Declassified and Approved For Release 2013/08/14: CIA-RDP78B05707A001200010075-9 \_- 25

# OFFICERS' CALL

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HEADQUARTERS, DEPARTMENT OF THE ARMY

# Declassified and Approved For Release 2013/08/14 : CIA-RDP78B05707A001200010075-9

READ CAREFULLY REFERENCED SECTION IN AR 623-105 BEFORE ATTEMPTING TO FILL OUT ANY ITEM

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DA 1 OCT 61 67-5

REPLACES DA FORMS 67-4, 1301 AND 1775 WHICH ARE OBSOLETE EFFECTIVE 30 SEPTEMBER 1961.

US ARMY OFFICER EFFICIENCY REPORT
(AR 623-105)

#### PERFORMANCE COUNSELING

While the following discussion centers on the required annual counseling session, (para 2e, AR 623-105), the principles and techniques are applicable in some degree to every counseling situation.

Judging and guiding the performance, motivation and development of another human being are perhaps the most critical aspects of the complex function called leadership. Effective counseling is possible only when the counselor's approach to his responsibility is firmly rooted in the traditional American conviction that each person is inherently important. This is not something that can be pretended; it must be genuine.

The counselor must think about and plan the scope and contents of each counseling session. He must be constructive in his correction and guidance. Care must be taken not to leave any individual counseled confused as to what is required and how the desired results can be achieved. If he is required to counsel 10 officers, there will be 10 distinct areas of discussion — although he may have several points that deserve emphasis in all 10 sessions. The counselor should insure that he is familiar with the officer's career background and record by a perusal of the officer's 201 file. He should also know the officer's duties and must have well in mind the standards or criteria for judging the manner of performance of these duties.

A blank Efficiency Report form provides a good guide for the discussion. For example, the counselor might review each section of the form from the standpoint of "if I were preparing your Efficiency Report today, this is probably how I would rate your performance."

Each session should be scheduled well in advance, and the officer informed of the exact time and place. This advance notice should advise the officer to be prepared to discuss his duties in their order of importance, his accomplishments, what he is doing for professional improvement, and any other matter he may wish to bring up.

The atmosphere of the counseling session is largely a reflection of the counselor's personality and way of doing things. The only essential element in all counseling is privacy. The fact that it is a formal session does not necessarily mean that the discussion must be conducted in an atmosphere of military formality. Some counselors prefer a "man-to-man" approach. The experience and grade of the officer being counseled should be taken into account in deciding such matters. Beyond this, there are no hard and fast rules for effective counseling. The techniques of one counselor are not necessarily the best for another. There are, however,

several common elements that apply regardless of the manner chosen. These are accuracy, firmness, consistency and clarity of standards, and balanced appraisal.

Accuracy. The counselor's criticism of the officer's performance must be based upon facts. The individual may enter the session with a different viewpoint on these facts, but there should be no doubt at the outset that the counselor knows the facts. If his criticism seems to the individual to be based upon a misunderstanding or misinterpretation of the facts, the counseling session will accomplish nothing.

Firmness. The session can — and usually should — be an essentially friendly conversation, even when the counselor is dealing with facts that are in themselves unpleasant. Straightforward honesty in criticizing the individual's performance is essential. Such criticism achieves its purpose of pointing the way to improved performance only when the individual is aware that this is the purpose of the criticism.

Consistency and clarity of standards. Usually the officer will previously have been made aware of the standards by which his performance is to be judged. The counselor should review those standards in order to show how the officer's performance has failed to meet them. It is extremely important that the standards discussed at the formal counseling do not contradict any previous statements the officer has been given.

Balanced appraisal. Very few counseling sessions involve an individual whose performance has been a failure in every respect. In his preparation the counselor should look for facts that deserve praise as well as those that deserve criticism. It should be kept in mind, however, that the primary purpose of counseling is improvement; praise should not be regarded merely as a device to soften the pain of sharp criticism.

# UNITED STATES ARMY THE CHIEF OF STAFF

## TO ALL OFFICERS AND WARRANT OFFICERS:

Beginning in September 1961, all officers and warrant officers will be rated by means of an improved efficiency reporting system. Several substantial changes, both in concept and procedure, justify its being called a "new" system. At the same time, features of proven value from the "old" system have been retained.

The effectiveness of any efficiency reporting system depends in large measure upon the people who operate and are affected by it. This, of course, means every officer in the Army. Under our system, every officer is rated and sooner or later every officer is also a rater. The new system will succeed in its important purposes to the degree that all officers understand these purposes and support them by conscientious adherence to the basic concepts and prescribed procedures.

This OFFICERS' CALL is one means of promoting such understanding of and support for the new efficiency reporting system.

G. H. DECKER
General, United States Army
Chief of Staff

# THE NEW OFFICER EFFICIENCY REPORTING SYSTEM

# Why We Have Efficiency Reports

There may have been times in the Army's history when the officer corps was small enough for most officers to know each other personally or by reputation. Senior officers could often rely upon their memories in making important personnel decisions. If they did not know personally the officers under consideration, chances are a colleague would be able to furnish information based on firsthand knowledge.

Even for an officer corps of a few thousand, of course, such an informal and unstandardized "efficiency reporting system," would be a hap-hazard method of evaluating the performance and abilities of individual officers. For a corps of 100,000 officers, it would be completely unworkable.

Today, almost all armies (as well as most large business organizations) employ some kind of standardized method of reporting and recording information about duty performance and personal characteristics of specified groups of personnel. In our own Army the practice of requiring an annual efficiency report on each officer began early in this century. A standard rating scale was first employed during World War I.

The present Efficiency Report form, however, is a direct descendant of the first Form 67 adopted in the early 1920s. Form 67 remained in effect for many years. It provided the first Army-wide standards or "yardsticks" by which all raters could assess the qualifications and achievements of their officers. In "scoring" this report, the rater chose the appropriate adjectival rating from a group of five standard ratranging from "Unsatisfactory" "Superior." Later a revised Form 67 replaced the adjectival ratings with a numerical scoring procedure, but space was provided for raters and indorsers to supplement the numerical score with brief descriptive comments of their own. Many raters continued to employ the original adjectival ratings in their comments. For example, when an officer received a score above a particular level, the rater's comment would be quite likely to describe him as a "superior officer."

Form 67 was a useful document, but over

the years the gradual distortion in the meaning of the adjectival ratings greatly reduced its validity. In the last few years of Form 67. almost all officers were receiving ratings that put them in the "Superior" or "Excellent" categories. So far as the efficiency report was concerned, genuinely outstanding officers were indistinguishable from those of lesser abilities. Officers themselves could no longer estimate how they stood in relation to their fellows. For example a captain who consistently received "Excellent" ratings might actually be the most (or least) effective of all those who received the same rating; but he had no way of knowing this important fact. Nor could his rater know it, nor the Army as a whole. His "Excellent" rating had lost the meaning originally intended for it; it had declined to something like "Same as Most Officers."

In 1947 DA Form 67-1 was issued as the main instrument of a greatly revised efficiency reporting system. The new form featured a series of multiple choice sections: raters and indorsers were required to choose the most appropriate descriptive phrases from the list. This "forced choice" feature was not popular. Raters complained that in many cases none of the listed phrases adequately described the rated officer. Even less popular was the feature that prevented raters and indorsers from knowing whether they were giving high or low ratings. Form 67-1 was designed to elicit their objective judgment without regard to whether that judgment might result in a high or a low rating. Based on the descriptive data furnished by raters and indorsers, the Department of the Army arrived at the numerical scores for each officer. This report for the first time used a method of translating the actual or raw numerical scores into index or relative scores on a standard scale.

In 1950, the adoption of DA Form 67-2 eliminated the unpopular "forced choice" items from the system. In 1952, DA Form 67-3 introduced several additional changes of concept and method, but the main features were retained. DA Form 67-4, adopted in 1956, further modified the report form without substantially changing the system. It can be said, therefore, that for more than 10 years no sub-

stantial changes were made in the basic methods of efficiency reporting.

## Why A New System Was Needed

When the validity or acceptability of any system becomes questionable because of changing conditions, the system must be brought up to date. The efficiency rating system has been revised to make it a more effective and meaningful instrument of personnel management.

Evaluation reporting, like all Army personnel procedures, is always under close study. The desirable (and sometimes undesirable) effects of various changes in the system are followed closely. Each rating cycle produces a great body of statistical and other information that verifies the soundness of certain concepts and procedures, or points to needed modifications.

For the past several years evidence has been growing that the efficiency reporting system was in need of substantial change. In the two extremely important qualities of *validity* and *acceptability*, the system was losing ground and not accomplishing its purpose.

In 1958 work began on the development of a reporting form and philosophy in keeping with present-day requirements. The revised form will be instituted beginning with the annual rating cycle in September 1961. The revised system is based upon extensive studies over the past three years. Among the independent or related studies, the following were typical:

- 60 Regular Army colonels of broad experience analyzed 19,000 efficiency report files and recommended changes both in the report form, and in the policies and concepts of the system.
- A subpanel of the Army Scientific Advisory Council evaluated the Army system in comparison with systems used in large civilian organizations.
- The principal "users" of efficiency reports at Department of the Army—the Officer Assignment Directorate, the career branches, The Adjutant General's Office, and the Special Review Board of the Deputy Chief of Staff for Personnel—contributed findings and recommendations for revision of the system.
  - Studies were made of the systems used by

the Navy, Air Force, and Marine Corps, and the forces of Great Britain, Canada, and Germany.

- In a field test, more than 5,000 efficiency reports—incorporating four variations of basic evaluation concepts—were completed and carefully analyzed.
- These and other studies helped to determine the strengths and weaknesses of the existing system, and to point the way toward needed revision.

#### The New System Is Partly Old

Before examining the new system in detail, it may be helpful to review certain existing concepts and procedures that will be continued—unchanged or with minor adaptation—in the new system.

- Every officer will be rated at least annually.
- The rating cycle will be phased by grade beginning with warrant officer and lieutenant.
- There will be three rating officials—rater, indorser, reviewer.
- The same report form (DA Form 67-5) will be used for all officers (including warrant officers).
- Efficiency reporting will continue to be an instrument of centralized personnel management; evaluation of officers is a function separate from—though naturally related to—the function of counseling.
- Officers will be rated both for performance during the rating period and for their estimated potential—but the new system more clearly separates these two evaluations.
- Raters and indorsers will continue to make their evaluations independently—but will be required to give particular explanation for each unusually high or low rating.
- Department of the Army will continue to check reports for administrative error and return them to the field for correction.

#### The New Features

The new Efficiency Report (DA Form 67-5), which will be examined in some detail later in this pamphlet, differs in several important respects from its predecessor. Some of these physical differences reflect significant changes both in the concepts and the procedures of the efficiency reporting system. It will be helpful to consider these changes before turning to the basic instrument itself.

A new scoring method. For more than 10 years the Army has employed a standard scale or index in the scoring of efficiency reports. Each year the actual or raw scores of all officers have been averaged and the Army-wide average score has been assigned a value of 100 on a standard scale of 51 to 150. All raw scores have then been converted to appropriate index numbers on this standard scale. This converted score has constituted each officer's Annual Efficiency Index (or AEI). His Overall Efficiency Index (or OEI) has been computed by averaging his seven most recent AEIs. In the new system, the rated officer's actual or raw score becomes the score of record. It will not be converted to an index number on a standard scale. Furthermore, the rater and indorser will compute and enter this score on the efficiency report. In the former system, the Department of the Army determined the numerical raw score from the data entered in the scored sections by the rater and indorser.

To facilitate analysis of an individual's record, an annual numerical score will be used as the score of record. When only one report is rendered on an officer in a year, the composite score of his report is also his annual score. However, most officers receive more than one efficiency report during a year. Their annual scores are determined by the method shown below. Consideration is given to the number of duty days covered by each report, on the premise that a report covering a long period is more significant than one covering a short period.

How the Annual Score is Derived From Two Reports
in 1 Year

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1st Report 2nd Report	Composite Score 145 160	multiplied by multiplied by	Number of Duty Days 240	=34,800 =14,400
		Totals	330	49,200

ANNUAL SCORE: (49,200 divided by 330) 149. The same method yields the annual score for more than two reports in a year.

The rated officer is not shown his report. For several years the showing of efficiency reports to rated officers at the time of rating has been a matter of local option. Mandatory showing of the report was in effect during one earlier period. It has been found that of the relatively few raters who elect to show reports to officers at rating time, many have tended (mistakenly) to regard this practice as an aspect of their counseling responsibility. In the new system, mandatory counseling well in advance of the rating period is prescribed. This requirement, together with specific safeguards against rater bias, has made it possible to discontinue even optional showing of reports to rated officers. Under the new policy officers will not see their reports at rating time. This policy does not alter in any way the existing policy under which any officer may personally examine his 201 file at Department of the Army, or deputize another officer to do so.

Special requirements for award of the highest or lowest rating. Unwarranted rater leniency harms both the validity and acceptability of an efficiency reporting system. Unwarranted rater severity, besides working an injustice on the rated officer, is equally harmful to the system as a whole. As a safeguard against both of these influences, the new procedures require raters and indorsers to furnish specific factual support for each award of the highest or lowest numerical rating. This requirement is explained more fully below.

Increased role of the reviewing officer. For a number of years the reviewing officer has been an important link in the efficiency reporting system. In the new system his functions are both broader and more clearly defined than before. He serves, in effect, as the initial screening agency for Department of the Army, and has been accorded some of the procedural authority that formerly was exercised only after the efficiency reports had reached Washington for analysis. The reviewer's signature on an efficiency report is intended to affirm that the report contains no unexplained or unsupported evaluations. In every case the

reviewer is required to insure that proper rater-indorser channels have been observed. In any "unusual" case he is empowered to take any of several specified actions to assure the accuracy and objectiveness of the report. If a rating is unusually high or low, the reviewer makes sure that the report contains adequate explanatory support of the rating. If the rater and indorser differ markedly in their evaluation, the reviewer must assure himself that the report reflects the honest views of both. Besides carefully inquiring into the circumstances of such a report, he may require the rater and indorser to prepare further clarifying comments for attachment to the report. If he believes that his own view and findings are essential to a clear picture, he may attach his own remarks (including his narrative evaluation of the rated officer) to the report. The reviewing officer has considerable latitude in the choice of appropriate actions; but his primary objective is to assure that the interests of rated officers and of the Army are upheld. In the great majority of cases this purpose is served when he is satisfied that a report is accurate and objective. His responsibility becomes a more critical one whenever he must deal with an "unusual" report—one that contains the highest or lowest rating; or that lacks sufficient supporting facts for such a rating; or that show wide divergence between the rater's and indorser's evaluations.

Mandatory Counseling. The new regulations on efficiency reporting (AR 623-105) emphasize that the rater's counseling responsibilities are distinct from (though related to) his rating responsibilities. To assure that this distinction will be observed in practice, the regulations now prescribe a formal counseling session for each rated officer about 4 months before his efficiency report is prepared. This formal session, consisting of an overall appraisal of the officer's performance, is in turn considered to be distinct from any informal or special counseling that the rater is expected to perform as needed during the period covered by the efficiency report. The requirement for a formal counseling session well in advance of rating time is intended to underline the important difference in purpose between counseling and efficiency reporting. The purpose of counseling is to advise (sometimes to admonish or praise) the officer, to encourage his maximum self-improvement and development, to help him improve his performance. The purpose of efficiency reporting is to present an objective evaluation of the officer's performance and to estimate his potential for professional growth and improvement. Both counseling and efficiency reporting are more effectively performed when all concerned have a clear understanding of the important distinction between these separate but complementary aspects of leadership.

Greater Emphasis Upon Performance of Current Duty. In earlier efficiency reporting systems, raters and indorsers were required to attempt an evaluation of the man rather than an appraisal of his manner of performance. The new system changes the emphasis from a description of the rated officer to an evaluation of measurable demonstrated performance of duties during the rated period. While the individual's potential value to the Army is unquestionably important, it is difficult to measure and can probably be estimated most accurately by his actual performance of all assigned duties over an extended period. Factual data and specific instances provide a sound basis for measurement and permit an accurate and objective appraisal to be made.

# U.S. Army Officer Efficiency Report— DA Form 67-5

The new Efficiency Report, reproduced in sections below (and in full on the inside front and back covers) is a 2-page, 8- by 10-inch form. In the following part-by-part examination of its contents, principal attention is given to those concepts and procedures that have resulted in major revision of the format and substance of the report form.

Parts I and II are self-explanatory, and are substantially same as sections I and II of DA Form 67-4.

#### Part III—Manner of Performance

The corresponding section of DA Form 67-4 was headed "Description of Rated Officer and Comments." The new designation is significant—the rater and indorser are no longer asked to "describe the officer," but rather to describe and evaluate his performance. The

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#### READ CAREFULLY REFERENCED SECTION IN AR 623-105 BEFORE ATTEMPTING TO FILL OUT ANY ITEM

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	A DESCRIPTION OF A DESC
	PART III - MANNER OF PERFORMANCE (Read paragraph 21c, AR 623-105)
15. RATER	
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16 INDORSER	
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new requirement becomes even clearer when it is noted that this section no longer contains an instruction specifically asking for comments about "strengths, weaknesses, behavior, personality, character or other qualities which distinguish this officer." The new regulations emphasize, in fact, that part III is *not* the proper place for comments concerning qualities of character; the new part IV covers this kind of information.

Part III is still designed to contain the rater's and indorser's "word picture"-but with emphasis upon manner of performance. described by means of facts and instances rather than by generalizations or adjectival phrases. All entries in this part should be carefully and conscientiously prepared for the primary purpose of describing the manner of performance so as to convey an accurate and objective impression to persons and agencies using the report. From their viewpoint the entire efficiency report is a substitute for personal knowledge of the officer and his performance; part III in particular is intended to give them a "personal" look at the rated officer's performance.

The rater's or indorser's writing ability is not intended to decide the fate of the rated officer. Entries in part III are required merely to be concise and factual, rather than literary Obvious padding with unsupported gems. general impressions and opinions should be avoided; but too brief a description is also undesirable. The example given below should not be regarded as a typical or model description, since each description of an individual's performance should be based only on the rater's and indorser's personal knowledge and judgment. The example is a "good" one because it deals mainly with observed facts of duty performance, and the rater's personal impressions are closely related to the recorded facts. It should be remembered also that these facts and judgments, in an actual report, would be expected to support (and be supported by) related entries in the scored sections of the report.

Example: "Lieutenant White's performance of duty as troop leader has been more accept-

able than his performance of administrative or logistical duties. His medium tank platoon compares favorably with the other two, having ranked 1st in tank gunnery, 2d in platoon tests, and 3d in individual training proficiency tests. In the weekly training and maintenance inspections, his platoon was usually 3d (but occasionally 2d) in administration. As a troop leader he sets a fine example by his physical vigor, appearance, and fitness. On one occasion I had to remind him of the importance of sharing with his men certain discomforts and hardships incident to field training. After that time I noted a marked improvement in this respect. As company supply officer he tends to accept statements of subordinates without sufficient checking and other supervision. This has resulted in minor deficiencies in company supply records on several occasions. In three instances, needed clothing and equipment was not on hand, and the failure was clearly attributable to the tendency described above. Lieutenant White is a fine troop instructor, and was particularly effective as instructor of map reading at the battalion officer's school. He is very effective in his verbal instructions to his platoon, but I have had no occasion to judge his ability to express himself in writing."

Whenever the rater or indorser awards (in the column headed Overall Demonstrated Performance in part VI) a score denoting a rating of Outstanding, Exceptional, Marginal, or Inadequate, part III takes on additional importance. The reviewing officer must, in every such instance, make certain that the high or low rating is fully justified and supported in part III by factual information specifically related to the score awarded in part VI. As already mentioned, he may ask the rater or indorser (or both) to furnish additional comment supporting their rating, for attachment to the report. He may take similar action when the rater's and indorser's comments in part III contradict each other, or one or both of their ratings awarded in part VI are inconsistent with the facts furnished in part III. Thus the new system features more specific and mandatory correlation of parts III and VI than was formerly required. These two key sections are intended to be carefully checked one against

		PART IV - PER	SONAL QU	ALITIES (Read par	agraph 21d,	AR 623-105)							
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•		C. APPEARANCE	APPEARANCE (Possesses military bearing and is neat, smart, and well-groomed)										
• •		d. COOPERATION	(Works in	harmony with other	s as a team	member)							
		e. DEPENDABILI	TY (Consis	tently accomplished	s desired ac	tions with minimum	eupervision)						
		f. ENTHUSIASM (	Motivates	others by his zeal)									
•		g. EXPRESSION (	Ехртевсев	himself clearly and	concisely t	both orally and in w	riting)						
•		h. FORCE (Execu	ites action	s vigorously)									
•		I. INGENUITY (F	inds soluti	ons to problems reg	ardless of c	obatacles)							
		j. INITIATIVE (T	akes neces	sary and appropriat	e action on	hia own)							
		k. INTELLIGENCE	E (Acquire	s knowledge and gr	врв сопсер	ts readily)							
		1. JUDGEMENT (1	Thinks logi	cally and makes pro	ectical deci	siona)							
		m. LOYALTY (Res	nders faith.	ful and willing supp	ort to super	iors and aubordinate	es)						
		n. MORAL COURA	GE (Intell	ectual honesty, will	lingness to	stand up and be cou	nted)						
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		p. SELF-IMPROVI	EMENT (Ta	kes action to impro	ve himself)								
		Q. SOCIABILITY	(Participat	es freely and easil)	in social a	nd community activ	ities)						
		r. STAMINA (Peri	forms succ	essfully under protr	acted physic	cal and mental stres	18)						
•		S. TACT (Says of	does wha	t is appropriate with	rout giving	unnecessary offense	)						
		t. UNDERSTAND	NG (Appre	ciation of another p	erson's viev	vpoint)							
	T	SCORE	:										

the other—by the rater and indorser, then by the reviewing officer, and finally by the Department of the Army. Contradictory or inconsistent entries in the other parts of the report are of course undesirable, but in these two sections such entries are not likely to survive the screening procedures undetected.

#### Part IV—Personal Qualities

This part is comparable to Section V of DA Form 67-4, which was entitled *Traits*, *Qualities*, and *Characteristics*. But the new part IV covers a wider range of personal qualities, and expresses them in more specific terms, in contrast to the general and somewhat subjective phrases formerly used. The parenthetical entries after each quality are intended to assure that raters and indorsers will base their evaluation on a uniform understanding of the exact meaning of the listed qualities.

While part IV is one of the two scored sections of DA Form 67-5, the comparatively low value assigned to its contents deserves com-

ment. The fact that listed personal qualities are scored in tenths rather than whole numbers in no way implies that these qualities are regarded as unimportant. The low scoring weight is simply based on the recognition that assessment of personal qualities is inherently a subjective process in which opinion is necessarily the main basis for the rating. The rater begins with his own personal conceptions of the meaning of the listed qualities, and applies those conceptions to his evaluation of the rated officer. Rater differences are therefore bound to be greater in this area than in the sections which call for factual information. The personal qualities of an officer are an essential element of his value to the service, and therefore belong in any overall evaluation. But in the interest of fairness and valid appraisal, the scoring of personal qualities is designed to have the smallest effect on the total numerical score. An additional safeguard, of course, lies in the fact that the requirement for consistency of ratings, already discussed, applies also to this section of the report. An unusually high or low score in part IV is normally ex-

	PPRAISAL OF ( paragraph 21e, )				
DUTI	RATE	R	INDORSER		
a. COMMAND A TA					
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OR	LOGISTICS	(	)	(	
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	(	)	(		
INDORSER (Special			_		
RATER (Specify)			-		
f. WITH OTHER US OR AGENCIES	FORCES				
g. WITH FOREIGN F OR GOVERNMEN	1				
h. INSTRUCTOR					_
i. WITH RESERVE			-		

pected to be clearly consistent with the evaluations in part III and part VI. Marked discrepancy in this respect would certainly be noticed by the reviewing officer or in the reviewing procedures at Department of the Army.

#### Part V—Appraisal of Qualifications

This corresponds to Section IV, Estimated Performance of Other Duties, of DA Form

67-4. The new version, however, is considerably more specific in the kind of data it covers. The entries made in this section have no numerical value in the computing of the rated officer's score in part VII. On the old form, evaluation of estimated performance was accomplished by use of a 5-step scale ranging from satisfactory to outstanding. On the new form, raters and indorsers are not required to characterize their estimates so precisely. They are required only to select at least four of the kinds of duty listed, and to designate (by numbers from 1 to 4 or more, in order of priority) those in which the rated officer is believed most likely to perform successfully. The degree of probable effectiveness is consequently only a relative evaluation, limited to the duties selected. In short, part V is for indicating what the rated officer is believed capable of doing effectively, in varying degrees. raters or indorsers may enter L (for limited) after any duty area to indicate that the rated officer might be handicapped in performance of this duty because of particular circumstances. When the designation L is used it must be supported by brief explanation in part III.

The parentheses in the rater and indorser columns of part V are for entering the letters U, G, or J, to indicate that the staff abilities of the rated officer are best suited for duties at the unit, general, or joint staff level. For example in the case of an officer considered to be especially qualified for logistics staff assignments below the level of commands having a general staff, a proper entry opposite Logistics might be 1(U).

		OVERAL	L DEMONS	TRATED	8. AR 623-105)  ESTIMATED POTENTIAL  (2)			
RATING	EXPECTED DISTRIBUTION OF 100 OFFICERS RATED		ERFORMAN (1)					
		RATER	VALUE	INDORSER	RATER	VALUE	INDORSE	
- OUTSTANDING		•	100	•		10		
b. EXCEPTIONAL	**	•	90	•		9		
- CURCOLON	titi	,	. 80			8		
c. SUPERIOR	11111111111		70			7		
d =====	*****************		60			6		
d. EXCELLENT	19999999999999999999999999999	<u> </u>	50			5		
	111111111111		40			4		
e EFFECTIVE	thi	1	30		····-	3		
f MARGINAL	•	•	20			2		
- INADEQUATE		•	10			1		
	SCORE	+		1	<del></del>	, î		

Under d. Special Staff, and e. Specialist, raters and indorsers are asked to indicate the kind of special staff assignment or specialist field for which they enter an appraisal.

# Part VI—Overall Demonstrated Performance and Estimated Potential

This section has no single counterpart in DA Form 67-4. Instead it comprises elements of the old Sections VI, Performance of Present Duty, and Section VIII, Overall Value to the Service-Section VII of the old form was headed Promotion Potential. Form 67-5 contains no items specifically related to promotion potential. The Efficiency Report as a whole is intended to provide such an estimate.

For the first time in many years, actual scores are determined by raters and indorsers and entered on the report. Except for the small scoring weight yielded by part IV, the rated officer's score is determined by the rater's and indorser's entries in part VI. None of the other parts of the report affect the numerical score.

The division of part VI into the two sections headed (1) Overall Demonstrated Performance and (2) Estimated Potential is significant. It is a reminder that the main purpose of the report is to evaluate demonstrated performance during the rated period. This is emphasized by the relatively higher scoring weight given to the ratings under demonstrated performance, compared to the ratings under estimated potential.

As already explained above in the discussion of part III, award of the highest or lowest rating in part VI (under Overall Demonstrated Performance) requires specific justification in part III. This requirement applies specifically to the score of 90 or 100 on lines a or b, and scores of 10 or 20 on lines f or g. This requirement does not apply to ratings awarded under Estimated Potential.

Reviewing officers and the Department of the Army will of course compare the ratings in part VI with all other substantial parts of the report, to assure that the numerical ratings are consistent with the evaluations awarded in the other portions, including those parts which do not affect the numerical score.

The graphic representation under "Expected Distribution of 100 Officers Rated" is a new item. Every officer should clearly understand why it appears on the report. The most important point to remember is that it shows the expected distribution of ratings, per 100 officers, for the Officer Corps as a whole. In a particular command or particular group of officers, a quite different distribution of ratings would not necessarily indicate that the ratings are higher or lower than they should be. Raters and indorsers are particularly cautioned against using this diagram as a rigid standard, in the mistaken belief that this is the proper distribution for every 100 ratings they award. The proper use of the diagram is rather to enable raters and indorsers to evaluate their rating patterns and tendencies over a period of time. They should always bear in mind that the expected distribution pattern cannot be validly related to the small number of officers rated by them in a single rating cycle, nor to the ratings awarded to specific officers of a given command at a particular time. In short, the expected distribution is an Army-wide statistical or "actuarial" concept and is valid only in that context.

The 6 adjectival ratings in the left-hand column of part VI are defined for efficiency reporting use in AR 623-105. These adjectives are not exactly matched with those used in the corresponding steps of part IV. The intentional variance emphasizes the distinction between the subjective evaluations of personal qualities contained in part IV and the objective assessment of demonstrated performance that is the major element of part VI.

PART VII - NUMERICAL VALUE (Read paragraph 21h, AR 623-105) (Scores to be entered by reter and indorser, and verified by a personnel officer)											
SCORES											
	RATER	INDORSER									
PART IV											
PART VI (1)											
PART VI (2)											
TOTAL											
COMPOSITE SCORE											

PART VIII - AUTHENTICATION	(Read paragraph 21i, AR 623-105)
URE OF RATER	DATE
ME, GRADE, BRANCH, SERVICE NUMBER, ORGANIZATI	ON, AND DUTY ASSIGNMENT
URE OF INDORSER	DATE
ME, GRADE, BRANCH, SERVICE NUMBER, ORGANIZATI	ON, AND DUTY ASSIGNMENT
TIEW INDICATES NO FURTHER ACTION	RESULTS IN ACTION STATED ON CONTINUATION SHEET
TYPED NAME, GRADE, BRANCH, SERV DUTY ASSIGNMENT	ICE NUMBER, ORGANIZATION, AND DATE
	DA FORM 66 22. PERSONNEL OFFICER'S INITIALS
	URE OF RATER  ME, GRADE, BRANCH, SERVICE NUMBER, ORGANIZATI  URE OF INDORSER  ME, GRADE, BRANCH, SERVICE NUMBER, ORGANIZATI  //EW INDICATES NO FURTHER ACTION  TYPED NAME, GRADE, BRANCH, SERV

#### Part VII—Numerical Score

The rater and indorser enter here the scores they have awarded in parts IV and VI, and total them. The sum of their respective total scores becomes the composite score. Once again it is emphasized that part IV yields a maximum of 20; scores below the maximum are likely to contain whole numbers and tenths—such as 17.2, 11.3, 13.8.

Part VIII is self-explanatory, and consists of items corresponding to portions of section III in DA Form 67-4. Item 21 (same as item 20 in DA Form 67-4) is sometimes misinterpreted. It requires the personnel officer to enter the date that the record entry was made on the officer's DA Form 66. Regulations prohibit entry of numerical scores or other efficiency report data on field copies of DA Form 66.

# What Happens to the OEI?

The Overall Efficiency Index (OEI) is a 7-year average of Annual Efficiency Index (AEI) scores. Since there will no longer be an AEI, no new OEI will be computed. The "old" or most recent OEI, however, will continue for a time to be ONE of a number of personnel management factors for use in connection with certain personnel actions. Each new annual rating under the new system will decrease the significance of the OEI, since the most recent information will be given the greatest weight. Eventually the accumulation of annual ratings under the new system will be sufficient to per-

mit dropping the OEI entirely as a factor in personnel actions.

The significance and uses of the OEI are often misunderstood. The OEI was (and will be until it is dropped from the system) useful only as a broad screening device. In important personnel decisions such as selection for promotion or for higher service schooling, the OEI provided a ready means of screening records for further and more detailed consideration. It also proved useful as a basis for qualitative distribution of officers among the major commands. But as a comparative measure of individual efficiency the OEI has meaning only when it is related to other information in the officer's file.

# How Extensively Are Efficiency Reports Reviewed by Department of the Army?

It is recognized that even with the increased role to be performed by command-level reviewing officers, some efficiency reports will contain administrative errors as well as more serious irregularities. Consequently one of the important procedures being retained consists of a carefully managed system of reviewing efficiency reports after they reach Department of the Army. The purely administrative errors are corrected by returning faulty reports to the initiating command for resubmission.

In order to detect and correct the more substantial errors, long-standing procedures will continue to be used in screening and reviewing

all incoming efficiency reports. These procedures are as follows:

- In the Office of the Deputy Chief of Staff for Personnel (DCSPER) every efficiency report is reviewed by the appropriate Career Division before it is placed in the officer's branch file. If this review discloses significant variance (either in scoring or other reporting factors) with the officer's past reports, his file is "flagged" to indicate that his subsequent reports are to be given particularly careful scrutiny in relation to the questioned report. . In most cases no further action is taken solely on the basis of the first or most recent report. The careful monitoring of several subsequent reports generally determines whether the earlier doubtful report was an exception to the officer's usual pattern of performance, or the first of several valid reports reflecting a new efficiency trend on his part.
- However, when a single report appears to be so untypical as to suggest a significant lack of validity, it is forwarded along with the officer's entire 201 file to a Special Review Board of DCSPER. This also is done when several successive reports indicate the possible invalidity of a particular earlier report.
- The Special Review Board, a full-time activity, consists of senior officers of broad professional experience. If the board finds substantial grounds for doubting the validity of an efficiency report, it may recommend that the entire report or specified parts of it be voided and withdrawn.
- Besides reviewing reports referred to it by the Career Divisions of DCSPER, the Special Review Board reviews reports upon request by The Adjutant General and, in certain cases, by the rated officers themselves.

These reviewing procedures are automatic—the rated officer does not have to initiate them. He may do so, however, if he believes that his efficiency report does not fairly or accurately evaluate his performance, personal qualities, or other substantial efficiency factors. Such a request is advisable only if he can provide substantial evidence in support of his belief. A request that merely alleges an unjust rating is not substantial evidence. Not even a sharp

drop in numerical score is considered, by itself. to be grounds for Review Board attention. Fluctuations in scores are to be expected—it is the reasons for the fluctuation that interest reviewing authorities. If such reasons, in the form of substantive fact, cannot be given by the rated officer a request for review is neither necessary nor desirable. The automatic reviewing procedures described above are quite likely to detect and rectify actual injustices or other adverse aspects of his efficiency reports. A request for review which lacks the required evidence to support a claim of bias or injustice could actually work to the officer's disadvantage, since the request becomes part of his overall file, available to the Review Board and other personnel action agencies.

## The Officer and the System

The new efficiency reporting system directly affects the career of every officer; in the long run every officer also affects the validity and acceptability of the system. Newly commissioned officers usually are not raters, but quite early in their career this important responsibility begins, and continues more or less regularly through the years. All officers are rated, and most officers are raters, or indorsers, or both.

Every objectively accurate efficiency report contributes to the validity of the system; every report that is less than objectively accurate reduces the validity of the system. This implies that all officers and raters have a relatively similar set of standards with which to judge performance of duty. It follows that the rater or indorser who departs from the principle of objectivity, intentionally or otherwise, affects not only the rated officer but himself as well. Rater leniency and rater severity are equally undesirable when not justified by the facts. An unusually high rating is not a lenient one if it is deserved; nor is the lowest rating necessarily an example of rater severity. In every case the validity of an efficiency report is determined by the degree of thoughtful, unbiased, assessment of performance that attends its preparation. These same factors, multiplied by the number of reports rendered each year, determine the long range validity and acceptability of the efficiency reporting system.

#### Performance Counseling

There are many kinds of counseling situations, each having its specific purpose. This discussion deals only with performance counseling and its relation to officer efficiency reporting. The Efficiency Report provides an evaluation of the individual in the form of a standard record designed to meet the requirements of a centralized personnel management system. Performance counseling is an act of leadership designed to help the individual improve his performance in his present position. Counseling of broader scope—such as guidance in career development and professional growth—is often properly included in a performance counseling situation, but is not a major purpose of it.

Although performance counseling is a continuing function of leadership its practical application usually involves three distinct phases over a period of time.

First, when the individual reports for duty on a new assignment, he should be given specific counseling regarding the goals of the organization, what is expected of him, his responsibilities, and the standards by which his performance will be judged. In effect this is performance counseling "before-the-fact" but is a highly important part of the counseling picture.

Second, the officer should be counseled whenever necessary throughout the year. There should be no delay in informing him of any failure to meet required standards, and a specific counseling session is the most likely means of correcting his deficiency.

Third, the officer is counseled formally and within the time limit prescribed by paragraph 2c, AR 623-105.

While the following discussion centers on this mandatory annual counseling session, the principles and techniques are applicable in some degree to every counseling situation.

Judging and guiding the performance and development of another human being are perhaps the most critical aspects of the complex function called leadership. Effective counseling is possible only when the counselor's approach to his responsibility is firmly rooted in the traditional American conviction that each person is inherently important. This is not something that can be pretended; it must be genuine.

The counselor must think about and plan the scope and contents of each counseling session. If he is required to counsel 10 officers, there will be 10 distinct areas of discussion—although he may have several points that deserve emphasis in all 10 sessions. For each officer to be counseled, he should prepare by carefully putting on paper the officer's duties in order of importance, and the standards or criteria for judging his performance of them.

Each session should be scheduled well in advance, and the officer informed of the exact time and place. This advance notice should also advise the officer to prepare himself for the session by listing his jobs in order of importance, his accomplishments, what he is doing for his professional improvement, and any other matter he may wish to include.

The counselor's preparations should also include review of the individual's performance record during the past year. In the counseling session itself, these records should be at hand. A blank Efficiency Report form provides a good guide for the discussion. For example, the counselor might review each section of the form from the standpoint of "if I were preparing your Efficiency Report today, this is probably how I would rate your performance."

The atmosphere of the counseling session is largely a reflection of the counselor's personality and way of doing things. The only essential element in all counseling is privacy. The fact that it is a formal session does not necessarily mean that the discussion must be conducted in an atmosphere of military formality. Some counselors prefer a "man-toman" approach. The experience and grade of the officer being counseled should be taken into account in deciding such matters. Beyond this, there are no hard and fast rules for effective counseling. The techniques of one counselor are not necessarily the best for another. There are, however, several common elements that apply regardless of the manner chosen. These

are accuracy, firmness, consistency and clarity of standards, and balanced appraisal.

Accuracy. The counselor's criticism of the officer's performance must be based upon facts, and upon a clearly conceived set of high standards. The individual may enter the session with a different viewpoint on these facts, but there should be no doubt at the conclusion that the counselor knows the facts. If his criticism seems to the individual to be based upon a misunderstanding or misinterpretation of the facts, the counseling session will accomplish nothing.

Firmness. The session can—and usually should—be an essentially friendly conversation, even when the counselor is dealing with facts that are in themselves unpleasant. Straightforward honesty in criticizing the individual's performance is essential. Such criticism achieves its purpose of pointing the way to improved performance only when the individual is aware that this is the purpose of the criticism.

Consistency and clarity of standards. Usually the officer will previously have been made aware of the standards by which his performance is to be judged. The counselor should review those standards in order to show how the officer's performance has failed to meet them. It is extremely important that the standards discussed at the formal counseling do not contradict any previous statements the officer has been given.

Balanced Appraisal. Very few counseling sessions involve an individual whose performance has been a failure in every respect. In his preparation the counselor should look for facts that deserve praise as well as those that deserve criticism. It should be kept in mind, however, that the primary purpose of counseling is improvement; praise should not be regarded merely as a device to soften the pain of sharp criticism.

Effective counseling is one of the more demanding responsibilities of leadership. Each counseling session is an exercise in human relations. Both counselor and counseled are people, and both are more important than any set of techniques. Inexperienced counselors can improve their counseling skills by study, by practice, and by discussing counseling problems with more experienced officers. There are excellent guides and handbooks in the counseling field—and many not so excellent. But the best guide is—be yourself.

# HEADQUARTERS, DEPARTMENT OF THE ARMY WASHINGTON 25, D.C., 22 June 1961

Department of the Army Pamphlet 355-25, Officers' Call, The New Officer Efficiency Reporting System, is published for the use of all concerned.

BY ORDER OF THE SECRETARY OF THE ARMY:

G. H. DECKER,

General, United States Army,

Chief of Staff.

#### Official:

R. V. LEE,
Major General, United States Army,
The Adjutant General.

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USAR: None.
For explanation of abbreviations used, see AR 320-50.
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