to service average</u>			
	Army	Navy	Air Force	Marine Corps	Army	Navy	Air Force	Marine Corps
Major/lieutenant commander								
Intermediate service school/executive officer screened ^a	E	E	H	H	H	H	H	H
Below zone promotion	E	^c	E	^d	E	^c	H	^d
Previously considered for promotion ^b	E	H	H	H	H	H	H	H
Lieutenant colonel/ commander								
Intermediate service school/executive officer screened ^a	H	E	H	E	H	E	H	H
O-5 command	E	H	H	^c	E	H	E	^c
Previously considered for promotion	H	E	E	H	H	H	H	H
Colonel/Navy captain								
Senior service school	L	H	L	E	E	H	H	H
O-6 command	E	L	H	^c	E	E	E	^c

E = equivalent H = higher than comparison group L = lower than comparison group

^aExecutive officer screening data were used instead of intermediate service school for the Navy because not all quality officers have had the opportunity to attend either an intermediate or senior service school. Percentage was computed against total nonaviators since aviation officers do not serve executive officer tours until the grade of commander.

^bFor those previously considered for promotion, a lower percentage than the comparison group indicates higher quality and was therefore scored as H.

^cData are not available.

^dOnly one officer at this grade was promoted from below the zone.

As shown in table I.3, Army, Navy, Air Force, and Marine Corps joint specialists were equivalent or higher than the service average on all quality indicators. Compared to the headquarters staff, officers from all the services were generally equivalent or higher on key quality indicators, although Army and Air Force colonels and Navy captains were lower on one of the two indicators.

Table I.4 shows the quality of officers assigned to critical billets compared to joint specialists. To ascertain whether officers actually assigned to critical billets represented the same quality as those selected

**Appendix I
Implementation of Joint Officer
Personnel Policies**

as joint specialists, we compared the quality of officers assigned to critical billets from January 1 to September 30, 1988, against those selected as joint specialists.⁷

Table I.4: Quality of Officers Assigned to Critical Billets

Major/lieutenant commander	Compared to joint specialists			
	Army	Navy	Air Force	Marine Corps
Intermediate service school/executive officer screened ^a	E	H	E ^d	H ^d
Below zone promotion	E	^c	L ^d	^e
Previously considered for promotion ^b	E	E	L ^d	L ^d
Lieutenant colonel/commander				
Intermediate service school/executive officer screened ^a	E	H	L	E
O-5 command	H	L	L	^c
Previously considered for promotion	H	L	L	E
Colonel/Navy captain				
Senior service school	H	E	E	H
O-6 command	H	L	L	^c

E = equivalent H = higher than comparison group L = lower than comparison group

^aExecutive officer screening data were used instead of intermediate service school for the Navy because not all quality officers have had the opportunity to attend either an intermediate or senior service school. Percentage was computed against total nonaviators since aviation officers do not serve executive officer tours until the grade of commander.

^bFor those previously considered for promotion, a lower percentage than the comparison group indicates higher quality and was therefore scored as H.

^cData are not available.

^dAnalysis is based on 10 or less officers assigned to critical billets.

^eOnly one officer at this grade was promoted from below the zone.

As shown in table I.4, Army and Marine Corps officers assigned to critical billets were equivalent or higher on key quality indicators when compared to joint specialists except for Marine Corps majors. However, Air Force officers assigned to critical billets were equivalent or lower on these indicators. Navy commanders and captains were lower on several quality indicators, but equivalent or higher on others.

⁷In making assignments, the services anticipated who would be selected as joint specialists since joint specialist designation boards had not been held at the time most assignments to critical billets were made.

Promotion Targets Being Met but Some Gaps Exist

To ensure the quality of officers assigned to joint duty, title IV established promotion targets:

- joint specialists are expected, as a group, to be promoted at a rate not less than that for officers of the same armed force in the same grade and competitive category who are or have been assigned to service headquarters staff;
- officers who are serving on, or have served on the Joint Staff⁸ are expected, as a group, to be promoted to the next higher grade at a rate not less than the rate for officers of the same armed force in the same grade and competitive category who are or have served on, their service headquarters staff; and
- other officers who are serving or have served in joint duty assignments are expected to be promoted at a rate not less than that for officers of the same armed force in the same grade and competitive category.⁹

To determine whether promotion targets were being met, we analyzed promotion statistics for field grade and general officers selected for promotion in 1988. Our analysis is discussed in detail in appendix II.

Figures I.1 and I.2 show the promotion comparison for officers in joint assignments selected for promotion to colonel/Navy captain and lieutenant colonel/commander in 1988.

- Except for the Marine Corps, the services fell short for promotions to colonel/Navy captain, especially in the Army and Navy. For example, only about 26 percent¹⁰ of Army officers assigned to joint duty were promoted to colonel compared to an average of 40 percent, and only 10 percent of Navy officers assigned to joint duty were promoted to captain compared to an average of 50 percent for the competitive category.
- The Navy also fell short for promotion to commander. The other services essentially met or exceeded the target.

DOD officials believe these shortfalls reflect assignment practices that existed prior to enactment of the Reorganization Act and that given the

⁸The Joint Staff is the staff of the Chairman, Joint Chiefs of Staff.

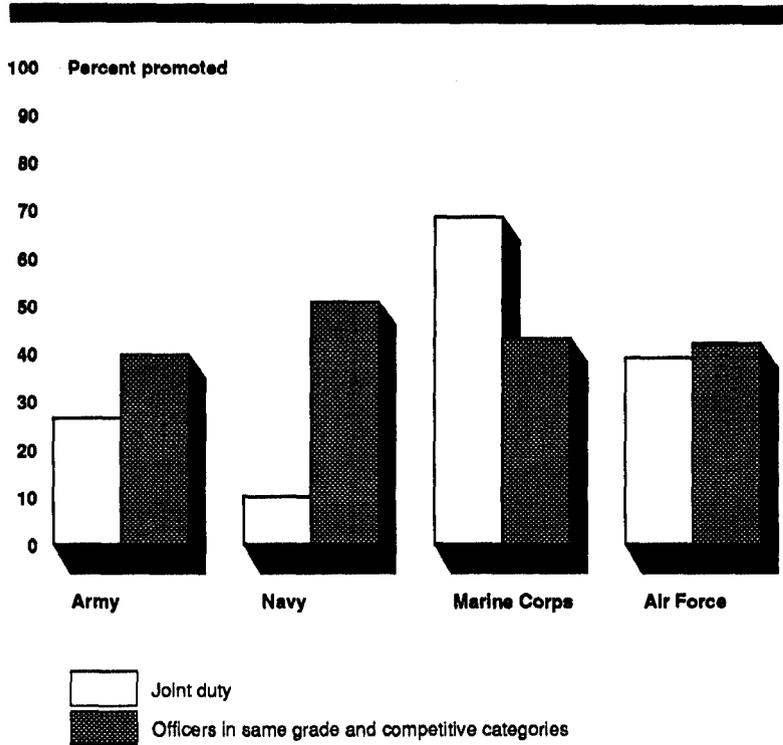
⁹A competitive category is a separate promotion category established by the secretary of a military department for specific groups of officers whose specialized education, training, or experience, and often relatively narrow utilization, makes separate career management desirable.

¹⁰Percentages are based on number of officers selected from a group of eligible officers, e.g., in January 1988, 61 officers (about 26 percent) were selected for promotion to colonel out of a total of 231 eligible officers.

**Appendix I
Implementation of Joint Officer
Personnel Policies**

quality of officers currently being assigned to joint duty, these shortfalls will disappear in the future. If DOD's belief is correct, these shortfalls should disappear by 1991 or 1992.

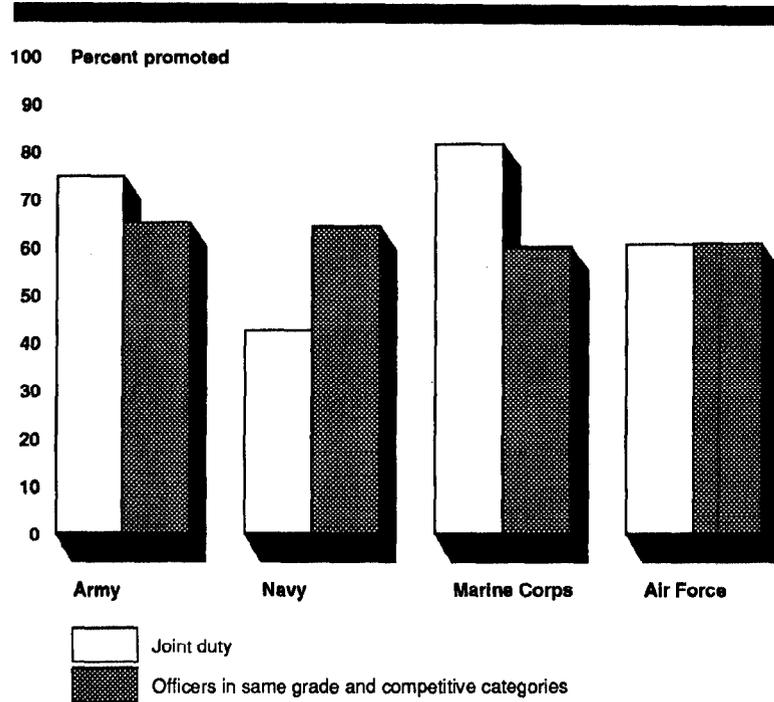
Figure I.1: Promotions of Officers Assigned to Joint Duty—1988
Promotions to Colonel/Navy Captain (In-Zone)



Note: 1987 data used for Air Force since colonel board was not held in 1988.

Appendix I
Implementation of Joint Officer
Personnel Policies

Figure I.2: Promotions of Officers Assigned to Joint Duty—1988
Promotions to Lieutenant Colonel/
Commander (In-Zone)



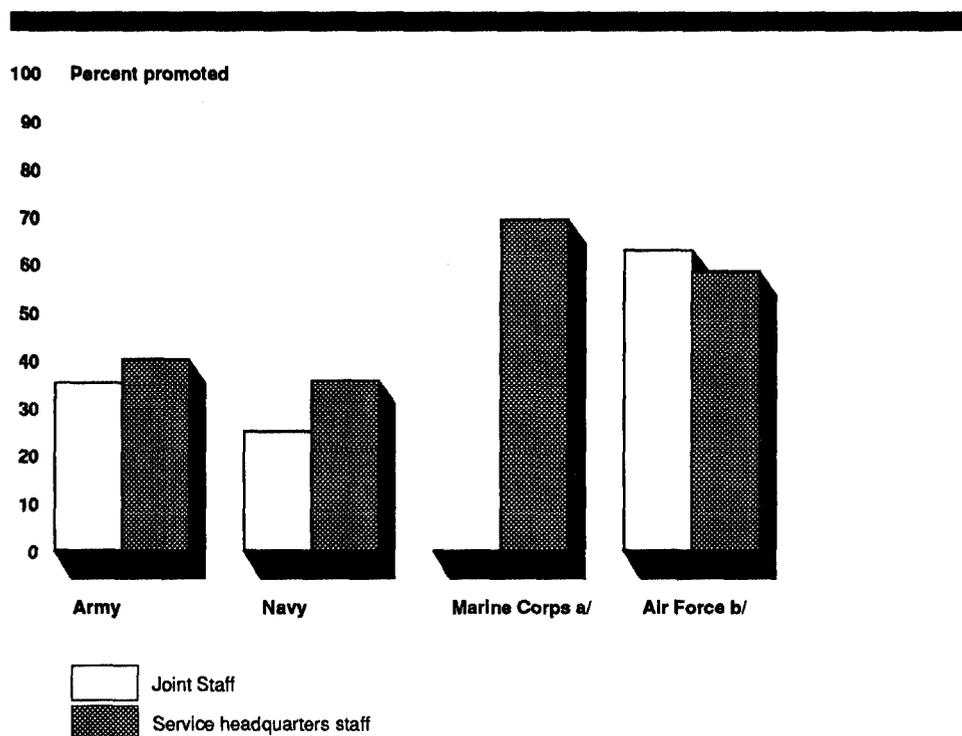
Note: 1987 data used for Air Force since lieutenant colonel board was not held in 1988.

Figures I.3 and I.4 show the promotion comparisons for the Joint Staff.

- The Air Force was the only service to meet and even exceed the promotion targets for promotions of officers serving on the Joint Staff to colonel/Navy captain.
- The Army, Navy, and Marine Corps met and exceeded the target for promotion to lieutenant colonel/commander, but the Air Force fell short.

**Appendix I
Implementation of Joint Officer
Personnel Policies**

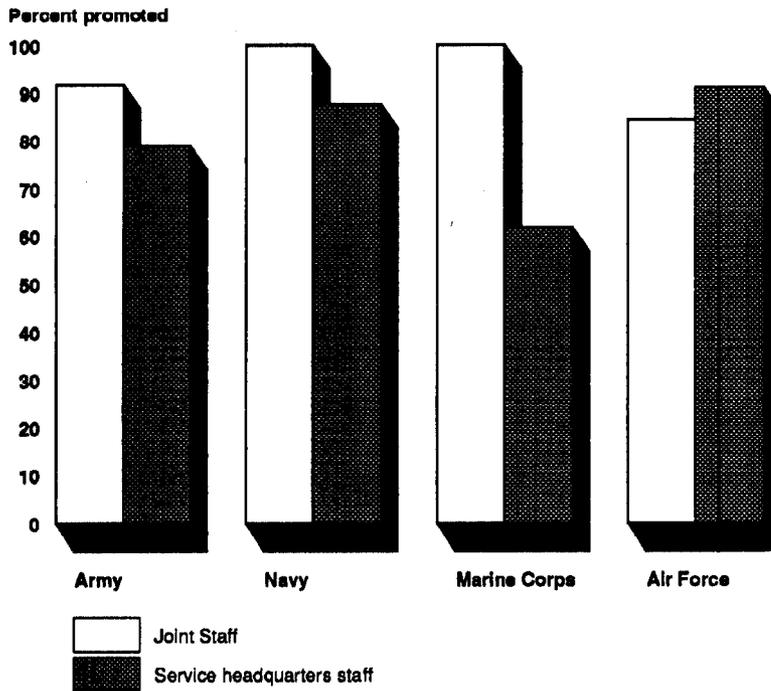
**Figure I.3: Promotions of Officers
Assigned to the Joint Staff—1988
Promotions to Colonel/Navy Captain (In-
Zone)**



^aOnly one officer is in Joint Staff position for the Marine Corps.

^b1987 data used for Air Force since colonel board was not held in 1988.

Figure I.4: Promotions of Officers Assigned to Joint Staff—1988 Promotions to Lieutenant Colonel/Commander (In-Zone)



Note: 1987 data used for Air Force since lieutenant colonel board was not held in 1988.

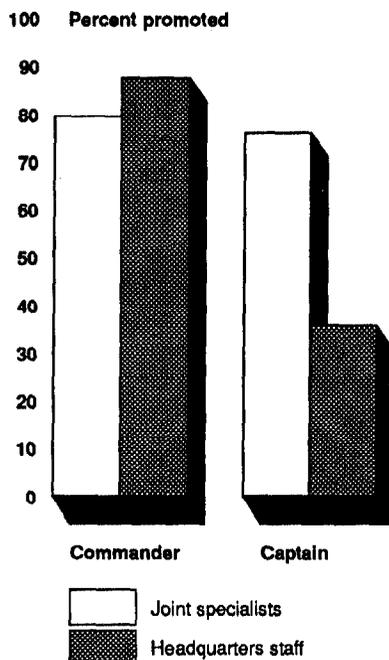
In June 1988, the Secretary of Defense approved the first group of joint specialty officers. Most of these were Navy officers. Other services' joint specialty officers had not been approved when we performed our analysis. Thus, we were only able to analyze 1988 promotion data for Navy joint specialists. As shown in figure I.5, joint specialists were promoted to Navy captain at a higher rate than officers at headquarters. However, joint specialists promoted to commander fell short of the target.

Reserve Policies Have Not Been Established

Title IV requires that the Secretary of Defense establish personnel policies emphasizing education and experience in joint matters for reserve officers not on the active duty list¹¹ no later than 8 months from enactment of the Reorganization Act, which was June 1, 1987. However,

¹¹ Reservists not on the active duty list encompass drilling reservists and/or active guard members, including officers from the Ready Reserve and the Individual Ready Reserve. The Ready Reserves will be the primary augmentation of the active forces in the event of a national emergency.

Figure I.5: Promotions of Navy Joint Specialty Officers—1988 Promotions to Commander and Captain (In-Zone)



because of concerns on the applicability of title IV to the Reserves, as of December 1988, policy had not been issued.

Title IV's Applicability to Reservists

In September 1987, an Office of the Secretary of Defense (OSD) study group examined the applicability of title IV to reservists. According to the group, "... most of the provisions of title IV cannot be implemented in the reserve components." The group agreed, however, that reserve policy should parallel that of the active components as much as practicable and it should be incorporated into a formal DOD directive being drafted by the Office of the Assistant Secretary of Defense (Force Management and Personnel). This directive has not been published.

In August 1988, a second working group comprised of representatives from the OSD, the Joint Chiefs of Staff (JCS), and the services was convened to examine title IV's applicability to reservists since little or no progress had been made. Officials in the Office of the Assistant Secretary of Defense (Reserve Affairs) said that reservists are included under title IV, but concerns remain over differences between service application. Resolution of these issues will result in a policy statement to be

incorporated into DOD's draft joint policy directive, which is expected by the end of 1989.

Implementing Guidance Has Been Issued

The Secretary of Defense is required to establish career guidelines for joint specialists. Title IV stipulated that guidelines be issued by June 1987 that include the selection of joint specialists, joint professional military education, training, types of duty assignments, and other matters considered appropriate by the Secretary of Defense. Although DOD had not, as of December 1988, issued a directive, it has published guidance in the form of memoranda on joint officer management.

We examined implementing regulations and other service efforts to inform officers about title IV. Thus far, OSD has issued a series of five memoranda. A July 1987 memorandum specifically addressed career guidelines, including, among other things, the requirements for nominating and selecting joint specialists, definitions of military occupational specialties that are designated as critical (involving combat operations), and OSD and JCS requirements for establishing the necessary data collection and analysis capabilities to monitor the careers of joint specialists and other officers assigned to joint duty. The other memoranda provide guidance on (1) identifying categories of officers (e.g., engineers and military police) who qualify for joint duty assignment waivers because their promotions to general/flag rank are based primarily on scientific and technical qualifications, (2) establishing joint specialist designation boards, and (3) accumulating joint duty assignment credit.

The services adopted this guidance in policy memoranda and issued additional memoranda to officers who make career assignments and other officers who could be affected by joint officer personnel policies.

Efforts Have Been Made to Inform Officers About Joint Personnel Policies

We also reviewed officers' career handbooks and other efforts to inform officers about title IV. The Navy, Army, and Air Force are incorporating joint officer management policies into officers' career handbooks. These handbooks outline career paths and professional development alternatives for officers. The Navy is revising its handbook for unrestricted line¹² officers to reflect assignments to joint duty. The revisions should be published in the summer of 1989. The Army will publish a new career manual in 1989.

¹²Unrestricted line refers to warfighting communities, such as aviation, surface, and submarine warfare.

The Air Force also published a career handbook in January 1989. Greater emphasis is placed on professional development, including assignments to joint duty. The Marine Corps does not publish an officers' career handbook, but provides guidance to assignment officers¹³ and selectively counsels officers on gaining joint career experience.

Finally, we examined DOD efforts to educate officers about joint management policies through general publications, such as newsletters and articles. The Joint Chiefs of Staff are updating a January 1988 guide to joint officer management. The new guide is expected to be published in February 1989. Each service has briefed assignment officers and other personnel officers about changes in joint personnel policies. The services have also issued publications answering commonly asked questions about title IV. They have published articles outlining title IV joint personnel policies in officer newsletters. For instance, the Air Force issued a special edition of its Officer's Career Newsletter in the winter of 1987. The newsletter outlined title IV's impact on officers' careers.

Initiatives Taken to Implement Title IV

The passage of title IV established numerous reporting and tracking requirements for joint duty officers. For example, in the Secretary of Defense's annual report to the Congress, which covers all defense issues, information must be included for DOD and each service in over 15 areas relating to title IV, including the number of officers nominated and selected as joint specialists, promotion comparison for joint duty officers, and the number of waivers used to exempt officers from tour length requirements. Some of the services and OSD have indicated that reporting efforts have been extensive and costly. One comprehensive effort has been developing the Joint Duty Assignment Management Information System, a database designed to facilitate the management of joint officers.

The Joint Duty Assignment Management Information System

DOD developed the Joint Duty Assignment Management Information System to provide the data required for the Secretary of Defense's semianual and annual reports to the Congress and to provide a common means for the services to proactively manage the joint officer community. This system, which DOD officials estimate has cost over \$500,000 to develop, draws partially on existing and newly designed databases. The Defense Manpower Data Center manages the storage and processing of the data.

¹³Assignment officers provide counseling to officers making career decisions and assign officers to new positions.

When completed, the system will contain seven data files with information about joint duty assignments and the officers who fill these positions. The system is expected to be fully operational to generate the Secretary of Defense's fiscal year 1991 annual report.

**Service Efforts to Meet
Reporting Requirements**

Tracking and reporting on the joint officer community has also required considerable effort among the services.

- The Air Force designed new data elements for its personnel system to meet title IV reporting requirements and transferred appropriate data into the DOD system to be used for the Secretary of Defense's fiscal year 1990 annual report.
- The Army, in a similar manner, researched and redesigned its officer data system. It will incorporate joint officer reporting and tracking data into a new computer system presently being developed as a separate effort.
- The Marine Corps modified its manpower management system to add data for generating reports through the joint system.
- Navy officials said that only a few modifications were necessary to provide additional joint officer information.

Service data indicate they have expended over 50,000 manhours at a cost of a little over \$1 million to implement the reporting requirements in the Reorganization Act.

Analysis of Promotion Targets on Officers Assigned to Joint Duty

This appendix compares field grade and general officers assigned to Joint Staff and other joint duties with headquarters staff and other officers of the same paygrade and competitive category. This comparison was drawn from promotion data between 1985 and 1988. The act intends that (1) joint specialists and officers serving on the Joint Staff should be promoted at a rate at least equivalent to that for officers assigned to service headquarters staff and (2) other officers who are serving or who have served in joint duty assignments should be promoted at a rate at least equivalent to that for officers in the same grade and competitive category.

The following tables show the percent of eligible officers promoted within the grade categories for the target groups (Joint Staff, joint specialty, or joint duty) and the comparison groups (headquarters staff, service average). The comparisons are made within the year being considered for promotion. Lower promotion rates for the target groups indicate the targets have not been met (as indicated in "bold" type). For example, in 1987, promotion targets for officers assigned to joint duty were not met for promotion to colonel/Navy captain in all the services (see tables II.1-II.4).

We included 1985 and 1986 data¹ in the tables to establish some basis for comparing changes occurring after enactment of the law.

Army

Table II.1 displays promotion comparisons for Army field grade and general officers. Promotion targets were consistently met or exceeded for promotions to the grade of lieutenant colonel, but not at the grades of colonel and above.

¹1985 and 1986 promotion rates shown for officers assigned to joint duty are for all officers in multiservice commands. After 1986, not all positions in multiservice commands were included as joint duty assignments.

Appendix II
Analysis of Promotion Targets on Officers
Assigned to Joint Duty

Table II.1: Promotion Target Comparison—Army, In-Zone (1985-1988)

Figures in percent

Grade	Comparison category	Reorganization Act			
		Pre-		Post-	
		1985	1986	1987	1988
Major ^a	Joint Staff	d	d	d	d
	Headquarters staff ^b	d	d	d	d
	Joint duty	d	d	d	d
	Service average	d	d	d	d
Lieutenant colonel	Joint Staff	100.0	e	100.0 ^c	91.6
	Headquarters staff	96.3	e	93.0	78.7
	Joint duty	75.6	e	70.3	74.8
	Service average	75.6	e	69.5	65.0
Colonel	Joint Staff	66.7	58.8	60.0	35.3
	Headquarters staff	70.5	61.1	46.7	40.0
	Joint duty	38.8	39.2	24.8	26.4
	Service average	51.8	50.4	45.0	39.4
Brigadier general	Joint Staff	d	d	4.3	1.6
	Headquarters staff	d	d	6.5	0.6
	Joint duty	d	d	2.4	0.6
	Service average	d	d	2.1	2.0
Major general	Joint Staff	d	d	50.0	d
	Headquarters staff	d	d	25.0	d
	Joint duty	d	d	37.0	d
	Service average	d	d	41.0	d

^aArmy did not, at the time, keep records for joint officers at this grade.

^bPromotion data for joint specialists were not available because Army joint specialists were only approved beginning September 1988.

^cTen or less officers were considered for promotion.

^dData are unavailable for category.

^ePromotion boards were not held.

"Bold" indicates gaps in meeting promotion targets

Navy

Table II.2 displays the comparison for Navy unrestricted line officers—officers from warfighting communities, such as aviation, surface and submarine warfare. In 1986, there were shortfalls in all promotion categories for which data were available. In 1988, promotion targets were met for Joint Staff officers at the grade of commander and rear admiral (lower half) and for joint specialists considered for promotion to captain and rear admiral (upper half). However, promotions were not met in other categories.

**Appendix II
Analysis of Promotion Targets on Officers
Assigned to Joint Duty**

Table II.2: Promotion Target Comparison—Navy, Unrestricted Line, In-Zone (1985-1988)

Figures in percent

Grade	Comparison category	Reorganization Act			
		Pre-		Post-	
		1985	1986	1987	1988
Lieutenant commander	Joint Staff	0.0	none ^a	none ^a	none ^a
	Joint specialist	^c	^c	^c	^c
	Headquarters staff	83.3	66.6	81.8	75.0 ^b
	Joint duty	54.5	52.3	52.0	50.0
	Service average	79.1	74.4	75.7	72.2
Commander	Joint Staff	100.0	42.8^b	100.0 ^b	100.0
	Joint specialist	^c	^c	^c	79.5
	Headquarters staff	88.0	84.8	96.5	87.5
	Joint duty	38.8	10.5	29.6	42.5
	Service average	69.0	65.3	63.0	64.2
Captain	Joint Staff	42.8^b	27.2	11.1^b	25.0^b
	Joint specialist	^c	^c	^c	76.1
	Headquarters staff	59.5	48.7	59.4	35.7
	Joint duty	15.2	8.6	8.1	10.0
	Service average	55.5	54.2	54.0	50.7
Rear admiral (lower half)	Joint Staff	0.0	4.0	5.2	4.3
	Joint specialist	^c	^c	^c	^c
	Headquarters staff	7.3	6.5	10.1	1.5
	Joint duty	1.4	0.0	2.3	1.5
	Service average	2.0	1.9	1.2	2.5
Rear admiral (upper half)	Joint Staff	^c	^c	66.6 ^b	none ^a
	Joint specialist	^c	^c	^c	50.0 ^b
	Headquarters staff	^c	^c	30.0 ^b	0.0 ^b
	Joint duty	^c	^c	0.0^b	none ^a
	Service average	^c	^c	37.5	42.8 ^b

^aNo officers were eligible for consideration for promotion.

^bTen or less officers were considered for promotion.

^cData are unavailable for category.

"**Bold**" indicates gaps in meeting promotion targets.

Air Force

Table II.3 displays the comparison for Air Force field grade and general officers. In 1987, promotion targets were not met for Joint Staff officers considered for promotion to major and lieutenant colonel, although they were met for promotion to colonel, and in 1988 for promotion to major. Promotion targets for officers assigned to joint duty were essentially met, except for promotion to the grades of colonel and major general.

Appendix II
 Analysis of Promotion Targets on Officers
 Assigned to Joint Duty

Table II.3: Promotion Target Comparison—Air Force, In-Zone (1985-1988)

Figures in percent

Grade	Comparison category	Reorganization Act			
		Pre-		Post-	
		1985	1986	1987	1988
Major	Joint Staff	100.0 ^a	100.0 ^a	83.3^a	100.0 ^a
	Headquarters staff	100.0	94.3	96.8	100.0
	Joint duty	86.0	88.2	93.0	92.9
	Service average	79.0	80.2	81.9	83.0
Lieutenant colonel	Joint Staff	88.0	90.0	84.2	^c
	Headquarters staff	88.0	84.0	90.9	^c
	Joint duty	63.0	65.0	60.6	^c
	Service average	59.0	61.0	60.7	^c
Colonel	Joint Staff	55.0	61.0	62.9	^c
	Headquarters staff	79.0	69.0	58.3	^c
	Joint duty	42.0	36.0	39.0	^c
	Service average	42.0	41.0	41.9	^c
Brigadier general	Joint Staff	^b	^b	4.0	^c
	Headquarters staff	^b	^b	4.0	^c
	Joint duty	^b	^b	1.0	^c
	Service average	^b	^b	1.0	^c
Major general	Joint Staff	^b	^b	33.0	^c
	Headquarters staff	^b	^b	34.0	^c
	Joint duty	^b	^b	22.0	^c
	Service average	^b	^b	31.0	^c

^aTen or less officers were considered for promotion.

^bData are unavailable for category.

^cPromotion boards were not held.

"**Bold**" indicates gaps in meeting promotion targets.

Marine Corps

Table II.4 shows the comparison for Marine Corps field grade and general officers. Promotion targets for Joint Staff officers were met for promotion to lieutenant colonel but not for promotion to colonel and (in 1987) brigadier general. Promotion targets for officers assigned to joint duty were not met for promotion to major and, in 1987, to colonel. However, the target was met for promotion to colonel in other years, suggesting that this may be an aberration.

Appendix II
 Analysis of Promotion Targets on Officers
 Assigned to Joint Duty

Table II.4: Promotion Target
 Comparison—Marine Corps, In-Zone
 (1985-1988)

Figures in percent

Grade	Comparison category	Reorganization Act			
		Pre-		Post-	
		1985	1986	1987	1988
Major	Joint Staff	c	c	none ^a	none ^a
	Headquarters staff	c	c	62.5	82.6
	Joint duty	c	c	70.0	50.0^b
	Service average	c	c	76.1	69.8
Lieutenant colonel	Joint Staff	66.7 ^b	100.0 ^b	100.0 ^b	100.0 ^b
	Headquarters staff	58.3	44.9	60.9	61.7
	Joint duty	66.7	62.5	75.0	81.4
	Service average	58.5	56.2	61.7	60.0
Colonel	Joint Staff	0.0^b	0.0^b	33.3^b	0.0^b
	Headquarters staff	51.4	66.7	66.7	69.2
	Joint duty	50.0	53.1	44.4	68.4
	Service average	50.8	48.6	52.1	43.0
Brigadier general	Joint Staff	c	c	0.0 ^b	^d
	Headquarters staff	c	c	5.9	^d
	Joint duty	c	c	30.0 ^b	^d
	Service average	c	c	9.0	^d
Major general	Joint Staff	c	c	100.0 ^b	^d
	Headquarters staff	c	c	0.0 ^b	^d
	Joint duty	c	c	100.0 ^b	^d
	Service average	c	c	53.8	^d

^aNo officers were eligible for consideration for promotion.

^bTen or less officers were considered for promotion.

^cData are unavailable for category.

^dPromotion boards were not held.

"Bold" indicates gaps in meeting promotion targets.

Objectives, Scope, and Methodology

The Senate Committee on Armed Services and the Subcommittee on Investigations, House Committee on Armed Services, requested GAO to determine the status of DOD's implementation of selected provisions of title IV of the DOD Reorganization Act of 1986. These provisions were selected based on (1) congressional interest, (2) the identification of areas that had required significant implementation effort, and (3) areas that, according to service officials, had resulted in significant change.

To accomplish this objective, we interviewed officials in headquarters offices at the Office of the Secretary of Defense, the Joint Chiefs of Staff, and the Departments of the Army, Navy, and Air Force. We also visited the Air Force Military Personnel Center, San Antonio, Texas, and the Defense Management Data Center, Rosslyn, Virginia.

We analyzed the quality of officers assigned to joint duty assignments and selected as joint specialists. To do this, we discussed the definition of quality with OSD and service officials and identified key quality indicators. These included completion of intermediate and senior service schools, selection for command, promotion at a faster than normal rate (referred to as "below-the-zone"), and previously considered for promotion. We compared the quality of officers assigned to joint duty or selected for the joint specialty using the service headquarters and the service average for a comparison base. Officers serving at headquarters have historically been considered to represent a high quality group. Officers assigned to critical billets were compared against officers designated as joint specialists. This was done to ascertain whether those joint specialists actually assigned to critical billets were equivalent in quality to the inventory of joint specialty officers. To reflect current assignments, we obtained data on officers assigned to joint duty and critical billets for the period between January 1, 1988, and September 30, 1988. Joint specialists were initially designated in June 1988.

We also analyzed promotion data on field grade and general officers selected for promotion between 1985 and 1988 to (1) identify changes in promotions of officers assigned to joint duty, the Joint Staff, and designated as joint specialists before and after title IV implementation and (2) determine whether promotion targets stipulated by the act were being met. The analysis covered the competitive category for line officers in the Army, Air Force, and Marine Corps and unrestricted line officers in the Navy.

We also analyzed relevant laws, regulations, documents, and other data relating to our review.

We conducted our review between August and October 1988 in accordance with generally accepted government auditing standards.

Comments From the Department of Defense



FORCE MANAGEMENT
AND PERSONNEL

ASSISTANT SECRETARY OF DEFENSE

WASHINGTON, D.C. 20301-4000

2 1 FEB 1989

Mr. Frank C. Conahan
Assistant Comptroller General
National Security and
International Affairs Division
U.S. General Accounting Office
Washington, D.C. 20548

Dear Mr. Conahan:

This is the Department of Defense (DoD) response to the General Accounting Office (GAO) draft report entitled "MILITARY PERSONNEL: Implementation Status of Joint Officer Personnel Policy," dated January 17, 1989 (GAO Code 391095/OSD Case 7884). The Department concurs with the draft report.

The DoD appreciates the GAO acknowledgment that significant progress is being made by the DoD in implementing key officer management provisions of the Goldwater-Nichols Department of Defense Reorganization Act of 1986. It is rewarding to have the extensive effort by the Office of the Secretary of Defense (OSD), the Joint Staff, and the Services so recognized. The Department would like to provide a few comments for clarification.

Although the quality indicators selected by the GAO are acceptable to the Department, it should be noted that these indicators apply differently to each of the Services. For example, the population of officers selected for intermediate Service schools varies significantly across the different Services. Therefore, its validity as a quality indicator varies by Service. Probably, other than promotion, there is no common basis for comparison.

The GAO analysis of joint specialty officers (JSO) is accurate as written. The quality of officers selected for the joint specialty meets or exceeds the requirements of the statute in almost every area. The fact that the officers assigned in the first 9 months of 1988 are not fully representative of the total population should not be of major concern. For example, in the Air Force this population still met or exceeded the quality of the Air Staff in most of the areas considered. Also, most JSO lists were not approved until late in FY 1988, making it difficult for assignment officers to accurately target assignments. At the same time, the Joint Staff was

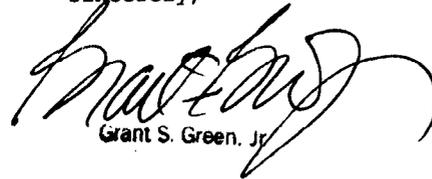
**Appendix IV
Comments From the Department of Defense**

revalidating all critical joint duty assignment billets, thereby further complicating the assignment process. It should be expected that a more representative mix of JSOs will be assigned to critical billets in the future.

The Department continues to develop joint officer management policy for Reserve Officers. The primary emphasis in the Reserves will be on officer education programs as an effective way to increase their exposure to joint matters. Review of programs affecting Reserve officers will be completed by mid-May 1989, and any required personnel policy changes will be included in a DoD directive addressing joint officer management policy.

The Department appreciates the opportunity to comment on this draft report. A few additional technical corrections were also provided separately to members of your staff. The cooperation and continual coordination by members of the GAO with DoD representatives in preparing this report has been noteworthy.

Sincerely,



Grant S. Green, Jr.

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